

DEPARTMENT OF HEALTH AND HUMAN SERVICES
Office of the Secretary

A. AGENCY: The Office of the Assistant Secretary for Planning and Evaluation (ASPE), Department of Health and Human Services (HHS).

B. ACTION: Announcement of the availability of funds and request for applications for a cooperative agreement to establish a National Research Center on Poverty and Economic Mobility.

C. Announcement Type. Initial Announcement

D. Funding Opportunity Number. The funding opportunity number for this FOA is AE-21-001

E. Catalog of Federal Domestic Assistance (CFDA) Number. The CFDA number is 93.239

F. Dates. The application deadline is August 9, 2021

Applications submitted through <http://www.grants.gov> must be received by Grants.gov no later than 11:59:59 pm Eastern Time on the application deadline date. Applicants need to be aware that following receipt, applications go through a validation process in which the application may be accepted or rejected. Hard copy submissions and any submission other than through grants.gov, eRA ASSIST, or another system to system (S2S) provider are not acceptable.

G. Additional Overview Content Information

1. **Available Funds.** This FOA announces the availability of approximately \$2.615 million in FY2022 funds for the National Research Center on Poverty and Economic Mobility.

2. **Maximum Award Amount.** The maximum amount of award is \$2.615 million for the first year.

3. **Length of Project Period:** Up to 5 years.

4. **Eligibility.** Eligible applicants for the National Research Center on Poverty and Economic Mobility are restricted to colleges, universities and other post-secondary degree granting entities.

5. **Matching Requirement.** Applications must meet a threshold requirement of match of at least \$1.00 for every \$4.00 of federal direct and indirect funds requested.

6. The application package and instructions may be obtained from <http://www.grants.gov> . Additional application instructions can be found in [Appendix B](#).

Official Notification of any technical corrections will be posted to Grants.gov.

SUMMARY: The goal of this solicitation is to improve the effectiveness of public policies that reduce poverty, inequality, and their consequences, promote economic mobility and equity, and further develop knowledge of the structural causes of poverty, inequality, and economic insecurity. To that end, the National Research Center on Poverty and Economic Mobility will: (1) develop a fellowship program that will place researchers on site¹ at HHS to work with federal policy, research, and/or program offices, (2) administer a grant program that will make multiple awards to policy researchers to conduct research and analysis to answer high-priority questions related to equity, inclusion, diversity, and access in economic mobility and human services policy and programs, and (3) collaborate with HHS to disseminate actionable findings which are relevant to primarily federal policy and research communities through co-hosted events.

CLOSING DATE: The closing date for submitting applications under this announcement is August 9, 2021.

ADDRESSES: Electronic applications must be submitted through www.grants.gov, eRA ASSIST or another system to system (S2S) provider. The U.S. Department of Health and Human Services Substance Abuse and Mental Health Services Administration Division of Grants Management will be servicing these grants for ASPE. Administrative questions will be accepted and responded to up to the closing date of receipt of applications. You will receive email confirmation to notify you that your application was received within 14 days of the closing date. If you do not receive confirmation within 14 days of the closing date, please contact Alec Vandenberg at alec.vandenberg@hhs.gov.

The posted notice through www.grants.gov is the only official program announcement. Any corrections to this announcement will be published on the www.grants.gov website. The applicant bears sole responsibility to assure that the copy downloaded and/or printed from any other source is up-to-date, accurate and complete.

FOR FURTHER INFORMATION CONTACT: Administrative questions should be directed to Eileen Bermudez, Grants Management Specialist, U.S. Department of Health and Human Services, Substance Abuse and Mental Health Services Administration, Division of Grants Management, phone: (240) 276-1412 E-mail: eileen.bermudez@samhsa.hhs.gov. Requests for forms and questions (administrative and technical) will be accepted and responded to up to the closing date of receipt of Applications. Technical questions should be directed to Alec Vandenberg, HHS, Office of Human Services Policy, alec.vandenberg@hhs.gov.

SUPPLEMENTARY INFORMATION: This program announcement consists of four parts: Part I: Background--Legislative authority, Eligible Applicants, Project History and Purpose, Available Funds, Matching Requirements, and Project and Budget Period; Part II: Awardee Goals and Responsibilities for the National Research Center on Poverty and Economic Mobility, Responsibilities of ASPE, Rights to Data; Part III: The Review Process--Intergovernmental

¹ ASPE expects fellows to follow the guidance for HHS staff regarding in-person and remote work.

Review, Initial Screening, Competitive Review and; Part IV: The Application--General Information, Application Development, Evaluation Criteria, Protection of Human Subjects Regulations, Application Submission, Disposition of Applications, Catalog of Federal Domestic Assistance (CFDA) Number, and Components of a Complete Application.

Part I. Background

A. Legislative Authority

This cooperative agreement program is authorized by Section 1110 of the Social Security Act (42 U.S.C. 1310) and awards will be made from funds appropriated under Public Law No. 75-2016-0120.

B. Eligible Applicants

Eligible applicants for the National Research Center on Poverty and Economic Mobility program are restricted to colleges, universities and other post-secondary degree granting entities. (For-profit entities are advised that no grant funds may be paid as profit to any recipient of a grant or sub grant. Profit is any amount in excess of allowable direct and indirect costs of the grantee.)

C. Project History and Purpose

HHS has a long history of supporting research and evaluation of critical and emerging social policy issues associated with the nature, causes, correlates, and consequences of poverty, inequality, income dynamics, individual and family functioning, and child well-being, and translating this research and evaluation into policy insights and action steps. Over the past five decades, HHS has funded Poverty Centers at multiple higher education institutions. HHS-funded Poverty Centers have historically conducted a broad program of research and evaluation; undertaken research coordination across government and academic institutions; identified and mentored emerging scholars; and developed and maintained networks for the dissemination of key policy-relevant results.

Substantively, the Poverty Center(s) funded through this program have informed policy discussions and development through analysis of poverty levels and trends; causes of poverty, inequality, and income instability; relevant national, regional and state economic contexts for families with low and otherwise unstable incomes; and government programs and policies affecting families struggling to make ends meet.

Under the current solicitation, we are seeking to continue many of the historical activities of the Poverty Centers, but with meaningful shifts in emphases, priorities and activities as described below. First, we seek for the National Research Center on Poverty and Economic Mobility to focus on research and shared insights that identify actionable opportunities to achieve equity in economic mobility policy and implementation. This solicitation defines equity as the consistent and systematic fair, just, and impartial treatment of all individuals, including individuals who

belong to under-served communities that have been denied such treatment, such as Black, Latino, Indigenous and Native American persons, Asian Americans and Pacific Islanders and other persons of color; members of religious minorities; lesbian, gay, bisexual, transgender, and queer (LGBTQ+) persons; persons with disabilities; persons who live in rural areas; and persons otherwise adversely affected by persistent poverty or inequality. Under-served communities are populations sharing a particular characteristic, as well as geographic communities, that have been systematically denied a full opportunity to participate in aspects of economic, social, and civic life, as exemplified by the list in the preceding definition of equity. See also *Executive Order 13985 Advancing Racial Equity and Support for Underserved Communities Through the Federal Government*.² Additionally, we expect the National Research Center on Poverty and Economic Mobility funded under this announcement to provide a greater emphasis on providing HHS with in-house data and policy research expertise, administration of research grants that meet the needs of HHS, and disseminating policy-relevant research through co-hosted events. We seek continued active and ongoing coordination and communication between researchers and policy makers, as well as targeted and effective dissemination of policy-focused findings and results. This new cooperative agreement replaces the current grant with the University of Wisconsin-Madison. There are no specific projects that must be continued from the current Poverty Center under this new award other than the continued administrative support of a current fellow through Spring 2020 as well as financial and administrative support of a fellow who will start work in the Administration for Children and Families, Office of Planning, Research & Evaluation (OPRE) around August 2021.

Cooperative Agreements are assistance mechanisms and subject to the same administrative requirements as grants. However, they are different from either a grant or a contract. They allow more involvement and collaboration by the government in the affairs of the project than a grant, but provide less direction of project activities than a contract. The Terms of Award are in addition to, not in lieu of, otherwise applicable guidelines and procedures.

D. Available Funds

HHS has available a total of \$2,615,000 for the first year of award for the Center. Of the total amount, we expect \$350,000 to go toward co-hosted events, including an annual praxis forum focused on building the field of policy-relevant poverty and economic mobility scholars. The Center will also make research grants and administer a grant program funded at \$565,000. The remaining funds (\$1,700,000) will support in-residence scholars or Intergovernmental Personnel Act (IPA) researchers in a fellowship program, with fellows to be located on site in ASPE and other HHS offices.

Activity	Funding
Events	\$350,000
Fellowship Program	\$1,700,000
Grant Program	\$565,000

² <https://www.whitehouse.gov/briefing-room/presidential-actions/2021/01/20/executive-order-advancing-racial-equity-and-support-for-underserved-communities-through-the-federal-government/>

Total for Fiscal Year 2022	\$2,615,000
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ASPE anticipates providing one National Research Center on Poverty and Economic Mobility (1) award. ASPE may choose to make no awards, multiple awards or make a lesser or greater award under this announcement.

E. Matching Requirements

The awardee must provide at least \$1.00 for every \$4.00 of the federal approved cost of the project, net of the in-residence fellowship and grant programs, from non-federal sources (e.g., source of non-federal support from the host institution, foundations, state government) for the first year. The total approved federal cost of the project is the sum of the federal share of direct and indirect costs. The non-federal share may be met by cash or in-kind contributions, although applicants are encouraged to meet their matching requirements through cash contributions. For example, in calculating the required match an awardee requesting the full \$2,615,000 in federal funds would subtract the \$1,700,000 for the in-residence fellowship program as well the \$565,000 for the grant program, leaving a request for \$350,000 of federal funds which would require a match of \$1 to \$4 match or \$87,500 non-federal dollars to match the \$350,000 federal funds for a total project budget of \$437,500 plus the fellowship and grant programs. Matching requirements for the second through fifth year of the award remain a minimum of \$1 nonfederal for every \$4 federal approved cost of the project. Matching requirements cannot be met with funds from other federally-funded programs. If a proposed project activity has approved funding support from other funding sources, the amount, duration, purpose, and source of the funds should be indicated in materials submitted under this announcement. If completion of the proposed project activity is contingent upon approval of funding from other sources, the relationship between the funds being sought elsewhere and from ASPE should be discussed in the budget information submitted as a part of the budget narrative. In both cases, the contribution that ASPE funds will make to the Center and the corresponding match should be clearly presented.

F. Project and Budget Period

ASPE expects to fund the National Research Center on Poverty and Economic Mobility for a period of five (5) years. The first year of ASPE federal funding for the National Research Center on Poverty and Economic Mobility will be up to \$2.615 million. Subject to the availability of future funds we expect to fund a second year through fifth year at the \$2 million level, not to exceed \$3 million.

Applications are to include separate budget estimates for each of the five years (see sample budget in [Appendix A](#)). Legislative authority and appropriations for continued funding of the Center during the five-year cooperative agreement period cannot be guaranteed and future year funding is subject to future appropriations and approval of the ASPE. ASPE expects, however, that the Center will be supported during future fiscal years of the award period at an annual level of effort consistent with the announced level. The awards pursuant to this announcement will be

made on or about September 1, 2021.

Part II. Responsibilities of the Awardee and ASPE in the Establishment and Operation of a National Research Center on Poverty and Economic Mobility

A. Awardee Responsibilities for the National Research Center on Poverty and Economic Mobility

In order to successfully promote the equitable health and well-being of the American people, policy makers need to have timely access to high-quality, relevant research on poverty, economic mobility, inequality, and their correlates. Key to fulfilling this goal is the coordination and communication among and between researchers, government policy analysts, and government policy makers focused on understanding and reducing poverty and advancing economic mobility; and supporting, mentoring, and enhancing the diversity of current and emerging poverty researchers.

The National Research Center on Poverty and Economic Mobility is expected to create an environment conducive to inter-disciplinary and inter-agency collaborations among social and behavioral scientists, policy analysts and policy makers with the goal of improving our knowledge of the causes and consequences of poverty and inequality as well as responses to advance economic mobility and to ameliorate poverty, inequality, and their impacts on the well-being of the populations which HHS serves, especially populations who have faced historical barriers to economic stability. The Center must have a major presence at a single site (university); however, innovative arrangements among colleges/universities and with individual scholars at other colleges/universities are encouraged to assure reach into multiple regions of the country and promote diversity.

As part of the goals and responsibilities the awardee will perform the following specific tasks:

1. Fellowship Program

The National Research Center on Poverty and Economic Mobility will create a program to provide onsite fellowships to scholars who meet the needs of HHS. These fellowships may take the form of post-doctoral placements, Intergovernmental Personnel Act (IPA) assignments, or other scholar arrangements as determined by the needs of HHS, and will include both early-career scholars and those who have significant experience. Students, graduates, and faculty of the awardee National Research Center on Poverty and Economic Mobility are eligible to participate in this program. However, applicants must make a concerted effort to recruit and support scholars for the fellowship program who have affiliation with or are alumni of institutions outside the Center's home institution. It is important that applicants demonstrate clear, evidence-informed plans drawing from a variety of fields and institutions to reach out to both emerging and more established researchers in various regions of the U.S. of diverse backgrounds, including but not limited to diversity of race, ethnicity, gender, religion, age, sexual orientation, and disability status. Outreach should also include institutions that serve

students who have historically faced barriers to accessing higher education and academia, such as Historically Black Colleges and Universities (HBCUs), Hispanic Serving Institutions (HSIs), and Tribal Colleges and Universities (TCUs).

Applicants also are encouraged to propose innovative approaches to increase HHS' access to policy-relevant poverty and economic mobility research, knowledge and awareness at colleges and universities that serve students who have historically faced barriers to accessing higher education and academia, such as HBCUs, HSIs and TCUs, for example through formal partnerships with other academic institutions, conducting seminars at outside colleges and universities, and creating opportunities for Center faculty, affiliates and students to be visiting scholars at other institutions and organizations to assure reach into multiple regions of the country and promote diversity.

During the first budget period the awardee is expected to continue to support the two aforementioned existing fellows as well as develop and widely publicize an announcement of the fellowship program with residence at HHS for appointments of up to two years beginning in 2022; solicit applications from a diverse set early career and more senior researchers and scholars in relevant fields whose scholarship has focused on poverty, economic mobility, and/or inequality; review applications; work with HHS to develop criteria for the applicants, develop criteria for evaluating fellowship applications, and identify suitable candidates. It is important that National Research Center on Poverty and Economic Mobility applicants demonstrate clear plans to reach out to both emerging and established scholars at universities that historically have not had the capacity to foster a program of poverty and economic mobility research and the training of poverty and economic mobility researchers, as well as to populations that historically have been under-represented among these researchers.

As part of their application National Research Center on Poverty and Economic Mobility applicants should demonstrate how they will link this scholarship program with their existing or proposed mentoring programs, including providing opportunities for program participants to spend some time at the National Research Center on Poverty and Economic Mobility. Applicants should also demonstrate how they will provide distance mentoring regarding research and career development for the emerging scholars participating in the fellowship program in residence at HHS. It is expected that the fellowship program will also include scholars who are more established or senior in their field who can contribute significant expertise to HHS economic mobility efforts.

2. Grants for Policy Research on Equity, Inclusion, Diversity and Access in Human Services

The Center will design and administer a grant program to fund policy research and analysis on equity, inclusion, diversity, and access in human services and economic mobility programs. The grant announcement will be shaped by HHS priorities and research needs. The Center will prepare all notices; organize review of grant applications, including an evidence-based plan for including safeguards against historical bias; administer funds; develop a reporting structure; provide technical assistance to grantees; and propose plans for communicating and disseminating

findings. The focus of the grant program will be to produce timely, actionable research and data that is highly policy relevant to human services and economic mobility programs. The Center may propose that grants may be set aside for emerging scholars, especially scholars underrepresented in the fields of poverty, economic mobility, and human services research. The Center will need to train and support grantees to ensure that their research is relevant, actionable, and effectively communicated for a primarily federal policy audience and should describe clear plans for how they will attain and provide this expertise.

3. Dissemination and Communication Events

Making policy-focused knowledge and information on poverty and inequality issues available to researchers, policy makers, government leaders and the American people is an integral feature of the National Research Center on Poverty and Economic Mobility's responsibilities, particularly for a federal audience and context. Experience and ability in executing both in-person and virtual events will be critical in fulfilling the communication and dissemination aims. The Center should have strong capacity and experience in event convenings; maintain relationships across the research, practice, and policy fields; and otherwise be prepared to plan and execute timely and impactful events with diverse perspectives targeted at a professional federal executive audience. These responsibilities include identifying and preparing speakers, communicating HHS and other audience needs and interests so that the presentations are appropriately tailored, drafting and overseeing review of any materials related to events, such as invitations, agendas, notes, transcripts, recordings, pre-conference materials, satisfaction surveys, social media posts, and follow-up thank you emails, as well as providing all other logistical and administrative support. The Center will be well versed in hosting national-level in-person and virtual events for a professional executive audience and should develop contingency plans to prepare for cases of technological limitations and other unforeseen events.

ASPE anticipates that year 1 events will consist of up to two policy research events (half day) on topics to be determined by the OPRE at the Administration for Children and Families (ACF) and one day-long convening, hosted by ASPE, of the in-residence Center fellows, federal staff and leadership, and outside stakeholders focused on how to better cultivate a diverse pipeline of highly-policy relevant researchers in the fields of poverty, economic mobility, and equity in human services.

B. ASPE Responsibilities

ASPE will be involved with the National Research Center on Poverty and Economic Mobility in jointly establishing broad policy-focused research priorities and recruitment strategies to accomplish the objectives of this announcement and improve the economic stability, mobility and overall well-being of the American people. ASPE, or other federal staff or federally-funded contractors, will provide the following types of support to the Center: (1) consultation and technical assistance in planning, operating, and evaluating the Center's mentoring, grant making, and dissemination activities, (2) help to identify policy and research priorities in a broad range of HHS arenas, (3) information about HHS programs, policies, and research priorities, (4)

assistance in the transfer of information to appropriate federal, state, and local entities, (5) review of Center activities and feedback to ensure that objectives and award conditions are being met, and (6) coordination of activities among the center and ASPE to ensure, to the extent possible, the optimal use of resources and expertise.

C. Rights to Data

The awardee will retain custody of and have primary rights to any data developed under this award, subject to government rights to access consistent with current HHS regulations. The awardee should make reasonable efforts, however, to provide other researchers appropriate and speedy access to research data from this project and establish public use files of research data developed under this award.

Part III. The Review Process

A. Intergovernmental Review

State Single Point of Contact (Executive Order 12372). The Department of Health and Human Services has determined that this program is not subject to Executive Order No. 12372, Intergovernmental Review of Federal Programs, because it is a program that is national in scope and the only impact on state and local governments would be through sub grants. Applicants are not required to seek intergovernmental review of their applications within the constraints of Executive Order 12372.

B. Initial Screening

Each application submitted under this program announcement will undergo a pre-review to determine that (1) the application was received by the closing date and submitted in accordance with the instructions in this announcement, (2) the applicant is eligible for funding (see Part I, Section B), (3) the application meets the matching requirements (see Part I, Section E) and (4) is within the page limit (see Part IV, Section A). Note that applications that do not meet all four of the pre-review items (1 - 4) will not be reviewed further and will be ineligible for funding.

C. Competitive Review

Applications for the National Research Center on Poverty and Economic Mobility that pass the initial screening will be evaluated and rated by an expert review panel. The panel will use the evaluation criteria listed below in Part IV. C to score each application. The evaluation criteria are designed to assess the quality of the proposed project and to determine the likelihood of its success. The evaluation criteria are closely related and are considered as a whole in judging the overall quality of an application. Points are awarded only to applications that are responsive to the evaluation criteria within the context of this program announcement. These review results will be the primary element used by ASPE in making funding decisions. HHS reserves the option to discuss applications with other federal or state staff, specialists, experts, and the general

public. Comments from these sources, along with those of the reviewers, will be kept from inappropriate disclosure and may be considered in making an award decision. Reviewers will determine the strengths and weaknesses of each application in terms of the evaluation criteria listed below, provide comments and assign numerical scores--out of a possible 100 points; plus bonus points as applicable under one criterion. A summary of all applicant scores and strengths/weaknesses and recommendations will be prepared and submitted to ASPE for decisions. Selection of the successful applicant(s) is at the sole discretion of ASPE and will be based on the technical and financial criteria laid out in this announcement, the recommendations of the review panel as well as considerations such as the needs of the Department at any point in time and the quality of the applications that are received.

Part IV. The Application

A. General Information

This part contains information on the preparation of an application for submission under this announcement and the forms necessary for submission. Potential applicants should read this part carefully in conjunction with the information provided in Part II. In general, ASPE seeks organizations which can demonstrate the ability to provide quality policy-relevant research, mentoring and training of a diverse set of emerging scholars, and coordinating and working with federal, state and local governments. Applicants for funding should reflect, in the program narrative section of the application, how they will be able to fulfill the responsibilities and requirements described in the announcement. Applications should specify in detail how administrative arrangements will be made to minimize start-up and transition delays. Applications which do not address all three major tasks discussed in Awardee Responsibilities in Part II (research program, mentoring emerging scholars, dissemination) will not be considered for award. It is expected that the applicant will have additional funding and arrangements with other organizations and institutions, including the host institution. The applicant should make all current and anticipated related funding arrangements explicit in the application.

In order to be considered for an award under this funding opportunity announcement, an application must be submitted on the forms supplied and in the manner prescribed by ASPE and its grants management office, SAMHSA. Application materials including forms and instructions are available for download through www.grants.gov. Additional application instructions and a listing of required forms can be found in [Appendix B](#) and [Appendix C](#). Inquiries may be directed to Eileen Bermudez, Grants Management Specialist, U.S. Department of Health and Human Services, Substance Abuse and Mental Health Services Administration, Division of Grants Management, phone: (240) 276-1412 E-Mail: eileen.bermudez@samhsa.hhs.gov

Applications must be submitted/received in the following format:

1. 12-point font size
2. Double line spacing (except for appendices)
3. One-inch top, bottom, left, and right margins
4. Page limit of 80 pages (excluding appendices)

Applications that are not received in the format described above and/or exceeding the page limit will not be reviewed. Applicants are requested to be concise. Applicants are encouraged not to attach or include bound reports or other documents.

B. Application Development

The National Research Center on Poverty and Economic Mobility will provide in-house scholars who will help shape a national agenda that includes policy-focused poverty and economic mobility research to inform the overall national focus and will provide the necessary supports for reaching the goals of the agenda through: policy-focused applied research; reaching out, connecting, leveraging, and supporting the broader research and policy communities; communicating, coordinating and disseminating policy-focused research findings and specific policy insights to researchers, policy makers and the American public; and securing additional financial support. The applicant should provide a five-year plan for accomplishing this agenda. The plan should build on and move forward from the accumulated knowledge of the past several decades of policy-relevant, poverty-related research as well as past and anticipated future social, demographic, economic and policy trends.

The grantee will collaborate with ASPE as outlined in Section B. In addition, prior approval is needed if additional tasks exceed or differ from what was originally approved. If the goals and objectives vary from those approved, a “change of scope” will require prior grants management approval.

The application shall address the following:

1. Policy Relevant Analysis of Key Trends and Past Research

The application shall present a brief analysis of the key poverty, economic mobility, and inequality trends, poverty research findings, and research on policy interventions related to the Center’s proposed plan for developing and implementing fellowship and grant programs. The analysis should examine the nature, causes, and correlates of poverty and inequality as well as economic, social and policy trends. The analysis should also demonstrate the applicant's grasp of the policy and research significance of recent and future social, economic, and demographic trends in addition to the ability to identify past research and policy implications.

2. Fellowship Program

The proposal should present a detailed plan for identifying, recruiting, training, and mentoring a highly diverse corps of emerging poverty scholars, as well as established scholars, to serve in-residence at HHS. The goal is not only to provide HHS with access to innovative research, methods, and policy ideas from a diverse (diversity includes but is not limited to diversity of race, ethnicity, gender, religion, age, sexual orientation, and disability status) set of emerging and established scholars, but also to encourage and support pursuit of future careers in policy-focused

poverty and inequality research. The applicant shall demonstrate a plan to attract a diversified pool of talented students into careers focused on policy and poverty, including efforts to reach emerging scholars within institutions that historically have not been fully engaged as poverty researchers including HBCUs, HSIs, TCUs, and institutions across all regions of the country as appropriate. The plan should specify clear, evidence-based action steps and goals to ensure attaining diversity among new scholars, highlight and reinforce diversity among more senior scholars, and describe an approach to evaluate and refine these efforts to increase their effectiveness.

The plan should describe how scholars will benefit from exposure to and participation in the ongoing research and other activities of HHS and how they will be supported and encouraged to focus on policy-relevant, poverty-related research. This section shall provide the details of concrete programs to reach graduate students to expand poverty-related research and poverty-related careers, including emerging scholar programs onsite at the Center and programs located at other institutions in addition to HHS, as well as for reaching more senior scholars including those who have not historically been as engaged in the policy research discussions. The Center will need to support and train all scholars in enhancing the policy relevance of their work.

This section shall discuss any financial arrangements for supporting graduate students, research assistants, post-doctoral fellows, affiliates, resident scholars, etc. The discussion should include the expected number and types of scholars to be supported, the level of support anticipated, and methods to ensure diversity and expand the diversity of poverty scholars. This section shall describe how investigators will have contact with students, emerging scholars, senior scholars, and other institutions.

Applicants should specify how they will assure a genuinely interdisciplinary approach to recruiting fellows to conduct policy-relevant poverty and economic mobility research, and where appropriate, the necessary links to university/college departments or units, communities, other organizations, policy offices and scholars engaged in poverty research and government policy making.

3. Research Grants

The proposal should present a detailed plan for soliciting grant applications from a diverse set of scholars with track records of policy-relevant, actionable research and analysis. Research grants may include large- or small-scale, new or ongoing social and behavioral policy-related research projects on equity, inclusion, diversity, and access, including pilot research projects and feasibility studies; development, testing, and refinement of innovative research and policy analysis techniques; primary data collection; secondary analysis of available data sets; or similar policy-focused research projects that answer priority questions for HHS leaders in human services policy.

The plan should specifically describe how the Center will train and support grantees to ensure that their research is relevant, actionable, and effectively communicated for a policy audience.

ASPE will provide a degree of consultation and support, but the Center itself is expected to be the primary provider of this training and expertise. The plan should specify clear, evidence-based action steps and goals to minimize bias in the evaluation of applicants for the research grants, how they will be supported and encouraged during the application process, how reporting and financial arrangements will be handled, and how collaboration with ASPE throughout the process will be ensured.

4. Dissemination and Communication Events

The application must also include a detailed dissemination plan that describes the process of disseminating analyses, findings, and policy analyses and insights through in-person and virtual convenings, conferences, and/or workshops, and creative use of social media, web based technologies, and emerging technologies. Applicants are encouraged to propose innovative means for transmitting timely, useful, policy-relevant research and analysis to policy makers at the national level, as well as at the state and local levels, and support ASPE in dissemination and communication of work. This dissemination plan should be informed by a commitment to equity and providing access to timely, impactful, and actionable research directed to audiences including but not limited to: federal policymakers; tribal, state, and local administrators; and impacted communities. This dissemination plan should also include details on prior event experience in hosting convenings in both in-person and virtual environments, including but not limited to technology capacities, audiences reached, and event metrics as appropriate.

5. Staff and Organizational Plan

The application must include a staffing and organizational proposal for the National Research Center on Poverty and Economic Mobility, including an analysis of the types of background needed among staff members. The proposal must also include the National Research Center on Poverty and Economic Mobility's organizational structure, and linkages with the host university and other organizations, and how the Center will work with institutions in different regions of the country including institutions that traditionally have not had the capacity to pursue a broad poverty research and policy agenda including opportunities for onsite and offsite visiting appointments. The applicant shall identify the proposed Director(s) (or principal investigator(s)) and key senior research staff. Biographical sketches, full resumes or curriculum vitae of proposed staff members shall be included as a separate appendix to the application (see appendix E). The applicant will further briefly describe evidence of its organizational commitment to advancing and embedding equity, inclusion, diversity, and access in its staffing, organizational culture, and partnerships.

The time commitment to the National Research Center on Poverty and Economic Mobility and other existing commitments for each proposed staff member shall be clearly indicated in chart form. The kinds of administrative and tenure arrangements, if any, the National Research Center on Poverty and Economic Mobility proposes to make should also be discussed in this section. In addition, the author(s) of the application and the role which he or she (they) will play in the proposed National Research Center on Poverty and Economic Mobility must be specified.

Applicants may propose innovative staffing or other arrangements to assure inclusion of policy perspectives outside of the traditional academic realm. If the applicant envisions an arrangement among two or more colleges, universities or institutions, this section will describe the specifics about the relationships, including leadership, management, administration and financial.

6. Budget Narrative

The application's budget summary narrative must link the core management functions, research, mentoring, and dissemination program to the National Research Center on Poverty and Economic Mobility funding level. In particular, applicants must devote adequate resources to allow for changing priorities to support HHS's evolving research, evaluation, and policy analysis functions and emerging and pressing policy analyses that serve immediate public policy needs. This section should discuss how the first-year budget supports proposed research, policy analyses, mentoring/training, and dissemination activities and should link the first-year funding to a five-year plan. The discussion should include the appropriateness of the level and distribution of funds to the successful completion of the research, policy analyses, mentoring/training, and dissemination plans. The availability, potential availability or prospects for other funds (from the host university, other universities, foundations, states, other federal agencies, etc.) and the uses to which they would be put, should be documented in this section. Applications showing funding, or well thought out plans to secure funding, from other sources to supplement funds from this cooperative agreement will be given higher marks relative to those that have no additional financial support beyond the minimum required match. (See sample budget in [Appendix A](#)).

C. Evaluation Criteria

The point value following each criterion heading indicates the maximum numerical relative weight that each section will be given in the review process. An unacceptable rating on any individual criterion may render the application unacceptable. Consequently, applicants should take care to ensure that all criteria are fully addressed in the applications. Applications will be reviewed using the following evaluation criteria. Please refer to Part IV, section B, application development.

(1) Approach and Research Plan (5 points)

The applicant demonstrates an understanding of the significant trends, disparities, and policy-related poverty research; and identifies an operationalized commitment to diversity, equity, and inclusion. The plan includes a strong focus on using communication and collaboration with ASPE and among a diverse set of researchers, policy analysts, and policy makers to ensure and continually improve the policy relevance and applicability of the proposed research activities to improving economic mobility and stability for the American people. The applicant demonstrates that planning and execution of Center activities are focused on policy relevance and the policy implications and is aligned with HHS and ASPE research and policy priorities. The applicant

should also discuss how this plan will compliment, coordinate with, and build on similar, existing efforts in the field related to poverty, economic mobility, and equity research.

(2) Fellowship Program (25 points)

The applicant demonstrates a clear understanding and record of successful efforts to develop and expand a diverse corps of scholars and researchers. The applicant sets clear, attainable goals to expand the diversity of emerging poverty scholars and senior scholars contributing to the policy research agenda, and establishes ongoing evaluation and refinement of these efforts to continually improve effectiveness in meeting these goals. The applicant demonstrates efforts to mentor and support Ph.D. candidates, postdoctoral students, and other research scholars, and to support senior scholars, and describes how it will advance an awareness and interest in a diverse set of scholars of the opportunities in policy-focused poverty research through such activities as seminars, visiting scholar opportunities at universities and colleges outside the Center's home institution and related experiences, in addition to their placement at HHS. The applicant demonstrates evidence-based and outcomes-focused methods to ensure diversity. The applicant demonstrates efforts and strategies to reach emerging and other scholars at institutions that have not historically been elevated in the policy research arena, potentially including HBCUs, HSIs, and TCUs, through efforts such as short-term visiting opportunities for scholars at the Center and at HHS; seminars and other visiting opportunities for Center staff and affiliates at universities and colleges outside of the Center; and establishing more formal links and partnerships with other institutions, researchers, and organizations to assure reach into multiple regions of the country and promote diversity.

The applicant demonstrates the development and implementation of innovative and evidence-based approaches to identify and reach a diverse pool of graduate students and advanced scholars to expand participation in poverty-related research and careers. The fellowship program demonstrates an outcomes-focused plan to attract a diversified pool of talented students into careers focused on inequality and poverty.

In their application, the applicant demonstrates an approach to implementing the in-residence fellowship program with a particular focus on their approach to effective recruitment and mentorship. It is important that applicants demonstrate clear plans to reach out to scholars at universities that historically have not been fully included in poverty research and the training of poverty researchers, as well as to populations that traditionally have been under-represented among poverty researchers. Graduates and faculty of the awardee National Research Center on Poverty and Economic Mobility are eligible to participate in this program. Similarly, the applicant needs to demonstrate how they will link this fellowship program with their current or proposed mentoring programs. The applicant should also provide specifics about how they will provide remote mentoring regarding research and career development, as well as policy training and support, for the program participants in residence at HHS.

(3) Research Grants (20)

The applicant demonstrates a grasp of the policy, social, and economic significance of past trends and research, and the proposed grant program is consistent with these trends and research analysis and will build on what is known to address important gaps in knowledge. The approach demonstrates a commitment to bring a multi-disciplinary approach to understanding and mitigating poverty, inequality and related policy-focused priority areas. The plan includes a strong focus on using communication and collaboration with ASPE and leveraging a wide-ranging and diverse network of scholars to reach a broad set of researchers, policy analysts, and policy makers to ensure and continually improve the policy relevance of the proposed grant activities. The applicant demonstrates that planning and execution of the research program is focused on policy relevance and the policy implications of research findings and is aligned with HHS and ASPE research and policy priorities. There is a clear and effective plan to provide grantees with support and training to enhance the policy relevance of their work.

(4) Dissemination and Communication Events (15 points)

The applicant's approach to dissemination is flexible and includes evolving modes of effective communication with a broad audience of academics, policy makers, practitioners and the public, tribal/state/local administrators, and impacted communities, including convening conferences and/or forums in the Washington, D.C. area and/or virtually. The approach should demonstrate an understanding of the target groups' needs, creatively use existing and emerging technologies, and demonstrate effective and ongoing communication and collaboration with ASPE, as well as a high likelihood of success. Raters will consider the applicant's effectiveness in identifying the needs of target audiences and what will resonate with them, particularly in compellingly and inclusively communicating equity considerations, understanding the needs of primarily federal audiences in leveraging data to promote effectiveness in human services, and identifying effective dissemination and messaging strategies in service of getting the information into the hands of those who can and are motivated to act on it. The emphasis will be on effectively communicating relevant research insights to federal policymakers and program administrators at HHS.

(5) Quality of proposed staffing and proposed organization arrangements (20 points)

The applicant's proposed Director/principal investigator and staff demonstrate appropriate levels of policy-relevant research experience, demonstrated research skills, administrative skills, public administration experience, communication proficiency and relevant technical expertise. Raters may consider references on prior research projects. The applicant demonstrates an adequate level of Director and staff time commitments to the Center. The applicant includes the time commitment of proposed staff (including onsite and offsite visiting scholar commitments) and the role of the application authors in the proposed Center. The applicant further demonstrates an established organizational commitment to advancing equity, inclusion, diversity, and access.

The applicant demonstrates an ability to work in collaboration with other scholars, institutions, and federal and state policy and program agencies in search of similar goals. The applicant demonstrates the nature and extent of the organizational support for policy-focused poverty and

economic mobility research. The applicant demonstrates a commitment of the university (and proposed institutional unit that will contain the Center) to support all major Center activities. The applicant demonstrates the capacity to work with a range of government agencies.

(6) Adequacy and Appropriateness of Overall Budget and the Allocation of Resources across Administrative, Research and Other Areas (15 points)

The applicant demonstrates: (a) the budget assures an efficient and effective allocation of funds to achieve the objectives of the Center and this solicitation and (b) the applicant has additional funding from other sources, including the host institution, at or above the required match of \$1 for every \$4 federal (25 percent) of the total budget excluding the in-residence fellows and grants programs (see page 5 section E. Matching Requirements for more details). If the applicant has plans to secure additional funding that is not currently on hand the applicant must demonstrate clear plans for securing that funding and an assessment of success based on prior efforts to secure funding.

Applicants that provide greater than a minimum \$1 for every \$4 federal (25 percent) match may receive up to additional 3 bonus points, for a total of 18 points in this section. The application includes a narrative description and justification for proposed budget line items and demonstrates that the project's costs are adequate, reasonable, and necessary for the activities or personnel to be supported. The budget and narrative demonstrate a clear relationship to the approach and the budget for the first year of funding is linked to the five-year plan. When additional funding is contemplated, beyond the required match, applicants should note whether the funding is being donated by the institution, is in-hand from another funding source, or will be applied for from another funding source. The applicant demonstrates how the applicant will meet the matching requirement (see section I, Part E). The budget should include travel and accommodation for speakers at events. See sample budget appended to the announcement for needed budget details.

D. Protection of Human Subjects Regulations

Grantees funded under this announcement may have to comply with the Protection of Human Subjects Regulations (45 CFR 46), which requires Institutional Review Board (IRB) approval if the grantee's research meets the regulation's criteria for research involving human subjects. For assistance in determining if your proposed performance assessment meets the criteria in 45 CFR 46, Protection of Human Subjects Regulations, refer to the SAMHSA decision tree on the SAMHSA Web site, under "Applying for a New SAMHSA Grant," <http://www.samhsa.gov/grants/applying>.

Applicants whose projects must comply with the Human Subjects Regulations must fully describe the process for obtaining IRB approval. While IRB approval is not required at the time of grant award, grantees will be required, as a condition of award, to provide documentation that an Assurance of Compliance is on file with the Office for Human Research Protections (OHRP). IRB approval must be received in these cases prior to enrolling participants in the project. General information about Human Subjects Regulations can be obtained through OHRP 67 at

<http://www.hhs.gov/ohrp>, or ohrp@osophs.dhhs.gov, or (240) 453-6900. SAMHSA–specific questions should be directed to the program contact listed in the Summary Section of this announcement.

E. Application Submission Information

1. Application requirements

You must comply with the following three requirements, or your application will be screened out and will not be reviewed:

- Use of the SF-424 application form and Budget Information form SF-424A;
- Application submission requirements below; and
- Formatting requirements provided in [Appendix C](#) of this document.

2. Submission requirements

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 managed grant.

Your application must be submitted through <http://www.Grants.gov>, eRA ASSIST or another system to system (S2S) provider. Please refer to [Appendix B – Application and Submission Requirements](#)

To view and/or download the required application forms, you must first search for the appropriate funding announcement number (called the opportunity number).

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. Follow the numbered steps that are displayed on this page. Under step 1, click on the red button labeled: ‘Download Application Package’. Enter either the Funding Opportunity Number (ASPE’s Funding Announcement #) or the Catalogue of Federal Domestic Assistance (CFDA) Number exactly as they appear on the cover page of the Funding Opportunity Announcement (FOA) that you are applying for, then click the ‘Search’ button. Click on the appropriate Funding Opportunity Number. Next, on the Application Package tab, click on ‘Select Application Package to Download’ in the bottom right corner. Provide your email address on the bottom of the page so you may be notified of any changes to the application before the closing date. Click the ‘Submit’ button. Download both the Application Instruction and Application Package on this page.

If you use grants.gov Workspace, you can view, print or save all the forms in the Application Package and then complete them for electronic submission through Grants.gov. Completed forms can also be saved and printed for your records. These required forms include:

- Application for Federal Assistance (SF-424);
- Budget Information – Non-Construction Programs (SF-424A);
- Project/Performance Site Location(s) Form; and
- Disclosure of Lobbying Activities;
- .

SAMHSA's Grants Website

You will find additional materials you will need to complete your application on SAMHSA's website (<https://www.samhsa.gov/grants/applying/forms-resources>). These include:

- Assurances – Non-Construction Programs;
- Certifications;
- HHS 690 Form.

3. Extension of deadline

ASPE may extend an application deadline when circumstances such as natural disasters (floods, hurricanes, etc.) occur, or when there are widespread disruptions of the internet, or in other rare cases. Determinations to extend or waive deadline requirements rest with [Alec Vandenberg](#), ASPE, Department of Health and Human Services.

F. Disposition of Applications

1. Approval, disapproval, or deferral. On the basis of the review of the application, the Assistant Secretary for Planning and Evaluation will either a) approve the application as a whole or in part; b) disapprove the application; or c) defer action on the application for such reasons as lack of funds or a need for further review.

2. Notification of disposition. ASPE will notify the applicants of the disposition of their applications. You will receive also an email from SAMHSA, via NIH's eRA Commons, that will describe the process for how you can view the general results of the review of your application, including the score that your application received.

3. The Assistant Secretary's Discretion. Nothing in this announcement should be construed as to obligate ASPE to make any awards whatsoever. Awards and the distribution of awards among the priority areas are contingent on the needs of the Department at any point in time and the quality of the applications that are received.

Any other correspondence announcing to the Project Director, etc., that application was selected is not an authorization to begin performance and that such costs incurred before receipt of Notice of Award are at recipient's risk and may be reimbursed only to extent considered allowable pre-award costs and approved by the grants management officer.

G. The Catalog of Federal Domestic Assistance Number

The Catalog of Federal Domestic Assistance Number is 93.239.

H. Components of a Complete Application

A complete application consists of the following items in this order:

Application for Federal Assistance (Standard Form 424) – This form must be completed by applicants for all SAMHSA managed grants.

1. Abstract – Your total abstract must not be longer than 35 lines. It should include the project name, project goals, key themes, projects, and objectives. 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.
2. Budget Information – Non-Construction Programs (Standard Form 424A) - Use SF-424A. Fill out Sections B, C, and E of the SF-424A. A sample budget and justification is included in [Appendix A](#) of this document. **It is highly recommended that you use the sample budget format in [A](#). This will expedite review of your application. Budget Justification, Existing Resources, Other Support (other federal and non-federal sources).** You must provide a narrative justification for the items included in your proposed budget, as well as a description of existing resources and other support you expect to receive for the proposed project. Other support is defined as funds or resources, whether federal, non-federal, or institutional, in direct support of activities through fellowships, gifts, prizes, in-kind contributions, or non-federal means. (This should correspond to Item #18 on your SF-424, Estimated Funding.) Other sources of funds may be used for unallowable costs, e.g., meals, sporting events, entertainment.
3. Table of Contents - Include page numbers for each of the major sections of your application and for each attachment.
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. This form is available at <http://www.Grants.gov>.

5. Project Narrative Statement, organized in five (5) sections, addressing the following topics:
 - a. Analysis of Key Trends and Past Research
 - b. Research Agenda and Activities
 - c. Staff and Organizational Plan – Senior/Key Personnel
 - d. Training and Mentoring Emerging Scholars
 - e. Budget Narrative;
6. Any appendices or attachments
7. Proof of Non-Profit Status, if appropriate;
8. Copy of Applicant’s Approved Indirect Cost Rate Agreement, if applicable.

ADMINISTRATION INFORMATION

1. Award notices

If your application is approved for funding, a NoA will be emailed to the following: 1) the Business Official’s (BO) email address identified in the Authorized Representative section email field on page 4 of the SF-424; and 2) the email associated with the Commons account for the Project Director (section 8 Item f on page 2 of the SF-424). 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. Information about what is included in the NoA can be found at: <https://www.samhsa.gov/grants/grants-management/notice-award-noa>.

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 <https://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 <https://www.samhsa.gov/grants/grants-management/policies-regulations>
- Depending on the nature of the specific funding opportunity and/or your proposed project as identified during review, ASPE and 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 human subjects requirements;
 - requirements to address problems identified in review of the application; or
 - revised budget and narrative justification.
- 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.

Mandatory Disclosure General Term and Condition

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 Bldg.
 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).

FAPHS General Term and Condition

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 must also 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.

Funding limitations/restrictions

Grant funds must be used for purposes supported by the program and may not be used for meals. . Grant funds may be used for light snacks, not to exceed \$3.00 per person. Other sources of funds may be used for unallowable costs, e.g., meals, sporting events, entertainment.

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>.

Supporting Documentation

Biographical Sketches, Resumes, CVs 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.
- Information on what you should include in your biographical sketches and job descriptions can be found in [Appendix D](#) of this document.

Reporting Requirements

In addition to the data reporting requirements listed, you must comply with the following reporting requirements:

Progress and Financial Reports

- You will be required to submit quarterly, and final progress reports, as well as annual and final financial status reports.
- Because ASPE is extremely interested in ensuring centers can be sustained, your progress reports should explain plans to ensure the sustainability of efforts initiated under this grant.
- If your application is funded, ASPE will provide you with guidelines and requirements for these reports at the time of award and at the initial grantee orientation meeting after award. ASPE staff will use the information contained in the reports to determine your progress toward meeting its goals.
- You will be required to comply with the requirements of 2CFR Part 170 -The Transparency Act Sub award and Executive Compensation Reporting Requirements. See https://www.whitehouse.gov/sites/default/files/omb/fedreg/2010/09142010_fed_funding.pdf for information on implementing this requirement.

Government Performance and Results Modernization Act of 2010 (GPRA)

The Government Performance and Results Modernization Act of 2010 (GPRA) mandates accountability and performance-based management by Federal agencies. To meet the GPRA requirements, SAMHSA must collect performance data (i.e., “GPRA data”) from grantees.

/s/

Rebecca Haffajee, JD, PhD, MPH

Acting Assistant Secretary for Planning and Evaluation (ASPE)

Principal Deputy Assistant Secretary for Planning and Evaluation

APPENDIX A: Sample Budget and Justification (match required)

SAMHSA Budget Template

To expedite review of your application, it is recommended you use the following PDF budget template to complete the Detailed Budget and Narrative Justification for submission with your application:

<https://www.samhsa.gov/sites/default/files/grants/budget-match.pdf>

BELOW IS AN ILLUSTRATION OF A SAMPLE DETAILED BUDGET AND NARRATIVE. WITH GUIDANCE FOR COMPLETING SF 424A: SECTION B FOR THE BUDGET PERIOD.

A. Personnel: Provide employee(s) (including names for each identified position) of the applicant/recipient organization, including in-kind costs for those positions whose work is tied to the grant project.

FEDERAL REQUEST

Position	Name	Annual Salary/Rate	Level of Effort	Cost
(1) Project Director	John Doe	\$64,890	10%	\$6,489
(2) Grant Coordinator	To be selected	\$46,276	100%	\$46,276
(3) Clinical Director	Jane Doe	In-kind cost	20%	\$0
			TOTAL	\$52,765

JUSTIFICATION: Describe the role and responsibilities of each position.

- (1) The Project Director will provide daily oversight of the grant and will be considered key staff.
- (2) The coordinator will coordinate project services and project activities, including training, communication and information dissemination.
- (3) Clinical Director will provide necessary medical direction and guidance to staff for 540 clients served under this project.

Key staff positions require prior approval after review of credentials of resume and job description.

NON-FEDERAL MATCH

Position	Name	Annual Salary/Rate	Level of Effort	Cost
(1) Project Director	John Doe	\$64,890	7%	\$4,542
(2) Prevention Specialist	Sarah Smith	\$26,000	25%	\$6,500
(3) Peer Helper	Ron Jones	\$23,000	40%	\$9,200
(4) Clerical Support	Susan Johnson	\$13.38/hr x 100 hr.		\$1,338
			TOTAL	\$21,580

JUSTIFICATION: Describe the role and responsibilities of each position.

- (1) The Project Director will provide daily oversight of grant and will be considered key staff.
- (2) The Prevention development specialist will provide staffing support to the working council.
- (3) The peer helper will be responsible for peer recruitment, coordination and support.
- (4) The clerical support will process paperwork, payroll, and expense reports which is not included in the indirect cost pool.

FEDERAL REQUEST (enter in Section B column 1 line 6a of form SF424A) **\$52,765**

NON-FEDERAL MATCH (enter in Section B column 2 line 6a of form SF424A) **\$21,580**

B. Fringe Benefits: List all components of fringe benefits rate

FEDERAL REQUEST

Component	Rate	Wage	Cost
FICA	7.65%	\$52,765	\$4,037
Workers Compensation	2.5%	\$52,765	\$1,319
Insurance	10.5%	\$52,765	\$5,540
		TOTAL	\$10,896

NON-FEDERAL MATCH

Component	Rate	Wage	Cost
FICA	7.65%	\$21,580	\$1,651
Workers Compensation	2.5%	\$21,580	\$540
Insurance	10.5%	\$21,580	\$2,266
		TOTAL	\$4,457

JUSTIFICATION: Fringe reflects current rate for agency.

FEDERAL REQUEST (enter in Section B column 1 line 6b of form SF424A) **\$10,896**

NON-FEDERAL MATCH (enter in Section B column 2 line 6b of form SF424A) **\$4,457**

C. Travel: Explain need for all travel other than that required by this application. Local travel policies prevail. Applicants must use their own documented travel policies. If an organization does not have documented travel policies the Federal GSA rates must be used.

FEDERAL REQUEST

Purpose of Travel	Location	Item	Rate	Cost
(1) Grantee Conference	Washington, DC	Airfare	\$200/flight x 2 persons	\$400
		Hotel	\$180/night x 2 persons x 2 nights	\$720
		Per Diem (meals and incidentals)	\$46/day x 2 persons x 2 days	\$184
(2) Local travel		Mileage	3,000 miles @ .38/mile	\$1,140
			TOTAL	\$2,444

JUSTIFICATION: Describe the purpose of travel and how costs were determined.

- (1) Two staff (Project Director and Evaluator) to attend mandatory grantee meeting in Washington, DC.
- (2) Local travel is needed to attend local meetings, project activities, and training events. Local travel rate is based on organization’s policies/procedures for privately owned vehicle (POV) reimbursement rate. If policy does not have a rate use GSA.

NON-FEDERAL MATCH

Purpose of Travel	Location	Item	Rate	Cost
(1) Regional Training Conference	Chicago, IL	Airfare	\$150/flight x 2 persons	\$300
		Hotel	\$155/night x 2 persons x 2 nights	\$620
		Per Diem (meals)	\$46/day x 2 persons x 2 days	\$184
(2) Local Travel	Outreach workshops	Mileage	350 miles x .38/mile	\$133
			TOTAL	\$1,237

JUSTIFICATION: Describe the purpose of travel and how costs were determined.

- (1) Grantees will provide funding for two members to attend the regional technical assistance workshop (our closest location is Chicago, IL).
- (2) Local travel rate is based on agency’s POV reimbursement rate. If policy does not have a rate use GSA.

FEDERAL REQUEST (enter in Section B column 1 line 6c of form SF424A) **\$2,444**

NON-FEDERAL MATCH (enter in Section B column 2 line 6c of form SF424A) **\$1,237**

D. Equipment: an article of tangible, nonexpendable, personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit (federal definition). Organizations should follow their documented capitalization policy thresholds.

FEDERAL REQUEST – (enter in Section B column 1 line 6d of form SF424A) **\$0**

NON-FEDERAL MATCH – (enter in Section B column 2 line 6d of form SF424A) **\$0**

E. Supplies: materials costing less than \$5,000 per unit (federal definition) and often having one-time use

FEDERAL REQUEST

Item(s)	Rate	Cost
General office supplies	\$50/mo. x 12 mo.	\$600
Postage	\$37/mo. x 8 mo.	\$296
Laptop Computer	\$900	\$900
Printer	\$300	\$300
Projector	\$900	\$900
Copies	8000 copies x .10/copy	\$800
	TOTAL	\$3,796

JUSTIFICATION: Describe the need and include an adequate justification of how each cost was estimated.

- (1) Office supplies, copies and postage are needed for general operation of the project.
- (2) The laptop computer is needed for both project work and presentations.
- (3) The projector is needed for presentations and outreach workshops.

All costs were based on retail values at the time the application was written.

NON-FEDERAL MATCH

Item(s)	Rate	Cost
General office supplies	\$50/mo. x 12 mo.	\$600
Bookcase	\$75	\$75
Digital camera	\$300	\$300
Fax machine	\$150	\$150
Computer	\$500	\$500
Postage	\$37/mo. x 4 mo	\$148
	TOTAL	\$1,773

JUSTIFICATION: Describe need and include explanation of how costs were estimated.

- (1) The local television station is donating the bookcase, camera, fax machine, and computer (items such as these can only be claimed as match once during the grant cycle and used for the project). The “applying agency” is donating the additional costs for office supplies and postage.

FEDERAL REQUEST – (enter in Section B column 1 line 6e of form SF424A) **\$3,796**

NON-FEDERAL MATCH - (enter in Section B column 2 line 6e of form SF424A) **\$1,773**

F. Contract: A contractual arrangement to carry out a portion of the programmatic effort or for the acquisition of routine goods or services under the grant. Such arrangements may be in the form of consortium agreements or contracts. A consultant is an individual retained to provide

professional advice or services for a fee. The applicant/grantee must establish written procurement policies and procedures that are consistently applied. All procurement transactions shall be conducted in a manner to provide to the maximum extent practical, open and free competition.

COSTS FOR CONTRACTS MUST BE BROKEN DOWN IN DETAIL AND NARRATIVE JUSTIFICATION. IF APPLICABLE, NUMBERS OF CLIENTS SHOULD BE INCLUDED IN THE COSTS.

FEDERAL REQUEST

Name	Service	Rate	Other	Cost
(1) State Department of Human Services	Training	\$250/individual x 3 staff	5 days	\$750
(2) Treatment Services	1040 Clients	\$27/client per year		\$28,080
(3) Jane Doe (Case Manager)	Treatment Client Services	1FTE @ \$27,000 + Fringe Benefits of \$6,750 = \$33,750	*Travel at 3,124 @ .50 per mile = \$1,562 *Training course \$175 *Supplies @ \$47.54 x 12 months or \$570 *Telephone @ \$60 x 12 months = \$720 *Indirect costs = \$9,390 (negotiated with contractor)	\$46,167
(4) Jane Doe	Evaluator	\$40 per hour x 225 hours	12 month period	\$9,000

Name	Service	Rate	Other	Cost
(5) To Be Announced	Marketing Coordinator	Annual salary of \$30,000 x 10% level of effort		\$3,000
			TOTAL	\$86,997

JUSTIFICATION: Explain the need for each contractual agreement and how they relate to the overall project.

- (1) Certified trainers are necessary to carry out the purpose of the statewide consumer Network by providing recovery and wellness training, preparing consumer leaders statewide, and educating the public on mental health recovery.
- (2) Treatment services for clients to be served based on organizational history of expenses.
- (3) Case manager is vital to client services related to the program and outcomes.
- (4) Evaluator is provided by an experienced individual (Ph.D. level) with expertise in substance abuse, research and evaluation and is knowledgeable about the target population and will report GPRA data.
- (5) Marketing Coordinator will develop a plan to include public education and outreach efforts to engage clients of the community about grantee activities, provision of presentations at public meetings and community events to stakeholders, community civic organizations, churches, agencies, family groups and schools.

*** Represents separate/distinct requested funds by cost category**

FEDERAL REQUEST – (enter in Section B column 1 line 6f of form SF424A) **\$86,997**

NON-FEDERAL MATCH (Consultant)

Name	Service	Rate	Other	Cost
Jane Doe	Outreach meeting facilitation	\$43.00/hr. x 20 hrs./month x 12 months		\$10,320
	Travel Expenses	148 miles/month @ .38/mile x 12 months		\$675
			TOTAL	\$11,051

JUSTIFICATION: Explain the need for each agreement and how they relate to the overall project.

- (1) Facilitator volunteering his/her time to facilitate the youth prevention and outreach sessions outlined in the strategic plan. Hourly rate is based on an average salary of an outreach facilitator in the geographic area.
- (2) Travel is based on average distance between facilitator's location and the meeting site. Mileage rate is based on POV reimbursement rate.

NON-FEDERAL MATCH (Contract)

Entity	Product/Service	Cost
(1) West Bank School District	Student Assistance Program for 50 students @ \$300 per year	\$15,000
	TOTAL	\$15,000

JUSTIFICATION: Explain the need for each agreement and how they relate to the overall project.

- (1) West Bank School District is donating their contracted services to provide drug testing, referral and case management for 50 non-school attending youth. Average cost is \$300/person.

FEDERAL REQUEST – (enter in Section B column 1 line 6f of form SF424A) **\$86,997**

NON-FEDERAL MATCH - (enter in Section B column 2 line 6f of form SF424A) **\$26,051**

G. Construction: NOT ALLOWED – Leave Section B columns 1&2 line 6g on SF424A blank.

H. Other: expenses not covered in any of the previous budget categories

FEDERAL REQUEST

Item	Rate	Cost
(1) Rent*	\$15/sq.ft x 700 sq. feet	\$10,500
(2) Telephone	\$100/mo. x 12 mo.	\$1,200
(3) Client Incentives	\$10/client follow up x 278 clients	\$2,780
(4) Brochures	.89/brochure X 1500 brochures	\$1,335
	TOTAL	\$15,815

JUSTIFICATION: Break down costs into cost/unit (e.g. cost/square foot, etc.). Explain the use of each item requested.

(1) Office space is included in the indirect cost rate agreement; however, if other rental costs for service site(s) are necessary for the project, it may be requested as a direct charge. The rent is calculated by square footage or FTE and reflects SAMHSA’s fair share of the space.

***If rent is requested (direct or indirect), provide the name of the owner(s) of the space/facility. If anyone related to the project owns the building which is less than an arms length arrangement, provide cost of ownership/use allowance calculations. Additionally, the lease and floor plan (including common areas) is required for all projects allocating rent costs.**

(2) The monthly telephone costs reflect the % of effort for the personnel listed in this application for the SAMHSA project only.

(3) The \$10 incentive is provided to encourage attendance to meet program goals for 278 client follow-ups.

(4) Brochures will be used at various community functions (health fairs and exhibits).

NON-FEDERAL MATCH

Item	Rate	Cost
(1) Space rental	\$75/event x 12 events/year	\$900
(2) Internet services	\$26/mo. x 12 mo.	\$312
(3) Student surveys	\$1/survey x 1583 surveys	\$1,583
(4) Brochures	.97/brochure x 1500 brochures	\$1,455
	TOTAL	\$4,250

JUSTIFICATION: Breakdown costs into cost/unit: i.e. cost/square foot. Explain the use of each item requested.

(1) Donated space for the various activities outlined in the scope of work, such as teen night out, after-school programs, and parent education classes.

(2) The applying agency is donating the internet services for the full-time coordinator.

(3) The ABC Company is donating the cost of 1,583 for student surveys.

(4) The ABC Company is donating the printing costs for the bi-monthly brochures.

All costs are the value placed on the service at the time of this grant application.

FEDERAL REQUEST – (enter in Section B column 1 line 6h of form SF424A) **\$15,815**

NON-FEDERAL MATCH - (enter in Section B column 2 line 6h of form SF424A) **\$4,250**

Indirect cost rate: Indirect costs can be claimed if your organization has a negotiated indirect cost rate agreement. It is applied only to direct costs to the agency as allowed in the agreement. For information on applying for the indirect rate go to: <https://rates.psc.gov/fms/dca/map1.html>. **Effective with 45 CFR 75.414(f), any non-federal entity that has never received a negotiated indirect cost rate, except for those non-federal entities described in Appendix VII part 75 (D)(1)(b), may elect to charge a de Minimis rate of 10% of modified total direct costs (MTDC) which may be used indefinitely. If an organization has a federally approved rate of 10%, the federally approved rate, the approved rate would prevail.**

**Training grants, indirect costs are limited to 8%*

FEDERAL REQUEST (enter in Section B column 1 line 6j of form SF424A)

8% of personnel and fringe (.08 x \$63,661) **\$5,093**

NON-FEDERAL MATCH (enter in Section B column 2 line 6j of form SF424A)

8% of personnel and fringe (.08 x \$26,037) **\$2,083**

=====

TOTAL DIRECT CHARGES:

FEDERAL REQUEST – (enter in Section B column 1 line 6i of form SF424A) **\$172,713**

NON-FEDERAL MATCH - (enter in Section B column 2 line 6i of form SF424A) **\$59,348**

INDIRECT CHARGES:

FEDERAL REQUEST – (enter in Section B column 1 line 6j of form SF424A) **\$5,093**

NON-FEDERAL MATCH – (enter in Section B column 2 line 6j* of form SF424A) **\$2,083**

TOTALS: (sum of 6i and 6j)

FEDERAL REQUEST – (enter in Section B column 1 line 6k of form SF424A) **\$177,806**

NON-FEDERAL MATCH-(enter in Section B column 2 line 6k of form SF424A) **\$61,431**

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UNDER THIS SECTION REFLECT OTHER NON-FEDERAL SOURCES OF FUNDING BY DOLLAR AMOUNT AND NAME OF FUNDER e.g., Applicant, State, Local, Other, Program Income, etc. Other support is defined as all funds or resources, whether Federal, Non-federal or institutional, in direct support of activities through fellowships, gifts, prizes, In-kind contributions or other Non-federal means.

Provide the total proposed Project Period Federal & Non-Federal funding as follows:

Proposed Project Period

a. Start Date:	09/30/2011	b. End Date:	09/29/2016
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BUDGET SUMMARY (should include future years and projected total)

Category	Federal Request For Year 1	Non-Federal Match for Year 1	Year 2 Federal Request *	Year 2 Non-Federal Match *	Year 3 Federal Request *	Year 3 Non-Federal Match *	Year 4 Federal Request *	Year 4 Non-Federal Match *	Year 5 Federal Request *	Year 5 Non-Federal Match *
Personnel	\$52,765	\$21,580	\$54,348	\$1,338	\$55,978	\$40,000	\$57,658	\$35,000	\$59,387	\$43,000
Fringe	\$10,896	\$4,457	\$11,223	\$275	\$11,558	\$8,260	\$11,906	\$7,228	\$12,263	\$8,880
Travel	\$2,444	\$1,237	\$2,444	\$2,000	\$2,444	\$1,500	\$2,444	\$1,200	\$2,444	\$2,600
Equipment	0	0	0	0	0	0	0	0	0	0
Supplies	\$3,796	\$1,773	\$3,796	\$2,000	\$3,796	\$2,000	\$3,796	\$2,500	\$3,796	\$4,500
Contractual	\$86,997	\$26,051	\$86,997	\$67,000	\$86,997	\$15,000	\$86,997	\$10,000	\$86,997	\$14,500
Other	\$15,815	\$4,250	\$13,752	\$52,387	\$11,629	\$5,786	\$9,440	\$8,976	\$7,187	\$4,000

Category	Federal Request For Year 1	Non-Federal Match for Year 1	Year 2 Federal Request *	Year 2 Non-Federal Match *	Year 3 Federal Request *	Year 3 Non-Federal Match *	Year 4 Federal Request *	Year 4 Non-Federal Match *	Year 5 Federal Request *	Year 5 Non-Federal Match *
Total Direct Charges	\$172,713	\$59,348	\$172,560	\$125,000	\$172,403	\$72,546	\$172,241	\$64,904	\$172,074	\$77,480
Indirect Charges	\$5,093	\$2,083	\$5,246	\$129	\$5,403	\$3,861	\$5,565	\$3,378	\$5,732	\$4,150
Total Project Costs	\$177,806	\$61,431	\$177,806	\$125,129	\$177,806	\$76,407	\$177,806	\$68,282	\$177,806	\$81,630

TOTAL PROJECT COSTS: Sum of Total Direct Costs and Indirect Costs

FEDERAL REQUEST (enter in Section B column 1 line 6k of form SF424A) **\$889,030**

NON-FEDERAL MATCH (enter in Section B column 2 line 6k of form SF424A) **\$412,879**

*** FOR REQUESTED FUTURE YEARS:**

1. Please justify and explain any changes to the budget that differs from the reflected amounts reported in the 01 Year Budget Summary.

2. If a cost of living adjustment (COLA) is included in future years, provide your organization's personnel policies and procedures that state all employees within the organization will receive a COLA.

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Appendix B – Application and Submission Requirements

WARNING: If your organization is not registered and you do not have an active eRA Commons PD/PI account by the deadline, the application will NOT be accepted. No exceptions will be made.

All applicants must register with NIH's eRA Commons in order to submit an application. If you believe you are interested in applying for this opportunity, you MUST start the registration process immediately.

Applicants also must register with the System for Award Management (SAM) and Grants.gov (see below for all registration requirements).

1. GET REGISTERED

You 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.

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 in **eRA Commons**. If you have not registered in Grants.gov, the registration for Grants.gov and eRA Commons can be done concurrently. You must register in eRA Commons and receive a Commons Username in order to have access to electronic submission, receive notifications on the status of your application, and retrieve grant information. **If your organization is not registered and does not have an active eRA Commons PI account by the deadline, the application will not be accepted.**

The organization must maintain active and up-to-date SAM and DUNS registrations in order for SAMHSA to make an award. If your organization is not compliant when SAMHSA is ready to make an award, SAMHSA may determine that your organization is not qualified to receive an award and use that determination as the basis for making an award to another applicant.

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. (The DUNS Number will be phased out by April 2022. Organizations will be assigned a Unique Identifier ID – a new 12-character identifier.)

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

You must also register with the System for Award Management (SAM) and continue to maintain active SAM registration with current information during the period of time your organization 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), has an exception approved by the agency under 2 CFR § 25.110(d)). To create a SAM user account, Register/Update your account, and/or Search Records, go to <https://www.sam.gov>. It takes 7-10 business days for a new SAM entity registration to become active so it is important to initiate this process well before the application deadline. You will receive an email alerting you when your registration is active.

It is also highly recommended that you renew your account 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 recipients and sub-recipients).** Once you update your record in SAM, it will take 48 to 72 hours to complete the validation processes. **Grants.gov rejects electronic submissions from applicants with expired registrations.**

If your SAM account expires, the renewal process requires the same validation with IRS and DoD (Cage Code) as a new account requires.

1.3 Grants.gov Registration

[Grants.gov](http://www.grants.gov) is an online portal for submitting federal grant applications. It 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]. You can register to obtain a Grants.gov username and password at <http://www.grants.gov/web/grants/register.html>.

If you have already completed Grants.gov registration and ensured your Grants.gov and SAM accounts are up-to-date and/or renewed, 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 person submitting your application must be 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 is an online interface managed by NIH that allows applicants, recipients, and federal staff to securely share, manage, and process grant-related information. Organizations applying for SAMHSA funding must register in eRA Commons. This is a one-time registration separate from Grants.gov registration. In addition to the organization registration, the Business Official named in the Authorized Representative section field on page 4 of the SF-424 and the Project Director details entered in the Applicant Information item f on page 2 of the SF-424 (Name and contact information of the person to be contacted on matters involving this application) must have accounts in eRA Commons and receive a Commons ID in order to have access to electronic submission and retrieval of application/grant information. It is strongly recommended that you start the eRA Commons registration process **at least six (6) weeks** prior to the application due date. **If your organization is not registered and does not have an active eRA Commons PI account by the deadline, the application will not be accepted.**

For organizations registering with eRA Commons for the first time, the Business Official (BO) named in the Authorized Representative section of the SF-424 must complete the online Institution Registration Form. Instructions on how to complete the online Institution Registration Form is provided on the eRA Commons Online Registration Page. [Note: You must have a valid and verifiable DUNS number to complete the eRA Commons registration.]

After the Business Official (BO) named as the Authorized Representative completes the online Institution Registration Form and clicks Submit, the eRA Commons will send an e-mail notification from era-notify@mail.nih.gov with the link to confirm the email address. Once the e-mail address is verified, the registration request will be reviewed and confirmed via email. If your request is denied, the representative will receive an email detailing the reason for the denial. If the request is approved, the representative (BO) will receive an email with a Commons User ID for the Signing Official account (SO) role. The representative will receive a separate email pertaining to this SO account containing a temporary password to be used for the first-time login. The representative will need to log into Commons with the temporary password, at which time the system will provide prompts to change the temporary password to one of their choosing. Once the designated contact (BO/SO) signs the registration request, the organization will be active in Commons. The BO/SO can then create additional accounts for the organization as needed. Organizations can have multiple user accounts with the SO role, and any user with the SO role will be able to create and maintain additional accounts for the organization's staff, including accounts for those designated as Project Directors (PI role) and other Signing Officials.

Important: The eRA Commons requires organizations to identify at least one BO/SO, who is the BO entered in the Authorized Representative section on the SF-424, and a Project Director/Principal Investigator (PD/PI) in order to submit an application. The primary BO/SO

must create the account for the PD/PI listed as the person to contact regarding the application on page 2 of the SF-424 assigning that person the ‘PI’ role in Commons. Note that you must also enter the PD/PI’s Commons Username into the ‘Applicant Identifier’ field of the SF-424 document (Line 4).

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

2. APPLICATION COMPONENTS

You must complete your application using eRA ASSIST, Grants.gov Workspace or another system to system (S2S) provider. Applicants must go to both Grans.gov and the SAMHSA website (samhsa.gov) to download the required documents needed to apply for a grant.

2.1 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>.

3. WRITE AND COMPLETE APPLICATION

SAMHSA strongly encourages you 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.

3.1 Required Application Components

After downloading and retrieving the required application components and completing the registration processes, it is time to write and complete your application. All files uploaded with the Grants.gov application **MUST** be in **Adobe PDF** file format. Directions for creating PDF files can be found on the Grants.gov website. See [Appendix C](#) for all application formatting and validation requirements. **Applications that do not comply with these requirements will be screened out and will not be reviewed.**

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.	ASSIST or Workspace, or

#	Standard Application Components	Description	Source
		<p>The names and contact information for Project Director (PD) and Business Official (BO) are required for SAMHSA applications, and are to be entered on the SF-424 form.</p> <ul style="list-style-type: none"> The PD must have an eRA Commons account: the PD's Commons Username must be entered in field 4. Applicant Identifier; and the PD's name, phone number and email address must be entered in Section 8. APPLICANT INFORMATION: item f. Name and contact information of person to be contacted on matters involving this application. The BO name, title, email address and phone number must be entered in the Authorized Representative section fields on page four of the SF 424. The organization mailing address is required in section 8. APPLICANT INFORMATION item d. Address. <p>All SAMHSA Notices of Award (NoAs) will be emailed by SAMHSA via NIH's eRA Commons to the Project Director/Principal Investigator (PD/PI), and the Signing Official/Business Official (SO/BO).</p>	other S2S provider
2	SF-424 A (Budget Information – Non-Construction Programs) Form	Use SF-424A. Fill out Sections A, B, C, D and E of the SF-424A. It is highly recommended that you use the sample budget format in the FOA.	ASSIST, Workspace, or other S2S provider
3	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.	ASSIST, Workspace, or other S2S provider
4	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.	ASSIST, Workspace, or other S2S provider
5	Project Narrative Attachment	The Project Narrative is your response to the Evaluation Criteria. You must attach the Project Narrative file (Adobe PDF format only) inside the Project Narrative Attachment Form.	ASSIST, Workspace, or other S2S provider
6	Budget Justification and Narrative Attachment	You must include a detailed Budget Narrative in addition to Budget Form SF-424A. 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	ASSIST, Workspace, or other S2S provider

#	Standard Application Components	Description	Source
		the program. The budget justification and narrative must be submitted as file BNF when you submit your application into Grants.gov.	
7	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
8	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.	ASSIST, Workspace, or other S2S provider
9	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.	ASSIST, Workspace, or other S2S provider

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 in ASSIST, Workspace, or other S2S provider.**

#	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
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. SUBMIT APPLICATION

4.1 Electronic Submission (eRA ASSIST, Grants.gov Workspace, or other S2S provider)

After completing all required registration and application requirements, SAMHSA requires applicants to **electronically submit** using eRA ASSIST, Grants.gov Workspace or another system to system (S2S) provider. Information on each of these options is below:

- 1) **ASSIST** – The Application Submission System and 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. [Note: ASSIST requires an eRA Commons ID to access the system]
- 2) **Grants.gov Workspace** – You can use the shared, online environment of the Grants.gov Workspace to collaboratively work on different forms within the application.

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 are as follows:

To submit to Grants.gov using ASSIST: [eRA Modules, User Guides, and Documentation | Electronic Research Administration \(eRA\)](#)

To submit to Grants.gov using the Grants.gov Workspace:

<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. All applications that are successfully submitted must be validated by Grants.gov before proceeding to the NIH eRA Commons system and validations.

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.

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

If you encounter problems when submitting your application in Grants.gov, you must attempt to resolve them by contacting the Grants.gov Service Desk at the following:

- 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. (press menu option 6 for SAMHSA). The NIH eRA Service desk is available Monday – Friday, 7 a.m. to 8 p.m. Eastern Time, excluding federal holidays.

If you experience problems accessing or using ASSIST (see below), you can:

- Access the ASSIST Online Help Site at: <https://era.nih.gov/erahelp/assist/>
- Or contact the NIH eRA Service Desk

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.

5. AFTER SUBMISSION

5.1 System Validations and Tracking

After you complete and comply with all registration and application requirements and submit your application, the 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). 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 (see resources for assistance in Section 4.1).**

If Grants.gov identifies any errors and rejects your application with a “Rejected with Errors” status, you must address all errors and resubmit. 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). If you use ASSIST to complete your application, you can validate your application and fix errors before submission.

After you successfully submit your application through Grants.gov, your application will go through eRA Commons validations. If no errors are found, the application will be assembled in eRA Commons. At this point, you can view your application in eRA commons. It will then be forwarded to SAMHSA as the receiving institution for further review.

If errors are found, you will receive a System Error and/or Warning notification regarding the problems found in the application (see 5.2 below). You must take action to make the required corrections and resubmit the application through Grants.gov before the application due date and

time. Do not assume that if your application passes the grants.gov validations that it will be successfully received by SAMHSA. You must check your application status in eRA Commons to ensure that no errors were identified. It is critical that you allow for sufficient time to resubmit the application if errors are detected.

You are responsible for viewing and tracking your applications in the eRA Commons after submission through Grants.gov to ensure accurate and successful submission. 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.

5.2 eRA Commons: Warning vs. Error Notifications

You may receive a System Warning and/or Error notification after submitting an application. Take note that there is a distinction between System Errors and System Warnings.

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

Errors – If you receive an Error notification after the applications is submitted, you 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 Service Desk and submitting a web ticket to document your good faith attempt to submit your application and determining next steps. See Section [4.1](#) for more information on contacting the eRA Service 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 at:** 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** you 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. Note that system errors are extremely rare.

[Note: When resubmitting an application, 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.] In addition, check the Changed/Corrected Application box in #1.

Appendix C - Formatting Requirements and System 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, double-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 application cannot be exceeded.
- Black print should be used throughout your application, including charts and graphs (no color).

2. GRANTS.GOV FORMATTING AND VALIDATION REQUIREMENTS

- 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 and will result in errors if not met. The application must be 'error free' to be processed through the eRA Commons. There may be additional validations which will result in Warnings but these will not prevent the application from processing through the submission process.

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 you submit your application 24-72 hours before the submission deadline to allow for sufficient time to correct errors and resubmit the application. If you experience any system validation or technical issues after hours on the application due date, contact the eRA Service Desk and submit a Web ticket to document your good faith attempt to submit your application.

eRA Validations	eRA Error Messages
<p><u>Applicant Identifier (Item 4 on the SF-424):</u> The PD/PI Credentials must be provided</p> <p>Username provided must be a valid Commons account Username must be affiliated with the organization submitting the application and or have the PI role</p>	<p>The Commons Username must be provided in the Applicant Identifier field for the PD/PI. The Commons Username provided in the Applicant Identifier is not a recognized Commons account. The Commons account provided in the Applicant Identifier field for the PD/PI is either not affiliated with the applicant organization or does not hold the PI role. Check with your Commons Account Administrator to make sure your account affiliation and roles are set-up correctly.</p>
<p>The DUNS number provided must include valid characters (9 or 13 numbers with or without dashes) “</p>	<p>The DUNS number provided has invalid characters (other than 9 or 13 numbers) after stripping of dashes “</p>
<p>The documentation (forms) required for the FOA must be submitted</p>	<p>The format of the application does not match the format of the FOA. Contact the eRA Service Desk for assistance.</p>
<p>If a change or correction is made to address an error, “Changed/Corrected” must be selected. (Item #1 on the SF-424) Refer to <u>Section II-5.4</u> for more information on resubmission criteria.</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>
<p>The application cannot exceed 1.2GB.</p>	<p>The application did not follow the agency-specific size limit of 1.2 GB. Resize the application to be no larger than 1.2GB before submitting.</p>
<p>The correct Funding Opportunity Announcement (FOA) number must be provided</p>	<p>The Funding Opportunity Announcement number does not exist.</p>
<p>All documents and attachments must be submitted in PDF format.</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 http://grants.nih.gov/grants/ElectronicReceipt/pdf_guidelines.htm.”</p>

eRA Validations	eRA Error Messages
<p><u>All attachments must comply with the following formatting requirements:</u> PDF attachments cannot be empty (0 bytes).</p> <p>All PDF attachments cannot have Meta data missing, cannot be encrypted, password protected or secured documents.</p> <p>The size of PDF attachments cannot be larger than 8.5 x 11 inches (horizontally or vertically). [Note: It is recommended that you limit the size of attachments to 35 MB.]</p> <p>PDF attachments must have a valid file name.</p> <p>Valid file names must include the following UTF-8 characters: A-Z, a-z, 0-9, underscore (_), hyphen (-), space, period.</p>	<p>The {attachment} attachment was empty. PDF attachments cannot be empty, password protected or encrypted.</p> <p>The <attachment> attachment contained formatting or features not currently supported by NIH: <condition returned>.</p> <p>Filename <file> cannot be larger than U.S. standard letter paper size of 8.5 x 11 inches. See the PDF guidelines at http://grants.nih.gov/grants/ElectronicReceipt/pdf_guide_lines.htm</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>
<p>The email addresses for the Contact Person (SF-424 Section F) and the Authorized Representative (SF-424 below Section 21) 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.</p>	<p>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.</p>
<p>Congressional district code of applicant (after truncating) must be valid. (SF-424, item 16 a and b)</p>	<p>Congressional district <Congressional District> is invalid. To locate your district, visit http://www.house.gov/</p>
<p><u>Budget Errors</u> <u>SF424-A: Section A – Budget Summary</u> The total fields at the end of rows or at the bottom of columns must equal the sum of the elements for that row or column</p>	<p>Ensure that the sum of Grant Program Function or Activity (a) elements entered equals the total amounts in the Total field</p>
<p><u>SF424-A: Section B – Budget Categories</u> The Total in Section B (Column 5 - Row k) must equal the Total in Section A – Budget Summary: (Row 5, Column g).</p>	<p>Ensure that the TOTALS Total (row k, column 5) equals the Budget Summary Totals in section A, row 5 column g.</p>

eRA Validations	eRA Error Messages
<p><u>SF424-A: Section D – Forecasted Cash Needs</u> The Federal Total for the 1st Year (Line 13) must equal the Total in Section A (Row 5, Column g) The Non-Federal Total for 1st Year sum must equal Estimated Unobligated Funds Non-Federal Totals in Section A (d-5) + New or Revised Budget Non-Federal Totals (f-5)</p> <p>The Total for 1st Year TOTAL in Section D must equal the Totals Total (Column 5, Row G) in Section A</p>	<p>Ensure that the Federal Total for 1st year, in Section D- Forecasted Needs equals the Section A, New or Revised Budget Federal Totals (e-5) amount.</p> <p>Ensure that the Non-Federal Total for 1st year equals the sum of Estimated Unobligated Funds Non-Federal Totals (d-5) and New or Revised Budget Non-Federal Totals (f-5) on Section A.</p> <p>Ensure that the Forecasted Cash Needs: 15. TOTAL equals to SECTION A – Budget Summary: 5. Totals Total (g).</p>
<p><u>SF424-A: Section E – Budget Estimates of Federal Funds Needed for Balance of The Project</u> The number of budget years/periods must match the span of the project. The number of years in the project period in Block 17 on the SF-424 must align with the future funding periods. <i>periods.</i></p>	<p>Ensure that the project period years on the SF 424 block 17 matches the provided budget periods in the SF-424A. Enter data for the first budget period in Section D and enter future budget periods in Section E.</p>

Appendix D – 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. Percentage of Full Time Equivalent (FTE)