Department of Health and Human Services
Substance Abuse and Mental Health Services Administration

FY 2017 Funding Opportunity Announcement (FOA): PART II

Administrative and Application Submission Requirements for Discretionary Grants and Cooperative Agreements

Note to Applicants: This document MUST be used in conjunction with SAMHSA's "Funding Opportunity Announcement: PART I: Programmatic Requirements".

IMPORTANT: SAMHSA is transitioning to the National Institutes of Health (NIH)'s electronic Research Administration (eRA) grants system. Due to this transition, SAMHSA has made changes to the application registration, submission, and formatting requirements for all FOAs. All applicants must register with NIH's **eRA Commons** in order to submit an application. Applicants also must register with the System for Award Management (SAM) and Grants.gov (see Section I-1 and Section II-1 for all registration requirements).

Due to the new registration and application requirements, it is strongly recommended that applicants start the registration process **six (6) weeks in advance** of the application due date.

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I. OVERVIEW OF APPLICATION AND SUBMISSION REQUIREMENTS

IMPORTANT: SAMHSA's transition to NIH's eRA grants system (eRA Commons) has changed the application registration, submission, and formatting requirements for FOAs. In order to submit an application, you must register in NIH's **eRA (electronic Research Administration) Commons** in addition to the System for Award Management (SAM) and Grants.gov.

Registering in eRA Commons will generate an ID that provides access to the electronic submissions system and allows applicants to retrieve grant information and receive notifications about their application status. Please take the necessary steps to register in eRA Commons before submitting your application. It is strongly recommended that applicants start the registration process six (6) weeks in advance of the application due date.

After you complete and comply with all registration and application requirements, you must submit your application through **1) Grants.gov**. Successfully submitted applications through Grants.gov will then proceed to the **2) NIH eRA Commons system and validations**. Once the application is successfully validated by the NIH eRA Commons system, it will be forwarded to **3) SAMHSA** as the receiving institution for further review.

Please carefully follow the application registration and submission instructions in Sections I and II of this document, and refer to Sections III and IV for additional guidance on submitting your application.

Carefully read the application download, registration, and submission guidelines and requirements below. You must comply with the following requirements, or your application will be screened out and will not be reviewed:

The requirements for application submission are:

1. **GET REGISTERED**

   Applicants are required to complete **four (4) registration processes:**

   1. Dun & Bradstreet Data Universal Numbering System (to obtain a DUNS number);
   2. System for Award Management (SAM);
   3. Grants.gov; and

4. eRA Commons.

2.   DOWNLOAD APPLICATION COMPONENTS

Download the Application Package from Grants.gov. Applicants must complete the **SF-424** document before any other document in the application package, as it populates certain fields on additional forms within the package.

3.   WRITE AND COMPLETE APPLICATION

Complete all required documents. Refer to Section II-3.1, Required Application Components for a full list of required documents. You also must comply with all formatting requirements provided in Section IV-1, SAMHSA Formatting Requirements, of this document.

Note: If you are submitting more than one application under the same announcement number, you must ensure that the Project Title in Field 15 of the SF-424 is unique for each submission.

4.   SUBMIT APPLICATION

After completing all required documents and complying with all registration and application requirements, you must submit your application through Grants.gov. Successfully submitted applications through Grants.gov will then proceed to the NIH eRA Commons system and validations. Once your submitted application is successfully validated by the NIH eRA Commons system, it will be forwarded to SAMHSA as the receiving institution for further review.

5.   AFTER SUBMISSION

You will receive notification that your application was either validated by the Grants.gov system or rejected due to errors. You will have an opportunity to address any errors and resubmit the application. After successfully submitting your application through Grants.gov, your application will go through eRA Commons validations. See Section II-5 on how to resubmit your application and address any system or technical issues.

II.   HOW TO APPLY

Carefully read the application submission requirements below. You must comply with the following requirements, or your application will be screened out and will not be reviewed. It is strongly recommended that applicants start the registration **process six (6) weeks** in advance of the application due date.

1. GET REGISTERED

Due to SAMHSA's transition to NIH's eRA grants system, SAMHSA has made changes to the application registration requirements (NIH's eRA Commons registration was added to the application process).

Applicants must complete **four (4) registration processes** that are all distinct, one-time registrations in order to submit an application:

1. Dun & Bradstreet Data Universal Numbering System (to obtain a DUNS number);

2. System for Award Management (SAM);

3. Grants.gov; and

4. eRA Commons.

If this is your first time submitting an application, you must complete all four registration processes. If you have already completed registrations for DUNS, SAM, and Grants.gov, you need to ensure that your accounts are still active, and then register for **eRA Commons**. You must register in eRA Commons and receive a Commons ID in order to have access to electronic submission, receive notifications on the status of your application, and retrieve grant information.

Each registration process is described below. It is highly recommended to start all registration processes **at least six (6) weeks** prior to the application submittal date.

1.1 Dun & Bradstreet Data Universal Numbering System (DUNS) Registration

SAMHSA applicants are required to obtain a valid DUNS Number, also known as the Unique Entity Identifier, and provide that number in the application. Obtaining a DUNS number is easy and there is no charge.

To obtain a DUNS number, access the Dun and Bradstreet website at: http://www.dnb.com or call 1-866-705-5711. To expedite the process, let Dun and Bradstreet know that you are a public/private nonprofit organization getting ready to submit a federal grant application. **The DUNS number you use on your application must be registered and active in the System for Award Management (SAM).**

1.2 System for Award Management (SAM) Registration

Applicants must also register with the System for Award Management (SAM) and continue to maintain active SAM registration with current information at all times during which it has an active federal award or an application under consideration by an agency

(unless you are an individual or federal agency that is exempted from those requirements under 2 CFR § 25.110(b) or (c), or has an exception approved by the agency under 2 CFR § 25.110(d)).To create a SAM user account, Register/Update entity, and/or Search Records, go to https://www.sam.gov.

It is also highly recommended that applicants renew their accounts prior to the expiration date. **SAM information must be active and up-to-date, and should be updated at least every 12 months to remain active (for both grantees and sub-recipients).** Once you update your record in SAM, it will take 48 to 72 hours to complete the validation processes. Grants.gov will reject electronic submissions from applicants with expired registrations.

If an applicant's SAM account expires, the renewal process requires the same validation with IRS and DoD (Cage Code) as a new account requires. The renewal process can take up to one month. It is highly recommended that applicants renew their accounts prior to the expiration date. The account update process takes only 24-48 hours.

SAMHSA may not make an award until the applicant has complied with all applicable DUNS and SAM requirements and, if an applicant has not fully complied with the requirements by the time SAMHSA is ready to make an award, SAMHSA may determine that the applicant is not qualified to receive an award and use that determination as the basis for making an award to another applicant.

1.3   Grants.gov Registration

Please register to obtain a Grants.gov username and password at http://www.grants.gov/web/grants/register.html.

Grants.gov requires a one-time registration in order to submit applications. While Grants.gov registration is a one-time only registration process, it consists of multiple sub-registration processes (i.e., DUNS number and SAM registrations) before you can submit your application. [Note: eRA Commons registration is separate].

If you have already completed Grants.gov registration and ensured your **Grants.gov and SAM accounts are up-to-date and/or renewed**, please skip this section and focus on the eRA Commons registration steps noted below. If this is your first time submitting an application through Grants.gov, registration information can be found at the Grants.gov "Applicants" tab.

Be sure the person submitting your application is properly registered with Grants.gov as the Authorized Organization Representative (AOR) for the specific DUNS number cited on the SF-424 (first page). See the Organization Registration User Guide for details at the following Grants.gov link: http://www.grants.gov/web/grants/applicants/organization-registration.html.

1.4   eRA Commons Registration

eRA Commons requires a one-time registration, separate from Grants.gov registration. It is strongly recommended to start the eRA Commons registration process **at least six (6) weeks** prior to the application due date. You must register in the eRA Commons and receive a Commons ID in order to have access to electronic submission and retrieval of application/grant information.

If this is your first time registering with eRA Commons, either the Authorized Organization Representative (AOR) from the SF-424 or the Business Official (BO) from the HHS Checklist must complete the online Institution Registration Form. Instructions on how to complete the online Institution Registration Form will be provided on the eRA Commons Online Registration Page.

[Note: You must have a DUNS number to complete the eRA Commons registration.]

After you complete the online Institution Registration Form and click Submit, the eRA Commons will send you an e-mail notification from era-notify@mail.nih.gov with the link to confirm your email address. Once your e-mail address is verified, your request will be reviewed and you will be informed of the result via email. If your request is denied, you will receive an email notifying you of the reason for the denial. If your request is approved, you will receive an email with your Commons User ID and temporary password. You will need to log into Commons with the temporary password, and the system will prompt you to change the temporary password to a permanent one. Once your designated contact Signing Official (SO), or either the AOR from the SF-424 or the BO from the HHS Checklist electronically signs your registration request, your organization will be active in Commons and you will be able to create and maintain additional accounts for your organization's staff.

Important: The eRA Commons requires you to identify at least one SO, which can be either the AOR from the SF-424 or the BO from the HHS Checklist, and at least one Program Director/Principal Investigator (PD/PI) account in order to submit an application. The primary SO must create the account for the PD/PI listed as the PD/PI role on the HHS Checklist. Note that you will need the Commons ID number of the PD/PI to insert in the 'Applicant Identifier' field of the SF-424 document.
You can find additional information about the eRA Commons registration process at https://era.nih.gov/reg_accounts/register_commons.cfm.

2.   DOWNLOAD APPLICATION COMPONENTS

You must go to both Grants.gov **and** the SAMHSA website to download the required documents you will need to apply for a SAMHSA grant.

2.1   How to Download the Application Package (Grants.gov)

On the Grants.gov site (http://www.Grants.gov), select the 'Apply for Grants' option from the 'Applicants' Tab at the top of the screen. You will be directed to the 'Apply for Grants' page. Click on the 'Get Application Package' tab located on the right of the Grants.gov 'Apply for Grants' page. You will be directed to the 'Get Application Package Now' page where you will search for the appropriate funding announcement number (called the funding opportunity number) or the Catalogue of Federal Domestic Assistance (CFDA) number. You can find the funding announcement number and CFDA number on the cover page of the accompanying document, FOA PART I: Programmatic Requirements.

For more information on the application download process, go to the Grants.gov 'Apply for Grants' page. Download both the Application Instruction and Application Package on the 'Apply for Grants' page. You can view, print, or save all the forms in the Application Package and then complete them for electronic submission to Grants.gov. Completed forms also can be saved and printed for your records.

2.2   Additional Documents for Submission (SAMHSA Website)

You will find additional materials you will need to complete your application on the SAMHSA website at http://www.samhsa.gov/grants/applying/forms-resources.

For a **full list of required application components**, refer to Section II-3.1, Required Application Components.

3.   WRITE AND COMPLETE APPLICATION

After downloading and retrieving the required application components and completing the registration processes, it is time to write and complete your application. With SAMHSA's transition to NIH's eRA grants system, there are **new application formatting requirements and validations.** All files uploaded with the Grants.gov application **MUST** be in Adobe PDF file format.

Applications successfully submitted through Grants.gov will proceed to the NIH's eRA Commons system and undergo a series of validations to ensure all required information is included and in the appropriate format. Once your application is successfully validated by the NIH eRA Commons system, it will be forwarded to SAMHSA as the receiving institution for further review.

Please see Section IV for SAMHSA-specific application formatting requirements, Grants.gov requirements, and the list of **new data formatting requirements and validations for eRA Commons. Applications that do not comply with these requirements will be screened out and will not be reviewed.**

You must complete all required application components and any supporting documents listed in [Sections II-3.1](#) of this document. You also must comply with the **formatting requirements and system validations** listed in [Section IV](#).

3.1   Required Application Components

Standard Application Components

Applications must include the following required application components listed in the table below. This table consists of a full list of standard application components, a description of each required component, and its source for application submission.

#	*Standard Application Components*	*Description*	*Source*
1	SF-424 (Application for Federal Assistance) Form	This form must be completed by applicants for all SAMHSA grants.	Grants.gov
2	SF-424 A (Budget Information – Non-Construction Programs) Form	Use SF-424A. Fill out Sections B, C, and E of the SF-424A. **It is highly recommended that you use the sample budget format in the FOA: PART I. This will expedite review of your application.** In preparing the budget, adhere to any existing federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program.	Grants.gov
3	HHS Checklist Form	The HHS Checklist ensures that you have obtained the proper signatures, assurances, and certifications**.** You are not required to complete the entire form, but please include the top portion of the form ("**Type of Application**") indicating if this is a new, noncompeting continuation, competing continuation, or supplemental application; the Business Official and Program Director/Project Director/Principal Investigator contact information (**Part C**); and your organization's nonprofit status (**Part D, if applicable**). All SAMHSA Notices of Award (NoAs) will be emailed by SAMHSA via NIH's eRA Commons to the Institutional Profile File (IPF) organization, Project Director/Principal Investigator (PD/PI), and Signing Official/Business Official (SO/BO).	Grants.gov
4	Project/Performance Site Location(s) Form	The purpose of this form is to collect location information on the site(s) where work funded under this grant announcement will be performed.	Grants.gov

5	Project Abstract Summary	Your total abstract must not be longer than 35 lines. It should include the project name, population(s) to be served (demographics and clinical characteristics), strategies/interventions, project goals and measurable objectives, including the number of people to be served annually and throughout the lifetime of the project, etc. In the first five lines or less of your abstract, write a summary of your project that can be used, if your project is funded, in publications, reports to Congress, or press releases.	Grants.gov
6	Project Narrative Attachment	The Project Narrative describes your project. The application must address how the applicant will implement and meet the goals and objectives of the program. Applicants must attach their project narrative file (Adobe PDF format only) inside the Project Narrative Attachment Form. See the FOA: Part I for specific guidance.	Grants.gov
7	Budget Justification and Narrative Attachment	Applicants must include a detailed Budget Narrative in addition to the Budget Form SF-424A. The budget justification and narrative must be submitted as file **BNF** when you submit your application into Grants.gov	Grants.gov
8	SF-424 B (Assurances for Non-Construction) Form	You must read the list of assurances provided on the SAMHSA website and check the box marked 'I Agree' before signing the first page (SF-424) of the application.	SAMHSA Website
9	Disclosure of Lobbying Activities (SF-LLL) Form	Federal law prohibits the use of appropriated funds for publicity or propaganda purposes or for the preparation, distribution, or use of the information designed to support or defeat legislation pending before Congress or state legislatures. You must sign and submit this form, if applicable.	Grants.gov
10	Other Attachments Form	Refer to the Supporting Documents below. Use the Other Attachments Form to attach all required additional/supporting documents listed in the table below.	Grants.gov

Supporting Documents

In addition to the Standard Application Components listed above, the following supporting documents are necessary for the review of your application. Supporting documents must be attached to your application. For each of the following application components, attach each document (Adobe PDF format only) using the Other Attachments Form from the Grants.gov application package.

#	Supporting Documents	Description	Source
1	HHS 690 Form	Every grant applicant must have a completed HHS 690 form (PDF | 291 KB) on file with the Department of Health and Human Services.	SAMHSA Website
2	Charitable Choice Form SMA 170	See Section IV-1 of the FOA: PART I, to determine if you are required to submit Charitable Choice Form SMA 170. If you are, you can upload this form to Grants.gov when you submit your application.	SAMHSA Website
3	Biographical Sketches and Job Descriptions	See Appendix D of this document for additional instructions for completing these sections.	Appendix D of this document.
4	Confidentiality and SAMHSA Participant Protection/Human Subjects	See the FOA: PART I for requirements related to confidentiality, participant protection, and the protection of human subjects regulations.	FOA: PART I – See appropriate Appendix
5	Additional Documents in the FOA: PART I	The FOA: PART I will indicate the attachments you need to include in your application.	FOA: PART I, Section IV-1.

4.   SUBMIT APPLICATION

4.1   Electronic Submission (Grants.gov, eRA Commons)

After completing all required registration and application requirements, you must **electronically submit your application** via Grants.gov (http://www.grants.gov) using the standard Grants.gov downloadable Adobe Application Package submission process.

You must prepare your Project Narrative and other attached documents in Adobe PDF format or your application will not be forwarded to eRA Commons and will not be reviewed. Directions for creating PDF files can be found on the Grants.gov website.

On-time submission requires that electronic applications be error-free and made available to SAMHSA for processing from the NIH eRA system on or before the application due date and time. Applications must be submitted to and validated

successfully by Grants.gov and eRA Commons no later than **11:59 PM** Eastern Time on the application due date.

When you submit your application, you will receive a notice that your application is being processed and that you will receive two e-mails from Grants.gov within the next 24-48 hours. One notification email will confirm receipt of the application in Grants.gov, and the other notification email will indicate that the application was either successfully validated by the system (with a tracking number) or rejected due to errors. It is important that you retain this Grants.gov tracking number. **Receipt of the Grants.gov tracking number is the only indication that Grants.gov has successfully received and validated your application.** If you do not receive a Grants.gov tracking number, you may want to contact the Grants.gov help desk for assistance. **SAMHSA strongly encourages all prospective applicants to sign up for Grants.gov email notifications regarding this FOA. If the FOA is cancelled or modified, individuals who sign up with Grants.gov for updates will be automatically notified.**

All applications that are successfully submitted must be validated by Grants.gov before proceeding to the NIH eRA Commons system and validations. If for some reason your application is not accepted, you will receive a subsequent notice from Grants.gov indicating that the application submission has been rejected.

After applications are submitted to Grants.gov, they will be retrieved by the NIH eRA system and validated. If no errors are found, the application will be assembled in the eRA Commons for viewing by the applicant before moving on for further SAMHSA processing. If there are errors, the applicant will be notified of the problems found in the application. The applicant then must take action to make the required corrections, and re-submit the application through Grants.gov before the application due date and time. If a changed/corrected application is re-submitted after the deadline, the application will be considered late and will not be accepted.

Applicants are responsible for viewing and tracking their applications in the eRA Commons after submission through Grants.gov to ensure accurate and successful submission. You must have an **eRA Commons ID** in order to have access to electronic submission and retrieval of application/grant information. Once you are able to access your application in the eRA Commons, be sure to review it carefully as this is what reviewers will see.

Applicants are strongly encouraged to allocate additional time prior to the submission deadline to submit their applications and to correct errors identified in the validation process. Applicants are encouraged also to check the status of their application submission to determine if the application is complete and error-free.

Applicants who encounter problems when submitting their applications in Grants.gov must attempt to resolve them by contacting the Grants.gov Help Desk at:

- By e-mail: support@grants.gov

- By phone: (toll-free) 1-800-518-4726 (1-800-518-GRANTS). The Grants.gov Contact Center is available 24 hours a day, 7 days a week, excluding federal holidays.

Make sure you receive a case/ticket/reference number that documents the issues/problems with Grants.gov.

Additional support is also available from the NIH eRA Service desk at:

- By e-mail: http://grants.nih.gov/support/index.html

- By phone: 301-402-7469 or (toll-free) 1-866-504-9552. The NIH eRA Service desk is available Monday – Friday, 7 a.m. to 8 p.m. Eastern Time, excluding federal holidays.

SAMHSA highly recommends that you submit your application 24-72 hours before the submission deadline. Many submission issues can be fixed within that time and you can attempt to re-submit. However, if you have not completed your DUNS, SAM, Grants.gov, and eRA Commons registrations, it is highly unlikely that these issues will be resolved in time to successfully submit an electronic application.

After completing your application, you must electronically submit your application through Grants.gov. On-time submission requires that electronic applications be error-free and made available to SAMHSA for processing on or before the application due date and time. Applications must be successfully submitted through Grants.gov and validated by eRA Commons no later than **11:59 PM** Eastern Time on the application due date. SAMHSA recommends submitting your applications early to track and correct any errors.

4.2   Submission Options

There are several ways you can submit you application to SAMHSA through Grants.gov:

1) **ASSIST** – You can use the ASSIST system to prepare, submit, and track your application online. [Note: ASSIST requires an eRA Commons ID to access the system]

2) **Grants.gov Downloadable Forms** – You can download an application package from Grants.gov, complete the forms offline, submit the completed forms to Grants.gov, and track your application in eRA Commons.

3) **Grants.gov Workspace –** You can use the shared, online environment of the Grants.gov Workspace to collaboratively work on different forms within the application package.

The specific actions you need to take to submit your application will vary by submission method as listed above. The steps to submit your application:

Steps to submit to Grants.gov using ASSIST are available at https://era.nih.gov/erahelp/ASSIST/default.htm#ASSIST_Help_Topics/5%20Preview%20Print%20Submit/Submit_Validated_Application.htm%3FTocPath%3DApplication%2520Submission%7C_____1

Steps to submit to Grants.gov using downloadable forms are available at http://www.grants.gov/help/html/help/index.htm#t=Applicants%2FSubmit_an_Application.htm

Steps to submit to Grants.gov using the Grants.gov Workspace are available at http://www.grants.gov/web/grants/applicants/workspace-overview.html

Regardless of the option you use, your application will be subject to the same registration requirements, completed with the same data items, routed through Grants.gov, validated against the same agency business rules, assembled in a consistent format for review consideration, and tracked in eRA Commons.

4.3   Waiver of Electronic Submission

SAMHSA will not accept paper applications except under very special circumstances. If you need special consideration, SAMHSA must approve the waiver of this requirement in advance.

If you do not have the technology to apply online, or your physical location has a poor Internet connection, you may request a waiver of electronic submission. You must send a written request at least 15 calendar days before the application's due date.

Direct any questions to the Division of Grant Review at 240-276-1199.

5.   AFTER SUBMISSION

5.1   System Validations and Tracking

After you complete and comply with all registration and application requirements, your application will be validated by Grants.gov. You will receive a notification that your application is being processed. You will receive two additional e-mails from Grants.gov within the next 24-48 hours (one notification email will confirm receipt of the application in Grants.gov, and the other notification email will indicate that the application was

either successfully validated by the Grants.gov system or rejected due to errors). Refer to Section IV for more information on Grants.gov Formatting and Validation Requirements. You also will receive an application tracking number in the email notifications. It is important that you retain this Grants.gov tracking number. If you do not receive a Grants.gov tracking number, you may want to contact the Grants.gov Help Desk for assistance (see Appendix A).

If Grants.gov identifies any errors and rejects your application with a "Rejected with Errors" status, you must address all errors and submit again. If no problem is found, Grants.gov will allow the eRA system to retrieve the application and check it against its own agency business rules (eRA Commons Validations).

After you successfully submit your application through Grants.gov, your application will go through eRA Commons validations. You must check your application status in eRA Commons. You must have an eRA Commons ID in order to have access to electronic submission and retrieval of application/grant information.

If no errors are found, the application will be assembled in the eRA Commons for viewing by the applicant, and will be forwarded to SAMHSA as the receiving institution for further review. If errors are found, the applicant will receive a System Error and/or Warning notification regarding the problems found in the application. The applicant must take action to make the required corrections, and re-submit the application through Grants.gov before the application due date and time.

5.2   eRA Commons: Error vs. Warning Notifications

Applicants may receive a System Error and/or Warning notification after submitting an application. Please be aware of the distinction between System Errors and System Warnings.

Warnings – If an applicant receives a Warning notification after the application is submitted, the applicant is not required to resubmit the application. The reason for the Warning will be identified in the notification. It is at the applicant's discretion to choose to resubmit, but if the application was successfully received, it does not require any additional action.

Errors – If an applicant receives an Error notification after the applications is submitted, the applicant must correct and resubmit the application. The word Error is used to characterize any condition which causes the application to be deemed unacceptable for further consideration.

5.3   System or Technical Issues

If you encounter a system error that prevents you from completing the application submission process on time, the BO from your organization will receive an email

notification from eRA Commons. SAMHSA highly recommends contacting the eRA Help Desk and submitting a web ticket to document your good faith attempt to submit your application, and determining next steps. See Appendix A for more information on contacting the eRA Help Desk.

5.4   Resubmitting a Changed/Corrected Application

If SAMHSA does not receive your application by the application due date as a result of a failure in the SAM, Grants.gov, or NIH's eRA Commons systems, you must contact the Division of Grant Review within **one business day after the official due date to** dgr.applications@samhsa.hhs.gov and provide the following:

- A case number or email from SAM, Grants.gov, and/or NIH's eRA system that allows SAMHSA to obtain documentation from the respective entity for the cause of the error.

SAMHSA will consider the documentation to determine **if** the applicant followed Grants.gov and NIH's eRA requirements and instructions, met the deadlines for processing paperwork within the recommended time limits, met FOA requirements for submission of electronic applications, and made no errors that caused submission through Grants.gov or NIH's eRA to fail. No exceptions for submission are allowed when user error is involved. Please note that system errors are extremely rare.

[Note: When resubmitting an application, please ensure that the **Project Title is identical to the Project Title in the originally submitted application** (i.e., no extra spacing) as the Project Title is a free-text form field.]

III.   KEY SYSTEMS IN THE APPLICATION SUBMISSION PROCESS

There are various systems involved in the SAMHSA grant application submission process. Each has its own registration and business rule requirements:

1) **Grants.gov** **–** Grants.gov is an online portal that allows applicants to search for funding opportunity announcements and submit grant applications via the system. Once applicants submit their applications to Grants.gov, the system validates the applications and forwards them to the appropriate agency (e.g., SAMHSA) for processing and funding consideration.

2) **eRA Commons** – The electronic Research Administration (eRA) Commons is an online interface managed by NIH that allows grant applicants, grantees, and federal staff to securely share, manage, and process grant-related information. Registering in eRA Commons will provide applicants with a Commons ID to access their electronic submissions, retrieve grant information, and receive notifications about their application

status. You may also interact with additional systems to complete your registration (e.g., System for Award Management – SAM) or to prepare and submit your application (e.g., ASSIST).

3) **ASSIST** – The Application Submission System & Interface for Submission Tracking (ASSIST) is an NIH sponsored online interface used to prepare applications using the SF424 form set, submit electronically through Grants.gov to SAMHSA and other participating agencies, and track grant applications. Active Grants.gov and eRA Commons credentials are required to prepare and submit applications using ASSIST.

IV.   FORMATTING AND SYSTEMS VALIDATION

1.   SAMHSA FORMATTING REQUIREMENTS

SAMHSA's goal is to review all applications submitted for grant funding. However, this goal must be balanced against SAMHSA's obligation to ensure equitable treatment of applications. For this reason, SAMHSA has established certain formatting requirements for its applications. See below for a list of formatting requirements required by SAMHSA:

- Text must be legible. Pages must be typed in black, single-spaced, using a font of Times New Roman 12, with all margins (left, right, top, bottom) at least one inch each. You may use Times New Roman 10 only for charts or tables.

- You must submit your application and all attached documents in Adobe PDF format, or your application will not be forwarded to eRA Commons and will not be reviewed.

- To ensure equity among applications, page limits for the Project Narrative cannot be exceeded.

- Black print should be used throughout your application, including charts and graphs (no color).

- The page limits for Attachments stated in the FOA PART I: Section IV-1, should not be exceeded.

- If you are submitting more than one application under the same announcement number, you must ensure that the Project Title in Field 15 of the SF-424 is unique for each submission.

2.   GRANTS.GOV FORMATTING AND VALIDATION REQUIREMENHTS

- Grants.gov allows the following list of UTF-8 characters when naming your attachments: A-Z, a-z, 0-9, underscore, hyphen, space, and period. Other

UTF-8 characters should not be used as they will not be accepted by NIH's eRA Commons, as indicated in item #10 in the table below.

- Scanned images must be scanned at 150-200 dpi/ppi resolution and saved as a pdf file. Using a higher resolution setting or different file type will result in a larger file size, which could result in rejection of your application.

- Any files uploaded or attached to the Grants.gov application must be PDF file format and must contain a valid file format extension in the filename. In addition, the use of compressed file formats such as ZIP, RAR or Adobe Portfolio will not be accepted.

3.   eRA COMMONS FORMATTING AND VALIDATION REQUIREMENTS

The following table is a list of **formatting requirements and system validations required by eRA Commons.** If you do not adhere to these requirements, you will receive an email notification from **era-notify@mail.nih.gov** to take action and adhere to the requirements so that your application can be processed successfully. It is highly recommended that applicants submit their applications 24-72 hours before the submission deadline to correct errors (if new application data requirements aren't met) and resubmit applications. If you experience any system validation or technical issues after hours on the application due date, please contact the eRA Help Desk and submit a Web ticket to document your good-faith attempt to submit your application (see Appendix A for more Help Desk information).

#	eRA Validations	Action if the Validation is not met
1	DUNS numbers: The DUNS number provided on any forms must have valid characters (9 or 13 numbers with or without dashes).	If the DUNS number provided has invalid characters (other than 9 or 13 numbers) after stripping of dashes, the BO from your organization will receive the following email message from eRA Commons: "The DUNs number for <insert form name > is not in the valid format of DUNS or DUNS+4 number (DUNS should be 9 or 13 digits; no letters or special characters)."
2	Submit required documentation for the FOA. [Note: We recommend you use the latest package from Grants.gov, which will have the latest forms and templates required.]	If you do not submit the documentation required for the FOA, the BO from your organization will receive the following email message from eRA Commons: "The format of the application does not match the format of the FOA. Please contact the eRA Help Desk for assistance."

3	Check the "Changed/Corrected Application" box in the SF424 form after making changes/corrections to resubmit an application. Refer to Section II-5.4 for more information on resubmission criteria.	If applicants change/correct an error on their application, any subsequent submissions for the same FOA will result in an error, and the BO from your organization will receive the following email message from eRA Commons: "This application has been identified as a duplicate of a previous submission. The 'Type of Submission' should be set to Changed/Corrected if you are addressing errors/warnings."
4	Applications cannot be larger than 1.2GB	If the application exceeds 1.2GB, the BO from your organization will receive the following email message from eRA Commons: "The application did not follow the agency-specific size limit of 1.2 GB. Please resize the application to be no larger than 1.2GB before submitting."
5	The Funding Opportunity Announcement (FOA) number must exist.	If you enter an FOA number that does not exist, the BO from your organization will receive the following email message from eRA Commons: "The Funding Opportunity Announcement number does not exist."
6	All documents and attachments must be in PDF format.	If you submit attachments which are not in PDF format, the BO from your organization will receive the following email message from eRA Commons: "The <attachment> attachment is not in PDF format. All attachments must be provided to the agency in PDF format with a .pdf extension. Help with PDF attachments can be found at http://grants.nih.gov/grants/ElectronicReceipt/pdf_guidelines.htm."
7	All attachments should comply with the following formatting requirement: o PDF attachments cannot be empty (0 bytes).	If you submit attachments which do not comply with the stated formatting requirement, the BO from your organization will receive the following email message from eRA Commons: "The {attachment} attachment was empty. PDF attachments cannot be empty, password protected or encrypted. Please submit a changed/corrected application with the correct PDF attachment. Help with PDF attachments can be found at http://grants.nih.gov/grants/ElectronicReceipt/pdf_guidelines.htm."
8	All attachments should comply with the following formatting requirement: o PDF attachments cannot have Meta data missing, cannot be encrypted, password protected or secured documents.	If you submit attachments which do not comply with the stated formatting requirement, the BO from your organization will receive the following email message from eRA Commons: "The <attachment> attachment contained formatting or features not currently supported by NIH: <condition returned>. Help with PDF attachments can be found at http://grants.nih.gov/grants/ElectronicReceipt/pdf_guidelines.htm."

9	All attachments should comply with the following formatting requirement: o Size of PDF attachments cannot be larger than 8.5 x 11 inches (horizontally or vertically). [Note: We recommend limiting the size of attachments to 35 MB.]	If you submit attachments that do not comply with the stated formatting requirement, the BO from your organization will receive the following email message from eRA Commons: "Filename <file> cannot be larger than U.S. standard letter paper size of 8.5 x 11 inches. Please see our PDF guidelines at http://grants.nih.gov/grants/ElectronicReceipt/pdf_guidelines.htm for additional information."
10	All attachments should comply with the following formatting requirement: o PDF attachments should have a valid file name. Valid file names must include the following UTF-8 characters: A-Z, a-z, 0-9, underscore (_), hyphen (-), space, period.	If you submit attachments which do not comply with the stated formatting requirement, the BO from your organization will receive the following email message from eRA Commons: "The <attachment> attachment filename is invalid. Valid filenames may only include the following characters: A-Z, a-z, 0-9, underscore (_), hyphen (-), space, or period. No special characters (including brackets) can be part of the filename."
11	Contact person email in the SF424 Section F, must contain a '@', with at least 1 and at most 64 chars preceding and following the '@'. Control characters (ASCII 0 through 31 and 127), spaces and special chars < > ( ) [ ] \ , ; : are not valid.	If the contact person email address does not comply with the stated formatting requirement, the BO from your organization will receive the following email message from eRA Commons: "The submitted e-mail address for the person to be contacted {email address}, is invalid. Must contain a '@', with at least 1 and at most 64 chars preceding and following the '@'. Control characters (ASCII 0 through 31 and 127), spaces and special chars < > ( ) [ ] \ , ; : are not valid."
12	Congressional district code of applicant (after truncating) must be valid. [Note: Applies to form SF424, items 16a and 16b]	If the Congressional district code of the applicant is not valid, the BO from your organization will receive the following email message from eRA Commons: "Congressional district <Congressional District> is invalid. To locate your district, visit http://www.house.gov/"
13	Authorized Representative email must contain a '@', with at least 1 and at most 60chars preceding and following the '@'. Control characters (ASCII 0 through 31 and 127), spaces and special chars < > ( ) [ ] \ , ; : are not valid.	If the Authorized Representative email address does not comply with the stated formatting requirement, the BO from your organization will receive the following email message from eRA Commons: "Must contain a '@', with at least 1 and at most 64 chars preceding and following the '@'. Control characters (ASCII 0 through 31 and 127), spaces and special chars < > ( ) [ ] \ , ; : are not valid. The Person to be contacted email address also provided on the SF 424 will be used instead."

V.   ADMINISTRATION INFORMATION

1.   AWARD NOTICES

You will receive an email from SAMHSA, via NIH's eRA Commons that describes the general results of the review of your application, including the score that your application received.

If you are approved for funding, a Notice of Award (NoA) will be emailed to the BO's email address identified on the HHS Checklist form submitted with the application. The NoA also will be sent to the IPF organization and the D/PI. Hard copies of the NoA will no longer be mailed via postal service. The NoA is the sole obligating document that allows you to receive federal funding for work on the grant project.

If you are not funded, you will receive a notification from SAMHSA, via NIH's eRA Commons.

2.   ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS

If your application is funded, you must comply with all terms and conditions of the NoA. SAMHSA's standard terms and conditions are available on the SAMHSA website at http://www.samhsa.gov/grants/grants-management/notice-award-noa/standard-terms-conditions.

- HHS Grants Policy Statement (GPS)

  If your application is funded, you are subject to the requirements of the HHS Grants Policy Statement (GPS) that are applicable based on recipient type and purpose of award. This includes any requirements in Parts I and II of the HHS GPS that apply to the award. The HHS GPS is available at http://www.samhsa.gov/grants/grants-management/policies-regulations/hhs-grants-policy-statement . The general terms and conditions in the HHS GPS will apply as indicated unless there are statutory, regulatory, or award-specific requirements to the contrary (as specified in the NoA).

- HHS Grant Regulations

  If your application is funded, you must also comply with the administrative requirements outlined in 45 CFR Part 75. For more information see the SAMHSA website at http://www.samhsa.gov/grants/grants-management/policies-regulations/requirements-principles.

- Additional Terms and Conditions

Depending on the nature of the specific funding opportunity and/or your proposed project as identified during review, SAMHSA may negotiate additional terms and conditions with you prior to grant award. These may include, for example:

o   actions required to be in compliance with confidentiality and participant protection/human subjects requirements;
o   requirements relating to additional data collection and reporting;
o   requirements relating to participation in a cross-site evaluation;
o   requirements to address problems identified in review of the application; or
o   revised budget and narrative justification.

- Performance Goals and Objectives

  If your application is funded, you will be held accountable for the information provided in the application relating to performance targets. SAMHSA program officials will consider your progress in meeting goals and objectives, as well as your failures and strategies for overcoming them, when making an annual recommendation to continue the grant and the amount of any continuation award. Failure to meet stated goals and objectives may result in suspension or termination of the grant award, or in reduction or withholding of continuation awards.

- Accessibility Provisions for All Grant Application Packages and Funding Opportunity Announcements

  Recipients of federal financial assistance (FFA) from HHS must administer their programs in compliance with federal civil rights law. This means that recipients of HHS funds must ensure equal access to their programs without regard to a person's race, color, national origin, disability, age and, in some circumstances, sex and religion. This includes ensuring your programs are accessible to persons with limited English proficiency. HHS provides guidance to recipients of FFA on meeting their legal obligation to take reasonable steps to provide meaningful access to their programs by persons with limited English proficiency. Please see http://www.hhs.gov/civil-rights/for-individuals/special-topics/limited-english-proficiency/index.html. The HHS Office for Civil Rights also provides guidance on complying with civil rights laws enforced by HHS. Please see http://www.hhs.gov/ocr/civilrights/understanding/section1557/index.html; and http://www.hhs.gov/civil-rights/for-providers/index.html. Recipients of FFA also have specific legal obligations for serving qualified individuals with disabilities. Please see http://www.hhs.gov/ocr/civilrights/understanding/disability/index.html. Please contact the HHS Office for Civil Rights for more information about obligations

and prohibitions under federal civil rights laws at http://www.hhs.gov/ocr/office/about/rgn-hqaddresses.html or call 1-800-368-1019 or TDD 1-800-537-7697. Also note it is an HHS Departmental goal to ensure access to quality, culturally competent care, including long-term services and supports, for vulnerable populations. For further guidance on providing culturally and linguistically appropriate services, recipients should review the National Standards for Culturally and Linguistically Appropriate Services in Health and Health Care at http://minorityhealth.hhs.gov/omh/browse.aspx?lvl=2&lvlid=53.

- Cultural and Linguistic Competence

  Recipients of federal financial assistance (FFA) from HHS serve culturally and linguistically diverse communities that are not just defined by race or ethnicity, but also socio-economic status, sexual orientation, gender identity, physical and mental ability, age, and other factors. Organizational behaviors, practices, attitudes, and policies across all SAMHSA-supported entities respect and respond to the cultural diversity of communities, clients and students served.

  If your application is funded, you must ensure access to quality health care for all. Quality care means access to services, information, and materials delivered by competent providers in a manner that factors in the language needs, health literacy, culture, and diversity of the populations served. Quality also means that data collection instruments used should adhere to culturally competent and linguistically appropriate norms. For additional information and guidance, refer to the National Standards for Culturally and Linguistically Appropriate Services (CLAS) published by the U.S. Department of Health and Human Services at https://www.thinkculturalhealth.hhs.gov/. Additional cultural/linguistic competency and health literacy tools, and resources are available online at http://www.samhsa.gov/capt/applying-strategic-prevention/cultural-competence

- Acknowledgement of Federal Funding

  As required by HHS appropriations acts, all HHS recipients must acknowledge Federal funding when issuing statements, press releases, requests for proposals, bid invitations, and other documents describing projects or programs funded in whole or in part with Federal funds. Recipients are required to state (1) the percentage and dollar amounts of the total program or project costs financed with Federal funds and (2) the percentage and dollar amount of the total costs financed by nongovernmental sources.

- DOMA: Implementation of United States v. Windsor and Federal Recognition of Same-Sex Spouses/Marriages

  A special term of award may be included in the final NoA that states: "On June 26, 2013, in <u>United States v. Windsor</u>, the Supreme Court held that section 3 of the Defense of Marriage Act (DOMA), which prohibited federal recognition of same-sex marriages, was unconstitutional. As a result of that decision and consistent with HHS policy, SAMHSA recognizes same-sex marriages and same-sex spouses on equal terms with opposite sex-marriages and opposite-sex spouses, regardless of where the couple resides. On June 26, 2015, in <u>Obergefell v. Hodges</u>, the Court held that the Fourteenth Amendment requires a State to license a marriage between two people of the same sex and to recognize a marriage between two people of the same sex when their marriage was lawfully licensed and performed out-of-state. Consistent with both of these decisions, you must treat as valid the marriages of same- sex couples. This policy does not apply to registered domestic partnerships, civil unions or similar formal relationships recognized under state law as something other than a marriage."

- Supplement Not Supplant

  Grant funds may be used to supplement existing activities. Grant funds may not be used to supplant current funding of existing activities. "Supplant" is defined as replacing funding of a recipient's existing program with funds from a federal grant.

- Mandatory Disclosures

  A term may be added to the NoA which states:" Consistent with 45 CFR 75.113, applicants and recipients must disclose in a timely manner, in writing to the HHS awarding agency, with a copy to the HHS Office of Inspector General (OIG), all information related to violations of federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the federal award. Subrecipients must disclose, in a timely manner, in writing to the prime recipient (pass through entity) and the HHS OIG, all information related to violations of federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the federal award. Disclosures must be sent <u>in writing </u>to the awarding agency and to the HHS OIG at the following addresses:

  SAMHSA
  Attention: Office of Financial Advisory Services
  5600 Fishers Lane
  Rockville, MD 20857

AND

U.S. Department of Health and
Human Services Office of
Inspector General
ATTN: Mandatory Grant Disclosures, Intake
Coordinator
330 Independence Avenue, SW, Cohen
Building
Room 5527
Washington, DC 20201

Fax: (202) 205-0604 (Include "Mandatory Grant Disclosures" in subject line)

or email: MandatoryGranteeDisclosures@oig.hhs.gov

Failure to make required disclosures can result in any of the remedies described in 45 CFR 75.371 Remedies for noncompliance, including suspension or debarment (See 2 CFR parts 180 & 376 and 31 U.S.C. 3321)."

- System for Award Management (SAM) Reporting

  A term may be added to the NoA that states: "In accordance with the regulatory requirements provided at 45 CFR 75.113 and Appendix XII to 45 CFR Part 75, recipients that have currently active federal grants, cooperative agreements, and procurement contracts with cumulative total value greater than $10,000,000, must report and maintain information in the System for Award Management (SAM) about civil, criminal, and administrative proceedings in connection with the award or performance of a federal award that reached final disposition within the most recent five-year period. The recipient also must make semiannual disclosures regarding such proceedings. Proceedings information will be made publicly available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (FAPIIS)). Full reporting requirements and procedures are found in Appendix XII to 45 CFR Part 75."

- Drug-Free Workplace

  A term may be added to the NoA that states: "You as the recipient must comply with drug-free workplace requirements in Subpart B (or Subpart C, if the recipient is an individual) of part 382, which adopts the Government-wide implementation (2 CFR part 182) of section 5152-5158 of the Drug-Free

Workplace Act of 1988 (Pub. L. 100-690, Title V, Subtitle D; 41 U.S.C. 701-707)."

- Smoke-Free Workplace

  The Public Health Service strongly encourages all award recipients to provide a smoke-free workplace and to promote the non-use of all tobacco products. Further, Public Law (P.L.) 103-227, the Pro-Children Act of 1994, prohibits smoking in certain facilities (or in some cases, any portion of a facility) in which regular or routine education, library, day care, health care or early childhood development services are provided to children.

- Standards for Financial Management

  Recipients are required to meet the standards and requirements for financial management systems set forth in 45 CFR part 75. The financial systems must enable the recipient to maintain records that adequately identify the sources of funds for federally assisted activities and the purposes for which the award was used, including authorizations, obligations, unobligated balances, assets, liabilities, outlays or expenditures, and any program income. The system must also enable the recipient to compare actual expenditures or outlays with the approved budget for the award.

  SAMHSA funds must retain their award-specific identity—they may not be commingled with state funds or other federal funds. ["Commingling funds" typically means depositing or recording funds in a general account without the ability to identify each specific source of funds for any expenditure.]

- Trafficking in Persons

  Awards issued by SAMHSA are subject to the requirements of Section 106(g) of the Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. 7104). For the full text of the award term, go to http://www.samhsa.gov/grants/grants-management/notice-award-noa/standard-terms-conditions.

  NOTE: The signature of the AOR on the application serves as the required certification of compliance for your organization regarding the administrative and national policy requirements

3. PUBLICATIONS

Grantees are required to notify the Government Project Officer (GPO) and SAMHSA's Publications Clearance Officer (240-276-2130) of any materials based on the SAMHSA-funded grant project that are accepted for publication.
In addition, SAMHSA requests that grantees:

- Provide the GPO and SAMHSA Publications Clearance Officer with advance copies of publications.

- Include acknowledgment of the SAMHSA grant program as the source of funding for the project.

- Include a disclaimer stating that the views and opinions contained in the publication do not necessarily reflect those of SAMHSA or the U.S. Department of Health and Human Services, and should not be construed as such.

SAMHSA reserves the right to issue a press release about any publication deemed by SAMHSA to contain information of program or policy significance to the substance abuse treatment/substance abuse prevention/mental health services community.

Appendix A – Help Desk Information (Grants.gov, eRA Commons, and ASSIST)

Grants.gov Help Desk Contacts

If you experience problems downloading forms, you can access the Grants.gov Customer Support site.

If you encounter Grants.gov registration or submission issues, please contact the Grants.gov Help Desk at:

- By e-mail: support@grants.gov

- By phone: (toll-free) 1-800-518-4726 (1-800-518-GRANTS). The Grants.gov Contact Center is available 24 hours a day, 7 days a week, excluding federal holidays.

[Note: Make sure you receive a case/ticket/reference number that documents the issues/problems with Grants.gov]

eRA Help Desk Contacts

If you experience system validation or technical issues throughout the application submission process, or after hours on the application due date, refer to the eRA Commons main webpage or contact the **eRA Help desk** to submit a web ticket:

- eRA Help Desk: http://grants.nih.gov/support/

- Telephone: 1-866-504-9552 (toll-free) or 301-402-7469. **Business hours are Monday to Friday from 7am – 8pm Eastern Time.**
- Submitting a Web Ticket: http://grants.nih.gov/support/index.html

ASSIST Help Desk Contacts

If you experience problems accessing or using ASSIST, you can:
- Access the ASSIST Online Help Site at: https://era.nih.gov/erahelp/assist/

- Or contact the eRA Help Desk

Appendix B – Intergovernmental Review (E.O. 12372) Requirements

States with SPOCs

All SAMHSA grant programs are covered under Executive Order (EO) 12372, as implemented through Department of Health and Human Services (DHHS) regulation at 45 CFR Part 100. Under this Order, states may design their own processes for reviewing and commenting on proposed federal assistance under covered programs. Certain jurisdictions have elected to participate in the EO process and have established State Single Points of Contact (SPOCs). A current listing of SPOCs can be downloaded from the Office of Management and Budget (OMB) website at http://www.whitehouse.gov/omb/grants_spoc.

- Check the list to determine whether your state participates in this program. You do not need to do this if you are an American Indian/Alaska Native tribe or tribal organization.

- If your state participates, contact your SPOC as early as possible to alert him/her to the prospective application(s) and to receive any necessary instructions on the state's review process.

- For proposed projects serving more than one state, you are advised to contact the SPOC of each affiliated state.

- The SPOC should send any state review process recommendations to the following address within 60 days of the application deadline: Christopher Craft, Director of Grant Review, Office of Financial Resources, Substance Abuse and Mental Health Services Administration, Room 17E06, 5600 Fishers Lane, Rockville, MD 20857. ATTN: SPOC – Funding Announcement No. (*insert the FOA # here).*

States without SPOCs

If your state does not have a SPOC and you are a community-based, non-governmental service provider, you must submit a Public Health System Impact Statement (PHSIS)[1] to the head(s) of appropriate state and local health agencies in the area(s) to be

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[1] Approved by OMB under control no. 0920-0428; Public reporting burden for the Public Health System Reporting Requirement is estimated to average 10 minutes per response, including the time for copying the first page of SF-424 and the abstract and preparing the letter for mailing. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. The OMB control number for this project is 0920-0428. Send comments regarding this burden to CDC Clearance Officer, 1600 Clifton Road, MS D-24, Atlanta, GA 30333, ATTN: PRA (0920-0428).

affected no later than the application deadline. The PHSIS is intended to keep state and local health officials informed of proposed health services grant applications submitted by community-based, non-governmental organizations within their jurisdictions. If you are a <u>state or local government or American Indian/Alaska Native tribe or tribal organization, you are not subject to these requirements</u>.

The PHSIS consists of the following information:

- a copy of the first page of the application (SF-424); and

- a summary of the project, no longer than one page in length that provides: 1) a description of the population to be served; 2) a summary of the services to be provided; and 3) a description of the coordination planned with appropriate state or local health agencies.

For SAMHSA grants, the appropriate state agencies are the Single State Agencies (SSAs) for substance abuse and mental health. A listing of the SSAs for substance abuse and the SSAs for mental health can be found on SAMHSA's website at http://www.samhsa.gov/grants/applying/forms-resources. If the proposed project falls within the jurisdiction of more than one state, you should notify all representative SSAs.

Review the Funding Opportunity Announcement (FOA): Part I, Section IV-1, carefully to determine if you must include an attachment with a copy of a letter transmitting the PHSIS to the SSA. The letter must notify the state that, if it wishes to comment on the proposal, its comments should be sent no later than 60 days after the application deadline to the following address: Christopher Craft, Director of Grant Review, Office of Financial Resources, Substance Abuse and Mental Health Services Administration, Room 17E06, 5600 Fishers Lane, Rockville, MD 20857. ATTN: SSA – Funding Announcement No. (*insert the FOA # here)*.

In addition:

- Applicants may request that the SSA send them a copy of any state comments.

- The applicant must notify the SSA within 30 days of receipt of an award.

Appendix C – Standard Funding Restrictions

HHS has adopted the Office of Management and Budget (OMB) Guidance in 2 CFR Part 200 *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards*, and has codified the text, with HHS-specific amendments, in 45 CFR Part 75. The standards set forth in 45 CFR Part 75*,* became effective for awards made after December 26, 2014. Cost principles describing allowable and unallowable expenditures for HHS grantees are provided in 45 CFR Part 75, which is available at http://www.samhsa.gov/grants/grants-management/policies-regulations/requirements-principles.

SAMHSA grant funds must be used for purposes supported by the program and may not be used to:

- Pay for any lease beyond the project period.

- Provide services to incarcerated populations (defined as those persons in jail, prison, detention facilities, or in custody where they are not free to move about in the community).

- Pay for the purchase or construction of any building or structure to house any part of the program. (Applicants may request up to $75,000 for renovations and alterations of existing facilities, if necessary and appropriate to the project.)

- Pay for housing other than residential mental health and/or substance abuse treatment.

- Provide residential or outpatient treatment services when the facility has not yet been acquired, sited, approved, and met all requirements for human habitation and services provision. (Expansion or enhancement of existing residential services is permissible.)

- Provide inpatient treatment or hospital-based detoxification services. Residential services are not considered to be inpatient or hospital-based services.

- Only allowable costs associated with the use of federal funds are permitted to fund evidence-based practices (EBPs). Other sources of funds may be used for unallowable costs (e.g., meals, sporting events, entertainment). Other support is defined as funds or resources, whether federal, non-federal or institutional, in direct support of activities through fellowships, gifts, prizes, or in-kind contributions.

- Make direct payments to individuals to induce them to enter prevention or treatment services. However, SAMHSA discretionary grant funds may be used for non-clinical support services (e.g., bus tokens, child care) designed to improve access to and retention in prevention and treatment programs.

- Make direct payments to individuals to encourage attendance and/or attainment of prevention or treatment goals. However, SAMHSA discretionary grant funds may be used for non-cash incentives of up to $30 to encourage attendance and/or attainment of prevention or treatment goals when the incentives are built into the program design and when the incentives are the minimum amount that is deemed necessary to meet program goals. SAMHSA policy allows an individual participant to receive more than one incentive over the course of the program. However, non-cash incentives should be limited to the minimum number of times deemed necessary to achieve program outcomes. A grantee or treatment or prevention provider may also provide up to $30 cash or equivalent (coupons, bus tokens, gifts, child care, and vouchers) to individuals as incentives to participate in required data collection follow up. This amount may be paid for participation in each required interview.

- Meals are generally unallowable unless they are an integral part of a conference grant or specifically stated as an allowable expense in the FOA. Grant funds may be used for light snacks, not to exceed $3.00 per person.

- Consolidated Appropriations Act, 2016, Division H states, SEC. 520, Notwithstanding any other provision of this Act, no funds appropriated in this Act shall be used to purchase sterile needles or syringes for the hypodermic injection of any illegal drug. Provided, that such limitation does not apply to the use of funds for elements of a program other than making such purchases if the relevant state or local health department, in consultation with the Centers for Disease Control and Prevention, determines that the state or local jurisdiction, as applicable, is experiencing, or is at risk for, a significant increase in hepatitis infections or an HIV outbreak due to injection drug use, and such program is operating in accordance with state and local law. Please contact your GPO for further guidance.

- Pay for pharmacologies for HIV antiretroviral therapy, sexually transmitted diseases (STD)/sexually transmitted illnesses (STI), TB, and hepatitis B and C, or for psychotropic drugs.

- Outside individuals or companies that prepare or participate in the preparation of grant applications may not be contractors on those grants per 45 CFR 75.328, which addresses full and open competition.

- Proposal costs are the costs of preparing bids, proposals, or applications on potential federal and non-federal awards or projects, including the development of data necessary to support the non-federal entity's bids or proposals. Proposal costs of the current accounting period of both successful and unsuccessful bids and proposals normally should be treated as indirect (F&A) costs and allocated currently to all activities of the non-federal entity. No proposal costs of past accounting periods will be allocable to the current period.

Appendix D – Biographical Sketches and Position Descriptions

Include position descriptions for the Project Director and all key personnel. Position descriptions should be no longer than one page each.

For staff who have been identified, include a biographical sketch for the Project Director and other key positions. Each sketch should be two pages or less.

Biographical Sketch

Existing curricula vitae of project staff members may be used if they are updated and contain all items of information requested below. You may add any information items listed below to complete existing documents. For development of new curricula vitae include items below in the most suitable format:

1. Name of staff member
2. Educational background: school(s), location, dates attended, degrees earned (specify year), major field of study
3. Professional experience
4. Honors received and dates
5. Recent relevant publications
6. Other sources of support [Other support is defined as all funds or resources, whether federal, non-federal, or institutional, available to the Project Director/Program Director (and other key personnel named in the application) in direct support of their activities through grants, cooperative agreements, contracts, fellowships, gifts, prizes, and other means.]

Position Description

1. Title of position
2. Description of duties and responsibilities
3. Qualifications for position
4. Supervisory relationships
5. Skills and knowledge required
6. Personal qualities
7. Amount of travel and any other special conditions or requirements
8. Salary range
9. Hours per day or week

Appendix E – Addressing Behavioral Health Disparities

In April 2011, the Department of Health and Human Services (HHS) released its *Action Plan to Reduce Racial and Ethnic Health Disparities*. This plan outlines goals and actions HHS agencies, including SAMHSA, will take to reduce health disparities among racial and ethnic minorities. Agencies are required to continuously assess the impact of their policies and programs on health disparities. The Action Plan is available at: http://minorityhealth.hhs.gov/npa/files/Plans/HHS/HHS_Plan_complete.pdf.

The number one Secretarial priority in the Action Plan is to: "**Assess and heighten the impact of all HHS policies, programs, processes, and resource decisions to reduce health disparities.** HHS leadership will assure that: Program grantees, as applicable, will be required to submit health disparity impact statements as part of their grant applications. Such statements can inform future HHS investments and policy goals, and in some instances, could be used to score grant applications if underlying program authority permits." (See disparity impact statement examples at: http://www.samhsa.gov/grants/grants-management/disparity-impact-statement.)

To accomplish this, SAMHSA expects grantees to utilize their data to: (1) identify the number of individuals to be served during the grant period and identify subpopulations (i.e., racial, ethnic, sexual, and gender minority groups) vulnerable to behavioral health disparities; (2) implement a quality improvement plan for the use of program data on access, use, and outcomes to support efforts to decrease the differences in access to, use, and outcomes of service activities; and (3) identify methods for the development of policies and procedures to ensure adherence to the National Standards for Culturally and Linguistically Appropriate Services (CLAS) in Health and Health Care.

Definition of Health Disparities:

Healthy People 2020 defines a health disparity as a "particular type of health difference that is closely linked with social, economic, and/or environmental disadvantage. Health disparities adversely affect groups of people who have systematically experienced greater obstacles to health based on their racial or ethnic group; religion; socioeconomic status; gender; age; mental health; cognitive, sensory, or physical disability; sexual orientation or gender identity; geographic location; or other characteristics historically linked to discrimination or exclusion."

Subpopulations

SAMHSA grant applicants are routinely asked to define the population they intend to serve given the focus of a particular grant program (e.g., adults with serious mental illness [SMI] at risk for chronic health conditions; young adults engaged in underage drinking; populations at risk for contracting HIV/AIDS, etc.). Within these populations of focus are *subpopulations* that may have disparate access to, use of, or outcomes from

provided services. These disparities may be the result of differences in language, beliefs, norms, values, and/or socioeconomic factors specific to that subpopulation. For instance, Latino adults with SMI may be at heightened risk for metabolic disorder due to lack of appropriate in-language primary care services; Native American youth may have an increased incidence of underage drinking due to coping patterns related to historical trauma within the Native American community; and African American women may be at greater risk for contracting HIV/AIDS due to lack of access to education on risky sexual behaviors in urban low-income communities. While these factors might not be pervasive among the general population served by a grantee, they may be predominant among subpopulations or groups vulnerable to disparities. It is imperative that grantees understand who is being served within their community in order to provide care that will yield positive outcomes, per the focus of that grant. In order for organizations to attend to the potentially disparate impact of their grant efforts, applicants are asked to address access, use and outcomes for subpopulations, which can be defined by the following factors:

- By race
- By ethnicity
- By gender (including transgender populations)
- By sexual orientation (including lesbian, gay and bisexual populations)

HHS published final standards for data collection on race, ethnicity, sex, primary language and disability status, as required by Section 4302 of the Affordable Care Act in October 2011, http://aspe.hhs.gov/datacncl/standards/ACA/4302/index.shtml.

The ability to address the quality of care provided to subpopulations served within SAMHSA's grant programs is enhanced by programmatic alignment with the federal CLAS standards.

National Standards for Culturally and Linguistically Appropriate Services (CLAS) in Health and Health Care

The National CLAS standards were initially published in the Federal Register on December 22, 2000. Culturally and linguistically appropriate health care and services, broadly defined as care and services that are respectful of and responsive to the cultural and linguistic needs of all individuals, is increasingly seen as essential to reducing disparities and improving health care quality. The National CLAS Standards have served as catalyst and conduit for the evolution of the field of cultural and linguistic competency over the course of the last 12 years. In recognition of these changes in the field, the HHS Office of Minority Health undertook the National CLAS Standards Enhancement Initiative from 2010 to 2012.

The enhanced National CLAS Standards seek to set a new bar in improving the quality of health to our nation's ever diversifying communities. Enhancements to the National

CLAS Standards include the broadening of the definitions of health and culture, as well as an increased focus on institutional governance and leadership. The enhanced National Standards for Culturally and Linguistically Appropriate Services in Health and Health Care are comprised of 15 Standards that provide a blueprint for health and health care organizations to implement culturally and linguistically appropriate services that will advance health equity, improve quality, and help eliminate health care disparities.

You can learn more about the CLAS mandates, guidelines, and recommendations at: http://www.ThinkCulturalHealth.hhs.gov.

Examples of a Behavioral Health Disparity Impact Statement are available on the SAMHSA website at http://www.samhsa.gov/grants/grants-management/disparity-impact-statement.