

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

**FY 2016 Funding Opportunity Announcement
(FOA): PART II**

**General Policies and Procedures Applicable to all
SAMHSA Applications 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 Guidance". PART I is individually tailored for each FOA. PART II includes requirements that are common to all SAMHSA FOAs. You must use both documents in preparing your application.

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 this Funding Opportunity Announcement (FOA). These changes apply only to those submitting an application for SAMHSA's Targeted Capacity Expansion HIV (TCE-HIV: Minority Women) program and the National Child Traumatic Stress Initiative – Category II program (NCTSI-II). Applicants applying to these two specific programs must register with NIH's **eRA Commons** (see [Appendix A](#)).

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.

***WEBINAR for TCE-HIV: Minority Women Applicants to be held on MARCH 9, 2016**

***WEBINAR for NCTSI-II Applicants to be held on New Date: MARCH 16, 2016**

To assist applicants with the registration and application submission processes, SAMHSA will be hosting webinars on **March 9, 2016** and **March 16, 2016**. Please visit the SAMHSA website for details on webinar dates, times, and registration.

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I. APPLICATION AND SUBMISSION INFORMATION

IMPORTANT: Due to SAMHSA's transition to NIH's eRA grants system, SAMHSA has made changes to the application registration, submission, and formatting requirements. If you are applying for SAMHSA's Targeted Capacity Expansion TCE-HIV (TCE-HIV: Minority Women) program or the National Child Traumatic Stress Initiative – Category II (NCTSI-II) program you must register in NIH's **eRA (electronic Research Administration) Commons**.

NIH's eRA Commons is an online interface where grant applicants, grantees, and federal staff at SAMHSA and grantor agencies can access and share administrative information relating to grants. 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. 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 your submitted 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 this section, and refer to **Appendix A** (*Guidance for Registration Processes*) and **Appendix B** (*Screen-out Criteria, Formatting Requirements, and Validations for SAMHSA Grant Applications*) of this document for additional guidance.

1. APPLICATION SUBMISSION REQUIREMENTS OVERVIEW

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:

- **DOWNLOAD APPLICATION PACKAGE:** 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. Refer to Section I-2, '[Download Application Package](#)' for details on how to download the Application Package from Grants.gov. You must download additional required documents from the SAMHSA website to complete your application. (See [Section 1-2](#).)

- **REGISTER:** 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.

Refer to Section I-3, '[Application Registration Process](#)' and **Appendix A (Guidance for Registration Processes)** for more information on how to complete your registrations.

- **COMPLETE APPLICATION:** Complete all required documents. Refer to Section I-4, 'Required Application Components' for a full list of required documents. You must comply with all formatting requirements provided in [Appendix B \(Screen-out Criteria, Formatting Requirements, and Validations for SAMHSA Grant Applications\)](#) 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.

- **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.

2. DOWNLOAD APPLICATION: RETRIEVE APPLICATION PACKAGE

You must go to both Grants.gov (<http://www.Grants.gov>) **and** the SAMHSA website (<http://www.samhsa.gov/grants/applying>) 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 Funding Opportunity Announcement (FOA): PART I.

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 and documents**, refer to the [‘Required Application Components’](#) section of this document.

3. REGISTER: APPLICATION REGISTRATION PROCESS

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). You must complete **four (4) registration processes** 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.

DUNS, SAM, Grants.gov, and eRA Commons are all distinct, one-time registrations. It is strongly recommended that applicants start all registration processes **at least six (6) weeks** in advance of the application due date.

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 receive notifications on the status of your application, have access to electronic submission, and retrieve grant information.

Please refer to [Appendix A \(Guidance for Registration Processes\)](#) for more information on the DUNS, SAM, Grants.gov, and eRA Commons registration processes.

4. APPLY: REQUIRED APPLICATION COMPONENTS

Applications must include the following required application components (i.e., documents and forms). The table below 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 Application Kit Package
2	SF-424 A (Budget Information – Non-Construction Programs) Form	This form is designed so that an application can be made for funds from one or more grant programs. 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 Application Kit Package
3	HHS Checklist Form	The HHS Checklist ensures that you have obtained the proper signatures, assurances, and certifications. You must complete the entire form , including the top portion, “Type of Application”, indicating if this is a new, noncompeting continuation, competing continuation, or supplemental application, as well as Parts A through D. All SAMHSA Notices of Award (NoAs) will be emailed by SAMHSA, via NIH’s eRA Commons, to the Business Official’s email address submitted with the application.	Grants.gov Application Kit Package
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 Application Kit Package
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	Grants.gov Application Kit

		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.	Package
6	Project Narrative Attachment	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 Application Kit Package
7	Budget Narrative Attachment	Applicants must include a detailed Budget Narrative in addition to the Budget Form SF-424A.	Grants.gov Application Kit Package
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 http://www.samhsa.gov/grants/applying/forms-resources
9	Required only If Applicable: 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 Application Kit Package

In addition to the Standard Application Components listed above, the following additional components are required and must be attached to your application. For each of the following application components, attach each document (Adobe PDF format only) inside the SF-424 (Application for Federal Assistance) Form using the file attachment feature available in Field 15 (“Attach supporting documents as specified in agency instructions”).

#	Additional Application Components	Description	Source
1	Certifications	You must read the “List of Certifications” provided on the SAMHSA website and check the box marked ‘I Agree’ before signing the first page [SF-424] of the application	SAMHSA Website http://www.samhsa.gov/grants/applying/forms-resources
2	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 http://www.samhsa.gov/grants/applying/forms-resources
3	Charitable Choice Form SMA 170	See Section IV-1 of the Funding Opportunity Announcement (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 http://www.samhsa.gov/grants/applying/forms-resources
4	Biographical Sketches and Job Descriptions	See Section IV-1 and Appendix E of this document for what you should include in your biographical sketches and job descriptions.	Section IV-1 and Appendix E of this document.
5	Confidentiality and SAMHSA Participant Protection/Human Subjects	See the Funding Opportunity Announcement (FOA): PART I for requirements related to confidentiality, participant protection, and the protection of human subjects regulations.	TCE-HIV: Minority Women FOA; PART I – Appendix III. NCTSI-II FOA: PART I – Appendix I.
6	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.

4.1 Application Formatting Requirements and Validations

With SAMHSA’s transition to NIH’s eRA grants system, there are **new application formatting requirements and validations for this Funding Opportunity Announcement** (i.e., any 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. **Applications that do not comply with these requirements will be screened out and will not be reviewed.**

Please see [Appendix B](#) (Screen-out Criteria, *Formatting Requirements, and Validations for SAMHSA Grant Applications*) for sAMHSA-specific application formatting requirements, Grants.gov requirements, and the list of **new data formatting requirements and validations for eRA Commons.**

5. SUBMIT APPLICATION: ELECTRONIC SUBMISSION (Grants.gov, eRA Commons)

After completing all required registration and application requirements, you must **electronically submit your application** via [Grants.gov \(http://www.grants.gov\)](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.

5.1 Application Resubmission (Grants.gov, eRA Commons)

If SAMHSA does not receive your application by the application due date due to a failure in the SAM, Grants.gov, or NIH's eRA Commons systems, you must contact the Division of Grants Review within **one business day after the official due date** 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.

II. INTERGOVERNMENTAL REVIEW (E.O. 12372) REQUIREMENTS

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. See [Appendix C](#) for additional information on these requirements as well as requirements for the Public Health Impact Statement.

III. FUNDING LIMITATIONS/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 grantees also must comply with SAMHSA's standard funding restrictions, which are included in Appendix D of this document.

IV. SUPPORTING DOCUMENTATION

1. BIOGRAPHICAL SKETCHES AND JOB DESCRIPTIONS

- Include position descriptions for the Project Director and all key personnel. Position descriptions should be no longer than 1 page each.
- For staff who have been identified, include a biographical sketch for the Project Director and other key positions. Each sketch should be 2 pages or less.
- Information on what you should include in your biographical sketches and job descriptions can be found in Appendix E of this document.

2. CONFIDENTIALITY AND SAMHSA PARTICIPANT PROTECTION/HUMAN SUBJECTS

See Funding Opportunity Announcement (FOA): PART I – Section V-1, to determine if you are required to describe procedures relating to confidentiality, participant protection and the protection of human subjects regulations.

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 Business Official's email address identified on the HHS Checklist form submitted with the application. 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 grant award. 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>.

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

- A special term of award may be included in the final NoA that states: “On June 26, 2013, in United States v. Windsor, 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 Obergefell v. Hodges, 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.”
- Grant funds cannot 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.
- 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 in writing 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)."

- 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."

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 – Guidance for Registration Processes

Applicants must complete **four (4) registration processes** 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 registrations.

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.

Grants.gov Registration

[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 registrations 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. The registration processes for obtaining a DUNS number, SAM, and Grants.gov username and password are as follows:

1. Dun & Bradstreet Data Universal Numbering System (DUNS) Number registration:

SAMHSA applicants are required to provide their DUNS number on the first page of 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).**

2. System for Award Management (SAM) registration:

The SAM system is a federal government owned and operated free website.

To create a user account, Register/Update entity and/or Search Records, go to <https://www.sam.gov>. Please start the registration process at least six (6) weeks in advance of the application due date.

You will find a ***Quick Start Guide for Entities Interested in Being Eligible for Grants through SAM*** at https://www.sam.gov/sam/transcript/Quick_Guide_for_Grants_Registrations.pdf

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. It is highly recommended that applicants renew their accounts prior to the expiration date.**

Note: 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.]

3. Grants.gov Registration (get username and password):

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>.

You will find additional information about the Grants.gov process at <http://www.grants.gov/web/grants/outreach/grantsgov-training.html>.

If you experience Grants.gov registration 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.

eRA Commons Registration

The National Institutes of Health (NIH)'s **eRA (electronic Research Administration) Commons** is an online interface where grant applicants, grantees, and federal staff at SAMHSA can access and share administrative information relating to grants. Registering in eRA Commons will provide applicants with a Commons ID to access their electronic submissions, retrieve grant information, and receive notifications on their application status. Please take the necessary steps to register in eRA Commons before submitting your application.

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](#) (Note: You must have a DUNS number to complete the eRA Commons registration):

U.S. Department of Health & Human Services www.hhs.gov

eRA Commons
A program of the National Institutes of Health

NIH OER
Welcome:
Institution: Not Affiliated
Roles:
[Contact Us](#) | [Help](#)

[Home](#) [eRA Partners](#)

Online Registration

Only Signing Officials can register their institutions with the NIH. Follow these directions to register your institution.

1. Complete the online Institution Registration Form and click Submit.
2. Agency will send you an email with the link to confirm your email address.
3. Once email address is verified, the Agency will review your request and let you know of the result via email.
4. If your request is denied, you will get an email notifying you of the reason.
5. If your Request is approved, you will get an email with your Commons user id and temporary password.
6. Log in to Commons with temporary password and system will prompt you to change temporary password to the permanent one. Contact SO will be prompted to electronically sign your registration request. (Please review your registration information carefully).
7. Once contact SO has electronically signed the request, your organization will be active in Commons and you may create and maintain additional accounts for your institution staff.

[Register Now](#)

Instructions on how to complete the online Institution Registration Form will be provided on the eRA Commons Online Registration Page.

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. 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 Authorized Organization Representative (AOR) from the SF-424 or the Business Official (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 Signing Official (SO), which can be either the Authorized Organization Representative (AOR) from the SF-424 or the Business Official (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 (see below).

The image shows a screenshot of the 'Application for Federal Assistance SF-424' form. At the top right, it displays 'OMB Number: 4040-0004' and 'Expiration Date: 8/31/2016'. The form is divided into several sections. The first section, 'Application for Federal Assistance SF-424', contains three main parts: 1. 'Type of Submission' with radio buttons for 'Preapplication', 'Application', and 'Changed/Continued Application'. 2. 'Type of Application' with radio buttons for 'New', 'Continuation', and 'Revision'. 3. 'If Revision, select appropriate letter(s):' and 'Other (Specify):' with text input fields. Below this, there are two rows: '3. Date Received:' with a text input field, and '4. Applicant Identifier:' with a text input field. At the bottom, there are two rows: '5a. Federal Entity Identifier:' and '5b. Federal Award Identifier:', each with a text input field. A red arrow points to the 'Date Received' field.

You can find additional information about the eRA Commons registration process at https://era.nih.gov/reg_accounts/register_commons.cfm.

eRA Contact and Help Desk Information

If you experience any other issues/problems, please refer to the eRA Commons [main webpage](#) or contact the **eRA Service Desk** to submit a web ticket:

- Telephone: 1-866-504-9552 (toll-free) or 301-402-7469. **Business hours are Monday to Friday from 7am – 8pm Eastern Time.**
- eRA Service Desk: <http://grants.nih.gov/support/>

The screenshot shows the NIH Office of Extramural Research website. At the top, there is a navigation bar with links for HOME, ABOUT GRANTS, FUNDING, FORMS & DEADLINES, GRANTS POLICY, eRA, NEWS & EVENTS, and ABOUT OER. Below this is a large blue banner with the text "Grants & Funding" and a small image of people. On the left side, there is a sidebar with "About OER" and "Web Site Resources" sections. The main content area features a "Need Help?" section with a cartoon wizard character and a list of help topics. Below this is the "Our Help Desks" section, which includes the "eRA Service Desk (formerly the eRA Commons Help Desk):" and a "Submit a web ticket" button. A "BETA" badge is visible in the top right corner of the main content area.

U.S. Department of Health & Human Services

NIH National Institutes of Health
Office of Extramural Research

Search

Glossary & Acronyms

HOME ABOUT GRANTS FUNDING FORMS & DEADLINES GRANTS POLICY eRA NEWS & EVENTS ABOUT OER

Grants & Funding

About OER

- OER and You
- OER Annual Reports
- OER Offices
- OER Vacancies
- Visiting NIH
- Contact Us

Web Site Resources

- Accessibility
- Advanced Search
- Disclaimer
- Help Downloading Files
- Privacy Notice
- Site Map
- Streaming Video Clips Help

Need Help?

How can we help you today?
Let Otis, our self-help wizard, guide you to the right place.

BETA
Tell us what you think

Please select from the following:

- Exploring NIH grants process and funding opportunities
- Preparing and submitting an application for an NIH Grant
- Tracking the application (status, etc.)
- Managing application after submission and before award
- Questions about Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) Programs.
- Managing my awarded grants
- Questions about loan repayment
- None of the above

Our Help Desks

eRA Service Desk (formerly the eRA Commons Help Desk):

[Submit a web ticket](#)

(preferred method of contact)

Appendix B – Screen-out Criteria, Formatting Requirements, and Validations for SAMHSA Grant Applications

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. **If you do not adhere to these requirements, your application will be screened out and will not be reviewed.**

- Use the SF-424 Application Form and SF-424A Budget Information Form.
- Applications must be received by the application due date and time, as detailed in Section IV-2 of the Funding Opportunity Announcement (FOA): PART I.
- You must be registered in Grants.gov, the Dun & Bradstreet Data Universal Numbering System (to obtain a DUNS number), the System for Award Management (SAM) and eRA Commons prior to submitting your application. **Applicants are strongly encouraged to register at least six (6) weeks in advance of the application due date.** The DUNS number used on your application must be registered and active in the SAM prior to submitting your application. **See Appendix A (Guidance for Registration Processes) for more information.**
- Information provided must be sufficient for review.
- 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.

To facilitate review of your application, follow the list of additional guidelines below. Failure to adhere to these guidelines will not, in itself, result in your application being screened out and returned without review. Following these guidelines will help ensure your application is complete, and will help reviewers to consider your application.

- Applications should comply with the following requirements:

- If applicable, provisions relating to confidentiality and participant protection/human subjects specified in the Funding Opportunity Announcement (FOA): PART I – Section V-1.
- Budgetary limitations as specified in Sections I, II, and IV-3 of the Funding Opportunity Announcement (FOA): PART I.
- Documentation of nonprofit status as required in the HHS Checklist.
- Black print should be used throughout your application, including charts and graphs (no color).
- The page limits for Attachments stated in Section IV-1 of the Funding Opportunity Announcement (FOA): PART I, should not be exceeded.

Grants.gov Requirements and Validations

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 the ['New Application Data Formatting Validations \(eRA Commons\)'](#) table.

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. Although Grants.gov allows applicants to attach any file format as part of their application, SAMHSA restricts this practice and only accepts PDF file format.

In addition, the use of compressed file formats such as ZIP, RAR or Adobe Portfolio will not be accepted.

New Application Data Formatting Validations (eRA Commons)

The following table is a list of **new application data formatting validations**. 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.

#	<i>Validations</i>	<i>Action if the Validation is not met</i>
1	DUNS numbers: The DUNS number provided on any forms must have valid characters (9 or 13 numbers with or without dashes).	<p>If the DUNS number provided has invalid characters (meaning other than 9 or 13 numbers) after stripping of dashes, the Business Official from your organization will receive the following email message from eRA Commons :</p> <p>“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).”</p>
2	<p>Submit required documentation in the application kit for the FOA.</p> <p>[Note: We recommend you use the latest package from grants.gov which will have the latest forms and templates required]</p>	<p>If you do not submit the documentation required in the application kit for the FOA, the Business Official from your organization will receive the following email message from eRA Commons:</p> <p>“The format of the application does not match the format of the Funding Opportunity Announcement (FOA). Please contact the eRA Help Desk for assistance.”</p>
3	Check the “Changed/Corrected Application” box in the SF424 form after making changes/corrections to resubmit an application.	<p>If applicants change/correct an error on their application, any subsequent submissions for the same FOA will result in an error and the Business Official from your organization will receive the following email message from eRA Commons:</p> <p>“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.”</p>
4	Applications cannot be larger than 1.2GB	<p>If the application exceeds 1.2GB, the Business Official from your organization will receive the following email message from eRA Commons:</p> <p>“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.”</p>
5	The Funding Opportunity Announcement (FOA) number must exist.	<p>If you enter an FOA number which does not exist, the Business Official from your organization will receive the following email message from eRA Commons:</p> <p>“The Funding Opportunity Announcement number does not exist.”</p>
6	All documents and attachments must be in PDF format.	<p>If you submit attachments which are not in PDF format, the Business Official from your organization will receive the following email message from eRA Commons:</p> <p>“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</p>

		http://grants.nih.gov/grants/ElectronicReceipt/pdf_guidelines.htm .”
7	<p>All attachments should comply with the following formatting requirement:</p> <ul style="list-style-type: none"> ○ PDF attachments cannot be empty (0 bytes). 	<p>If you submit attachments which do not comply with the stated formatting requirement, the Business Official from your organization will receive the following email message from eRA Commons:</p> <p>“The {0} 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.”</p>
8	<p>All attachments should comply with the following formatting requirement:</p> <ul style="list-style-type: none"> ○ PDF attachments cannot have Meta data missing, cannot be encrypted, password protected or secured documents. 	<p>If you submit attachments which do not comply with the stated formatting requirement, the Business Official from your organization will receive the following email message from eRA Commons:</p> <p>“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.”</p>
9	<p>All attachments should comply with the following formatting requirement:</p> <ul style="list-style-type: none"> ○ Size of PDF attachments cannot be larger than 8.5 x 11 inches (horizontally or vertically). <p>[Note: We recommend limiting size of attachments to 35 MB]</p>	<p>If you submit attachments which do not comply with the stated formatting requirement, the Business Official from your organization will receive the following email message from eRA Commons:</p> <p>“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.”</p>
10	<p>All attachments should comply with the following formatting requirement:</p> <ul style="list-style-type: none"> ○ 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. 	<p>If you submit attachments which do not comply with the stated formatting requirement, the Business Official from your organization will receive the following email message from eRA Commons:</p> <p>“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.”</p>

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 Business Official from your organization will receive the following email message from eRA Commons: "The submitted e-mail address for the person to be contacted {0}, 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.	If the Congressional district code of the applicant is not valid, the Business Official 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 Business Official 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."

System or Technical Issues: If you encounter a system issue that prevents you from completing the application submission process on time, the Business Official from your organization will receive the following email message from eRA Commons:

"Attention SAMHSA Applicants: A system error has occurred with your application and technical staff has been alerted and may attempt to reprocess the application within the hour. Your application may go through upon reprocessing. If not, or if this system issue impacts your ability to submit on time, follow our standard **Guidelines for Applicants Experiencing System Issues** by contacting the eRA Help desk (preferably using the web ticket option) to document your good faith attempt to submit and determine next steps."

Please refer to [eRA Contact and Help Desk Information](#) in [Appendix A](#) of this FOA for more information.

If SAMHSA does not receive your application through Grants.gov by the application due date due to a failure in the eRA Commons system, you must contact the Division of Grants Review within **one business day after the official due date.**

Please refer to section [5.1 Application Resubmission](#) for detailed instructions on how to resubmit your application.

Note: The eRA Help Desk business hours are **Monday to Friday from 7am – 8pm Eastern Time**. If you experience technical issues after hours on the application due date, submit a **Web ticket** at <http://grants.nih.gov/support/index.html> to document your good-faith attempt to submit your application.

Appendix C – 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, Acting 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

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 state or local government or American Indian/Alaska Native tribe or tribal organization, you are not subject to these requirements.

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, Acting 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 D – Funding Restrictions

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 \$2.50 per person.
- Funds may not be used to distribute sterile needles or syringes for the hypodermic injection of any illegal drug.
- 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.

SAMHSA will not accept a “research” indirect cost rate. The grantee must use the “other sponsored program rate” or the lowest rate available.

Appendix E – Biographical Sketches and Job Descriptions

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.]

Job 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 F – 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 subpopulations (i.e., racial, ethnic, sexual and gender minority groups) vulnerable to health disparities; and (2) implement strategies to decrease the differences in **access**, **service use**, and **outcomes** among those subpopulations. A strategy for addressing health disparities is use of 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>.