
DEPARTMENT OF
HEALTH AND HUMAN SERVICES
OFFICE OF THE
ASSISTANT SECRETARY FOR HEALTH

Office of Minority Health

Funding Opportunity: Community-based Approaches to Strengthening

Economic Supports for Working Families

Opportunity Number: MP-CPI-20-005

Application Due Date:

Monday August 17, 2020 6:00 PM Eastern

OVERVIEW

FEDERAL AGENCY NAME

Office of the Assistant Secretary for Health and the Office of Minority Health

FUNDING OPPORTUNITY TITLE

Community-based Approaches to Strengthening Economic Supports for Working Families

ACTION

Notice

ANNOUNCEMENT TYPE

Initial Competitive Grant

FUNDING OPPORTUNITY NUMBER

MP-CPI-20-005

CFDA NUMBER AND PROGRAM:

93.137 Community Program to Improve Minority Health

DATES

Application Deadline: Monday, August 17, 2020 by 6:00 PM Eastern.

Technical Assistance: Webinar Monday, July 20, 2020.

EXECUTIVE SUMMARY

The Office of Minority Health (OMH) announces the availability of funds for Fiscal Year (FY) 2020 grant awards under the authority of Section 1707 of the Public Health Service Act (42 U.S.C. § 300u-6).

This notice solicits applications for projects under the **Community-based Approaches to Strengthening Economic Supports for Working Families Initiative** to serve low-income working families disproportionately at risk for adverse childhood experiences (ACEs), including racial and ethnic minority families. This initiative seeks to determine if implementation of earned

income tax credit (EITC) outreach and education activities in communities at higher risk for ACEs can result in (1) increased EITC receipt and (2) changes in risk and/or protective factors for ACEs.

According to a recent study, one in six adults reported experiencing four or more types of ACEs events during childhood.¹ At least five of the top 10 leading causes of morbidity and mortality are associated with ACEs as well as poor socioeconomic outcomes in adulthood.¹ Women, American Indians/Alaska Natives (AI/ANs), African Americans, and other racial/ethnic minority populations are more likely to experience four or more types of ACEs compared with men and whites.¹ The EITC, a benefit for working people with low to moderate income, has been shown to reduce child maltreatment and foster positive health outcomes and reduced health care costs by reducing poverty and enhancing economic stability of low-income, working families.^{2,3} OMH expects projects funded under this initiative to: (1) establish multi-sectorial partnerships to support EITC outreach and education activities in communities at higher risk for ACEs; (2) plan and implement EITC outreach and education activities in communities at higher risk for ACEs; (3) develop and implement a process and outcome evaluation plan; (4) communicate and disseminate findings, successes and lessons learned; and (5) plan for sustainability of successful interventions. OMH expects recipients to demonstrate effective outreach strategies to communities disproportionately at higher risk for ACEs, including racial and ethnic minority communities, and a collaborative multi-sectoral approach which should include partners in community-level sectors and community-based organizations, such as social services agencies, child support agencies, home visiting programs, early childhood service providers, housing agencies, business/labor organizations, and health systems. In the long term, OMH expects projects to lead formalized and sustainable systems change and enhanced partnerships that foster

economic stability in order to prevent ACEs. OMH anticipates funding up to six grants for \$300,000 to \$450,000 each per year, for up to three years.

HHS/OASH encourages applicants to review all program requirements, eligibility information, application format and submission information, evaluation criteria, and other information in this funding announcement to ensure that its application complies with all requirements and instructions.

FUNDING OPPORTUNITY DETAILS

A. DATES

1. Application Deadline

Your application is due Monday August 17, 2020 by 6 p.m. Eastern Time. To receive consideration, you must submit your application electronically via Grants.gov no later than this due date and time. If you do not submit your application by the specified deadline, we will return it to you unread. You must submit electronically via Grants.gov unless you obtain a written exemption from this requirement 2 business days in advance of the deadline from the Director, HHS/Office of the Assistant Secretary for Health (OASH) Grants and Acquisitions Management (GAM) Division. To obtain an exemption, you must request one via email from the HHS/OASH GAM, and provide details as to why you are technologically unable to submit electronically through Grants.gov. Your request should be submitted at least 4 business days prior to the application deadline to ensure your request can be considered prior to 2 business days in advance of the deadline. If you request an exemption, include the following in your e-mail request: the HHS/OASH announcement number; your organization's DUNS number; your organization's name, address and telephone number; the name and telephone number of your Authorizing

Official; the Grants.gov Tracking Number (for example, GRANT#####) assigned to your submission; and a copy of the "Rejected with Errors" notification from Grants.gov. Send the request with supporting documentation to ogm.oash@hhs.gov. Note: failure to have an active System for Account Management (SAM) registration prior to the application due date will not be grounds for receiving an exemption to the electronic submission requirement. As a result of the public health emergency for COVID-19, the requirement for an active SAM registration at the time of application submission has been waived (see Section F.4). However, if you do not have a DUNS number at this time, you should contact the Grants.gov to establish a temporary DUNS number. Your application will not be accepted through Grants.gov without this number. Failure to follow Grants.gov instructions to ensure software compatibility will not be grounds for receiving an exemption to the electronic submission requirement.

The HHS/OASH/GAM will only accept applications via alternate methods (hardcopy paper via U.S. mail or other provider or PDF via email) from applicants obtaining prior written approval. If you receive an exemption, you must still submit your application by the deadline. Only applications submitted through the Grants.gov portal or alternate format (hardcopy paper via U.S. mail or other service or PDF via email) with an approved written exemption will be accepted. *See* Section F.8 (“Other Submission Requirements”) for information on application submission mechanisms.

Executive Order 12372 comment due date: The State Single Point of Contact (SPOC) has 60 days from the application due date to submit any comments. For more information on the SPOC see section F.6 Intergovernmental Review.

To ensure adequate time to submit your application successfully, HHS/OASH recommends that you register as early as possible in Grants.gov since the registration process can take up to one

month. You must register an authorizing official for your organization. HHS/OASH does not determine your organization's authorizing official; your organization makes that designation. For information on registering for Grants.gov, refer to <http://www.grants.gov> or contact the Grants.gov Contact Center 24 hours a day, 7 days a week (excluding Federal holidays) at 1-800-518-4726 or support@grants.gov.

Your organization is strongly encouraged to register multiple authorized organization representatives in Grants.gov to ensure someone is available to submit your application.

2. Technical Assistance

A technical assistance webinar for potential applicants will be held on **Monday July 20, 2020**. Please check the Office of Minority Health website, www.minorityhealth.hhs.gov, for more detailed information.

We recommend you review the entire announcement promptly so you can have any questions answered well in advance of the application due date. We also recommend you subscribe to this announcement in Grants.gov so you receive any amendments, question and answer documents, or other updates.

B. PROGRAM DESCRIPTION:

The Office of the Assistant Secretary for Health and the Office of Minority Health (OMH) announce the availability of funds for Fiscal Year (FY) 2020 grant awards under the authority of Section 1707 of the Public Health Service Act (42 U.S.C. § 300u-6). OMH is dedicated to improving the health of racial and ethnic minority populations through the development of health policies and programs that will help eliminate health disparities. Through its demonstration grants, OMH supports the identification of effective approaches for improving health outcomes with the ultimate goal of promoting dissemination and sustainability of these approaches. This particular

grant aligns with the Healthy People 2020 focus area of Injury and Violence Prevention, the U.S. Surgeon General's priority on Community Health and Economic Prosperity and HHS Strategic Goal 2: Protect the Health of Americans Where They Live, Learn, Work, and Play.^{4,5,6}

1. Background

Adverse childhood experiences (ACEs) are a pressing public health issue in the United States, affecting people across the lifespan and disproportionately experienced by racial/ethnic minority communities.¹ ACEs are potentially traumatic experiences and events that occur in childhood (0-17 years) and can include: (1) physical, emotional and sexual abuse; (2) physical and emotional neglect; (3) growing up in a household with substance misuse, mental health problems, or instability due to parental separation or incarceration of a parent, sibling or other member of the household; or (4) witnessing violence.² ACEs are linked to negative, lasting effects which directly and indirectly affect health, behaviors and life potential, including educational attainment, employment, and earning potential.² ACEs also are associated with higher health care, economic and social costs.² ACEs in children can disrupt healthy brain development, affect social development, compromise immune systems, and can lead to substance misuse and other unhealthy coping behaviors.² At least five of the top 10 leading causes of morbidity and mortality are associated with ACEs as well as poor socioeconomic outcome in adulthood.¹

According to a recent study, one in six adults reported experiencing four or more types of ACEs events during childhood.¹ Women, American Indians/Alaska Natives (AI/ANs), African Americans and other racial/ethnic minority populations were more likely to experience four or more types of ACEs compared with men and whites.¹ Racial/ethnic minority children were more likely to live in poverty, experience loss of a caregiver through incarceration or death, or witness domestic violence than white children.⁷ The poverty rate for African American and AI/AN

children (33%) is three times the rate for white children (11%).⁸ Over one in four Hispanic children (26%) live in poverty.⁸ Almost one in five AI/AN children (19%), over one in seven African American children (15%), and 7% of Hispanic children had a parent who was ever incarcerated, compared with 6% of white children.⁹ Disparities in the experience of community-level ACEs also are apparent. While 17.5% of African American children, 12.2% of Hispanic children, and 13% of children of other races/ethnicities were found to have witnessed violence in the neighborhood, only 8% of white children did.⁷ Compared with 1.6% of white children, 8.4% of Hispanic children, 12.4% of African American children, and 13.7% of children of other races/ethnicities were treated unfairly due to race/ethnicity.⁷

Risk factors for ACEs include financial hardship; parental stress; substance use and/or mental health issues, including depression, in the family; parental characteristics such as young age, low education, single parenthood and low income; intimate partner violence in the family; community violence; concentrated neighborhood disadvantage (e.g. high poverty and residential instability, high unemployment rates).^{2,10} Protective factors include household financial security and economic stability; parental employment; parental education; adequate housing; supportive family environment and social networks; concrete support for basic needs; and access to health care and social services.^{2,10} ACEs are often associated with a wide range of experiences such as food insecurity, housing insecurity, poverty and community violence.² Socioeconomic conditions experienced by children directly affect the health status over the lifespan.^{11,12} Exposure to persistent poverty and trauma among children can lead to toxic stress and harmful changes in the formation of the developing brain that can result in unhealthy behaviors as adults, increase risk of physical illnesses, as well as inhibit later economic success.^{10,11} The COVID-19 pandemic also

poses implications for the risk for, experience of, and long-term impact of ACEs, as individuals and families are increasingly exposed to stressful events.

Socioeconomic interventions have been shown to have moderate to strong impact on adverse parenting, household mental illness, child maltreatment and neglect, exposure to domestic violence, parental separation, childhood physical abuse, household criminality, childhood victimization and substance abuse.¹³ Policies that have increased household income, such as the EITC, have led to the reduction of the risk for child maltreatment by improving the primary caregiver's ability to provide for children's basic needs and pay for adequate child care.^{2,3,11} Such policies improve primary caregivers' health and behaviors; reduce financial hardship and the physical, mental and emotional strain of survival; and improve family relationships.^{2,3,11} The EITC is a benefit for working people with low to moderate income, and reduces the amount of tax owed and may also result in a refund.^{3,14} To qualify, individuals must meet certain requirements and file a tax return.¹³ EITC receipt has been linked to declines in child maltreatment, including fewer cases of physical neglect and failure to provide a child's basic material needs.^{15,16,17} Recent CDC Foundation data shows that EITCs can significantly improve health outcomes in five years or less, especially in maternal and child health.³

The EITC is an effective policy that could have a positive impact on low-to-moderate-working families and their children.³ The federal EITC alone has lifted 4.4 million people out of poverty each year, with over half of them being children.¹⁸ The EITC has kept more children living above the poverty line than any other tax credit program.¹⁹ Unfortunately, an estimated 20 percent of eligible people do not claim this benefit.¹⁹ Barriers to claiming the EITC include lack of knowledge about the program and confusion about program rules.²¹ Eligible taxpayers from certain groups have been found to be less likely to know about and claim the EITC benefit,

including communities with moderately sized immigrant populations; and those who live in rural areas, are self-employed, do not have qualifying children, are Hispanic, do not speak English well, did not finish high school, are grandparents, or recently changed their filing status.^{22,23} Research suggests that activities to promote awareness of the credit and assistance with tax preparation increases EITC participation rates.²² Community partners can work together to increase receipt of the EITC and prevent ACEs by addressing risk and protective factors, thus creating and sustaining safer, stable, nurturing environments where children can thrive.²

Previous efforts by OMH to address ACEs have focused on individual youth who had experienced trauma. The Communities Addressing Childhood Trauma (ACT) policy demonstration was an initiative developed by OMH to identify evidence-based practices that reduce disparities in health among youth who had been exposed to trauma. This FOA aligns OMH's efforts with current recommendations from the Centers for Disease Control and Prevention by focusing on the identification of approaches that address social determinants of health in order to prevent childhood trauma.²

2. Expectations

This initiative seeks to determine if implementation of EITC outreach and education activities in communities at higher risk for ACEs can result in (1) increased EITC receipt and (2) changes in risk and/or protective factors for ACEs. To achieve this goal, OMH expects recipients to address the following objectives:

a. Establish multi-sectorial partnerships to support EITC outreach and education activities in communities at higher risk for ACEs.

Partnerships across a diverse range of sectors, including health, education, social services, justice, and finance, can support increased outreach to and engagement of families and individuals

for education about the EITC and other supportive services. OMH expects the target population for the funded projects to be low-income families and individuals in communities at higher risk for ACEs, including racial and ethnic minority communities. OMH strongly encourages recipients to serve communities located in designated Opportunity Zones.ⁱ

Recipients should establish multi-sectorial partnerships to collaboratively provide EITC outreach and education to parents/caregivers and other individuals in the community(ies) of focus and to connect them to supportive services. Partners should be involved in the planning, implementation and evaluation of the initiative. Projects should include community-based organizations and partners from sectors that work in the community such as, but not limited to, the following:

- Family-serving agencies
- Social services agencies
- Law enforcement (e.g. public safety, juvenile justice)
- Child support providers
- Fatherhood programs
- Home visiting programs
- Early Childhood providers
- Healthy marriage providers
- Housing agencies
- Libraries
- Business/labor organizations
- Philanthropic organizations
- Mental health and substance use treatment providers
- Faith-based organizations
- State/tribal/territorial/local government agencies
- Public health associations
- WIC Offices

ⁱ An Opportunity Zone is an economically-distressed community where new investments, under certain conditions, may be eligible for preferential tax treatment. Localities qualify as Opportunity Zones if they have been nominated for that designation by the state and that nomination has been certified by the Secretary of the U.S. Treasury via his delegation of authority to the Internal Revenue Service.²⁴

- Institutions of higher education
- Local school districts
- Youth-serving agencies
- Public health entities, private and non-profit
- Health system partners
- Financial institutions
- Tribal nations, urban Indian and tribally designated organizations

Subrecipients must also be public or non-profit entities. If a partner is a subrecipient, it must also be a public or nonprofit entity. The recipient has the responsibility to determine whether an entity is considered to be a subrecipient. Characteristics which support the classification of the non-Federal entity as a subrecipient can be found at HHS Uniform Administrative Requirements (UAR), 45 CFR 75.351. The applicant should consult with its counsel for advice concerning the applicability of this regulation to its particular situation.

b. Plan and implement EITC outreach and education activities in communities at higher risk for ACEs.

Certain groups who have been found to be less likely to know about and claim the EITC benefit, including communities with moderately sized immigrant populations, and individuals who are self-employed, who do not have qualifying children, are Hispanic, who are limited English speaking, or who did not complete high school.^{22,23}

OMH expects recipients to plan and implement effective, culturally and linguistically appropriate outreach and education activities in communities at higher risk for ACEs to increase EITC participation and receipt. Outreach and education activities should be tailored based on an understanding of where higher risk communities and populations are, who the key stakeholders are, what gaps in EITC outreach and education exist, and the needs and resources of the community. OMH expects the recipient to coordinate among the community partners to implement activities to reach, engage and educate low-income families and individuals about the EITC and

other supportive services. Recipients should identify and address the barriers that keep low-income working families and individuals from claiming the EITC.

The CDC Foundation recently published “Earned Income Tax Credit (EITC) Public Health Action Guide” includes strategies to educate the public about the benefits of EITCs and increase EITC participation, such as the use of EITC outreach materials, educating people to build trust in the EITC and referring people to free, high-quality tax help like the Internal Revenue Service (IRS) Volunteer Income Tax Assistance program.³ In alignment with these strategies, OMH expects recipients to use or build upon existing informational and educational resources from the IRS and national EITC outreach campaigns like “Get It Back” to support outreach and education about the EITC in the communities of focus.¹⁴ Recipients should also raise awareness about IRS-certified tax assistance services, such as the VITA program. In addition, recipients should work with community partners to increase awareness among at-risk and low-income individuals and families about other supportive services to facilitate participation in these services. Recipients may not use funds for individual or family tax preparation services.

c. Develop and implement a process and outcome evaluation plan.

OMH expects projects to implement a rigorous program evaluation to assess the impact of project activities. Recipients should develop and propose, in coordination with community partners, an evaluation plan, to include an evaluation design that will allow for detection of a significant increase in EITC claims and changes in a least one or more ACEs risk and/or protective factors. The evaluation plan should identify and provide rationale for appropriate indicators/measures to document and monitor the impact of the intervention on outcomes. Through a power analysis or other technique to establish/determine statistical significance, the evaluation plan should clearly demonstrate that evaluation of the impact of the intervention will

be able to detect a statistically significant difference on key project outcomes, if such impact is present. OMH expects the impact analysis of the intervention to be conducted within the project period.

OMH anticipates recipients will be able to demonstrate whether the following occurred by the end of the first budget period:

- Increased use by project staff of existing resources and tools for EITC marketing/education
- Increased partnership awareness of risk and protective factors for ACEs

OMH anticipates recipients will be able to demonstrate whether the following occurred by the end of the second budget period:

- Increased EITC claims among the population(s) of focus, including racial/ethnic minority populations
- Increased receipt of EITC among the population(s) of focus, including racial/ethnic minority populations
- Increased protective factors for ACEs among the population(s) of focus, including racial/ethnic minority populations, such as increased social supports for parents/caregivers
- Decreased risk factors for ACEs among the population(s) of focus, including racial/ethnic minority populations, such as reduced parental/caregiver stress and depression and improved psychological functioning

d. Communicate and disseminate findings, successes and lessons learned.

OMH anticipates the project will give rise to new knowledge about the impact of EITC outreach and education activities on EITC receipt and on ACEs risk and protective factors. The recipient should document project knowledge and findings, to include implementation process, lessons learned, successes and challenges. OMH expects the recipient to communicate and disseminate project knowledge and findings, to include dissemination to federal, state, territorial and tribal public agencies; policymakers; community organizations; community members; and other stakeholders.

e. Plan for sustainability of successful interventions.

OMH expects the recipient to develop a sustainability plan to sustain and support continued implementation of successful interventions that will be implemented once OMH funding ends. Sustainability plans are expected to leverage funds and resources to sustain and expand EITC outreach and education activities and ACEs primary prevention work. Recipients should develop a sustainability plan within one year following the award. OMH expects projects that have demonstrated: (a) increased EITC claims; (b) increased EITC receipt; (c) increased protective factors, and/or; (d) decreased risk factors to begin implementing the sustainability plan in year two of the award.

C. AUTHORITY

Section 1707 of the Public Health Service Act (42 U.S.C. § 300u-6)

D. FEDERAL AWARD INFORMATION

The Office of Minority Health intends to make funds available for competing grants.

We will fund awards in annual increments (budget periods) and generally for a project period up to 3 years, although we may approve shorter project periods. Budget periods may also vary from the estimate indicated below due to timing of award issuance or other administrative factors. Funding for all approved budget periods beyond the first is generally level with the initial award amount and is contingent upon the availability of funds, satisfactory progress of the project, adequate stewardship of Federal funds, and the best interests of the Government.

Award Information

Estimated Federal Funds Available: \$2,000,000

Anticipated Number of Awards: Up to 6

Award Ceiling (Federal Funds including indirect costs): \$450,000 per budget period

Award Floor (Federal Funds including indirect costs): \$300,000 per budget period

Anticipated Start Date: September 30, 2020

Estimated Period of Performance: Not to exceed 3 years

Anticipated Initial Budget Period Length: 12 months

Type of Award: Grant

Type of Application Accepted: Electronic via Grants.gov ONLY

unless an exemption is granted

E. ELIGIBILITY INFORMATION

1. Eligible Applicants.

- State Governments
- County Governments
- City or township governments
- Special district governments
- Independent school districts
- Public and State controlled institutions of higher education
- Native American tribal governments (Federally recognized)
- Public Housing authorities/Indian housing authorities
- Native American tribal organizations (other than federally recognized tribal governments)
- Nonprofits having 501(c)(3) status with the IRS, other than institutions of higher education
- Nonprofits without 501(c)(3) status with the IRS, other than institutions of higher education
- Private non-profit institutions of higher education
- U.S. Territories

2. Cost Sharing or Matching

You are not required to provide cost sharing or matching in your proposed budget.

3. Application Disqualification Criteria

If you successfully submit an application, we will screen it to ensure it meets the below requirements. If we determine your application fails to meet the criteria described below we will disqualify it, that is, we will **not** review it and will give it **no** further consideration.

- a) You must submit your application electronically via www.grants.gov (unless an exemption was granted 2 business days prior to the deadline) by the date and time indicated in the DATES section (A.1) of this announcement.
- b) If you successfully submit multiple applications from the same organization for the same project, we will only review the last application received by the deadline.
- c) HHS/OASH/GAM deems your application eligible according to section E.1 Eligible Applicants.
- d) You must complete the required forms in the application package: SF-424, SF-424A, SF-424B, SF-LLL, and Project Abstract Summary.
- e) Your Project Narrative section of the application must be double-spaced, on the equivalent of 8 ½" x 11" inch page size, with 1" margins on all sides (top, bottom, left and right) and font size not less than 12 points.
- f) Your Project Narrative must not exceed 50 pages. NOTE: The following items do not count toward the Project Narrative page limit: all required forms, including SF-424, SF-424A, SF-424B, SF-LLL, Project Abstract Summary, and Budget Narrative (including budget tables).
- g) Your total application, including the Project Narrative plus Appendices, must not exceed 70 pages. NOTE: items listed in "f" immediately above do not count toward total page limit.

- h) Your Federal funds request including indirect costs must not exceed the maximum indicated in Award Ceiling.
- i) Your Federal funds request including indirect costs must not be below the minimum indicated in Award Floor.

F. APPLICATION AND SUBMISSION INFORMATION

1. Address to Request Application Package

You may obtain an application package electronically by accessing Grants.gov at <http://www.grants.gov/>. You can find it by searching on the CFDA number shown on page 2 of this funding opportunity announcement. If you have problems accessing the application or difficulty downloading, contact:

Grants and Acquisitions Management Division

Phone: 240-453-8822

Email: OASH_Grants@hhs.gov

2. Content and Form of Application Submission

a. Application Format

Your application must be prepared using the forms and information provided in the online application package.

The Project Narrative, and total application including appendices, must adhere to the page limit indicated in Application Disqualification Criteria listed in Section C. The page limit does not include the Budget Narrative (including budget tables), required forms, assurances, and certifications as described in the Application Disqualification Criteria. Please do not number pages or include a table of contents. Our grants management system will generate page numbers once

your application is complete. If your application exceeds the specified page limits for the Project Narrative or Project Narrative plus Appendices when printed on 8.5” X 11” paper by HHS/OASH/GAM, we will not review it. We recommend you print out your application before submitting electronically to ensure that it is within the page limits and is easy to read.

You must double-space the Project Narrative pages.

You should use an easily readable typeface, such as Times New Roman or Arial. You *must* use 12-point font. You may single-space tables or use alternate fonts but you must ensure the tables are easy to read.

b. Appendices Format

Your Appendices should include any specific documents outlined in Section D.2.iii., under the heading “Appendices” in the Application Content section of this funding opportunity announcement. Your documents should be easy to read. You should use the same formatting specified for the Project Narrative. However, documents such as résumés/CVs, organizational charts, tables, or letters of commitment may use formatting common to those documents, but the pages must be easy to read. All of your appendices must be uploaded as a single, consolidated file in the Attachments section of your Grants.gov application.

c. Project Abstract Summary Format

You must complete the Project Abstract Summary form provided in the application package. The abstract will be used to provide reviewers with an overview of the application and will form the basis for the application summary in grants management and program summary documents. If your project is funded, HHS may publish information from your form; therefore, do not include sensitive or proprietary information.

d. Budget Narrative Format

The Budget Narrative should use the formatting required of the Project Narrative for the explanatory text. Budget tables may be single-spaced but should be laid out in an easily-readable format and within the printable margins of the page.

3. Application Content

Successful applications will contain the following information:

a. Project Narrative Content

The Project Narrative is the most important part of the application, since it will be used as the primary basis to determine whether your project meets the minimum requirements for an award under this announcement. The Project Narrative should provide a clear and concise description of your project. HHS/OASH recommends that your project narrative include the following components: 1) Problem Statement; 2) Organizational Capacity; 3) Approach; 3a) Goals, Objectives, and Outcomes; 3b) Project Plan; 3c) Collaboration/Partners; 4) Evaluation Plan; 5) Dissemination Plan; and 6) Sustainability Plan.

1) Problem Statement

Identify and define the problem and contributing factors that will be addressed by the proposed project and activities. You should describe in this section, in both quantitative and qualitative terms, the nature and scope of the specific and particular problem or issue, and the need for EITC outreach/education and ACEs prevention activities. Describe the population(s) to be served by the project (e.g., race/ethnicity, age, gender, educational level, income, etc.), including geographic area(s) targeted, and provide rationale. Describe and document (with data) the significance or prevalence of the problem or issue affecting the population(s) of focus, including

poverty/income level, disparities in EITC participation, and prevalence of and risk for ACEs. You should detail how the project will potentially affect the populations served, specific subgroups within those populations, and other interested stakeholders as identified. You should also describe how your proposed intervention will serve (1) racial/ethnic minority populations and (2) communities located in Opportunity Zones.

2) Organizational Capacity

Your application should include an organizational capacity statement. The organizational capacity statement should describe how your organization is organized; the nature and scope of its work; your organization's fiscal control and accountability procedures; evidence that your organization, and any partnering organizations, have relevant experience and expertise with administration, development, implementation, management, and evaluation of programs similar to that offered under this announcement; evidence that each participating organization, including partners and/or subcontractors, possess the organizational capacity to fulfill their role(s) and functions effectively; and evidence that you and proposed partners possess readiness to implement the project and ability to demonstrate impact on outcomes within the project period. An organizational chart must be provided in the appendices. Demonstrate established linkages with other programs in the community for client outreach, education and engagement. Describe the extent of your and any proposed partner's knowledge of and experience with cultural competence and the National Standards for Culturally and Linguistically Appropriate Services in Health and Health Care (National CLAS Standards) (<https://www.thinkculturalhealth.hhs.gov/Content/clas.asp>).

The applicant must provide description of proposed program staff, including job descriptions for key personnel, qualifications, define role and responsibilities of each staff member

with allocated percentage time each will commit to the project. Provide a description of duties for proposed consultants and volunteers, and statement of work for proposed subcontractors. Include organizational charts of collaborative partners and describe how these organizations will interface with the applicant organization. Describe how the applicant plans to communicate with collaborative partner organizations.

3) Approach

a. Goals, Objectives, and Outcomes

You should describe in this section the project's proposed goal(s) and major short and long-term objectives. Describe how all objectives are linked to increased EITC receipt and at least one or more increased protective factors/decreased risk factors in prevention of ACEs, and state them in SMART (specific, measurable, accurate, realistic and timely) terms. SMART objectives should include baseline data and quantifiable timeframes for achievement. Objectives must focus on overall goals of the project rather than project activities. Goals must be achievable by the end of the project period.

You should clearly identify the measurable outcome(s) that will result from your project, and provide specific, quantified estimate of expected outcome(s). HHS/OASH will not fund any project that does not include measurable outcomes. In addition to discussion in the narrative, you should describe how you envision the project will benefit the field at large.

A "measurable outcome" is an observable end-result that describes how a particular intervention benefits program participants. It demonstrates the "impact" of the intervention. For example, a change in a client's financial, health, and/or functional status; mental well-being; knowledge; skill; attitude; awareness; or behavior. It can also describe a change in the degree to which participants exercise choice over the types of services they receive. Additional examples

include: a change in the responsiveness or cost-effectiveness of a service delivery system; a new model of support or care that can be replicated; new knowledge; a measurable increase in community awareness; or a measurable increase in persons receiving services. A measurable outcome is not a measurable output, such as: the number of clients served; the number of training sessions held; or the number of service units provided.

b. Project Plan

Provide a detailed summary of activities to be undertaken and how they will assist in achieving the project goals and objectives. You should also describe the approach that will be used to monitor and track progress on the project's tasks and objectives. Include a work plan describing how the project will be accomplished. Your Work Plan should reflect, and be consistent with, the Project Narrative and Budget Narrative, and must cover all years of the project period. However, each year's activities should be fully attainable in one budget year. You may propose multi-year activities, as well as activities that build upon each other, but each phase of the project must be discreet and attainable within a single budget year. Your Work Plan should include a statement of the project's overall goal, anticipated outcome(s), key objectives, and the major tasks, action steps, or products that will be pursued or developed to achieve the goal and outcome(s). For each major task of each year, action step, or product, your work plan should identify the timeframes involved (including start- and end-dates), and the lead person responsible for completing the task.

You should provide a clear and concise description of the activities you are proposing to use to address the need identified in the program announcement and the problem described in the "Problem Statement" above. Describe your approach for (1) developing and implementing a plan for EITC outreach and education activities that will result in increasing EITC claims among low-income families and individuals in communities disproportionately experiencing or at heightened

risk for ACEs; (2) developing or building on existing EITC informational and educational resources; and (3) increasing awareness of and connection to supportive services in collaboration with partners. You should explain the rationale for project activities and present a clear connection between identified system gaps and needs and your proposed activities. Your proposal should detail the nature of the activities to be undertaken, how they address system gaps and identified issues, and how they will assist in achieving the overall project goals and objectives. You should clarify why these specific activities were selected (i.e., has this approach been successful in other settings? Does the research suggest this direction?). Delineate the estimated number of individuals expected to be served through your proposed project, and how this estimate has been determined. Describe your approach for reaching, engaging and retaining the population(s) of focus in the proposed project, to support the feasibility of obtaining measurable outcomes within the project period. Describe how you will use the National CLAS Standards to ensure the proposed project will be implemented in a culturally appropriate manner tailored to the population(s) of focus. Also note any major barriers you anticipate encountering and how your project will be able to overcome those barriers. At a minimum, you should:

- Indicate a plan for addressing problems or issues should they arise.
Provide detailed descriptions of specific products or outcomes proposed for development or modification
- Provide specifics about the strategies, activities, expected outcomes, and barriers for all anticipated years of the awards

You should also submit a detailed logic model that demonstrates linkages between objectives, activities and outcomes, as described below in Appendices (Section F.3.d).

c. Collaboration/Partnerships

Describe the proposed multi-sectoral collaborative approach for the project, and how the partnerships will promote EITC participation and linkages to supportive services. Provide rationale for the partnerships included. Your proposal should describe how your organization has already established, or will establish, multi-sectoral partnerships. You should describe the specific roles, responsibilities, resources, and contributions of partner(s) to the project – including planning, implementation, and evaluation – that will complement the lead organization’s capability and capacity to implement the intervention, improve key outcomes, and sustain the program. You should also describe how you plan to involve partners, including community-based organizations, in a meaningful way in the planning, implementation and evaluation of the proposed project. To the extent possible, you should document the level of commitment of the partners as described below in the Appendices (Section F.3.d). Include a brief history of any existing partner(s); its current membership and leadership; a list of current activities; and access/connection to the proposed population(s) to be served.

4) *Evaluation Plan*

Describe your evaluation design and how your evaluation design will clearly establish whether outreach and education activities result in statistically significant increases in EITC receipt and changes in at least one or more ACEs risk and/or protective factors. A technique to establish/demonstrate statistical significance (e.g., a power analysis or Bayesian analysis) should also be included and show that the evaluation design will be able to detect intervention impact, if present. Describe how you will measure and report the expected project outcomes. You should describe the quantitative and/or qualitative tools and techniques that you will employ to measure the outcome(s). Describe your approach for collecting, at minimum, baseline, interim, and post-

intervention process and outcome measures for both control and intervention groups. Describe how you will evaluate all project components of the project that are part of the project's logic model, including how the inputs, processes and outcomes will be measured, and how the resulting information will be used to inform uptake of EITC activities. Describe how you will evaluate the quality of the implementation of the National CLAS Standards through process and outcome measures. Describe the relationship between your evaluator and your organization and the degree of independence the evaluator will have. Describe the systems and processes that will support the organization's performance management through effective tracking of performance outcomes, including a description of how the organization will collect and manage data that allows for accurate and timely reporting of performance outcomes. Describe how you will involve partners in evaluation activities. Describe any potential obstacles for implementing the performance evaluation and how those obstacles will be addressed.

5) Dissemination Plan

The section should describe the method that will be used to document and disseminate the project's implementation process, findings, results, successes, challenges, and lessons learned during the period of performance in plain language to the target audience, the general public, and other parties who may be interested in using the results of the demonstrative project. All appropriate findings and products may be posted on a HHS/OMH sponsored website as determined by HHS/OMH. Therefore, you should propose innovative approaches to inform parties who might be using the results of your project to inform practice, service delivery, program development, and/or policy-making, especially to those parties who would be interested in replicating the project.

6) Sustainability Plan

Recipients are expected to sustain key successful and promising practices, strategies, services and interventions that have proven to be effective and have improved outcomes for the population(s) of focus. Describe your approach for developing the sustainability plan, including the identification of key individuals and/or organization(s) whose support will be required in order to sustain activities. Describe how you will identify financial and other resources to be utilized and how partnerships will be maintained after federal funding ends.

b. Budget Narrative Content

Project budget calculations must include estimation methods, quantities, unit costs, and other similar quantitative detail sufficient to verify the calculations. If matching or cost sharing is required, you must include a detailed listing of any funding sources identified in box 18 of the SF-424 (Application for Federal Assistance).

Please be sure to carefully review section F.7 Funding Restrictions for specific information regarding allowable, unallowable, and restricted costs.

You must provide an object class category budget using Section B, box 6 of the SF 424A for the first year of the proposed project. Provide a budget justification, which includes explanatory text and line-item detail, for the first year of the proposed project. The budget narrative should describe how the categorical costs are derived. Discuss the necessity, reasonableness, and allocation of the proposed costs.

For subsequent budget years, provide a summary narrative and line item budget. For categories or items that differ significantly from the first budget year, provide a detailed justification explaining these changes. Note, **do not** include costs beyond the first budget year in

the object class budget in box 6 of the SF- 424A or box 18 of the SF-424; the amounts entered in these sections should only reflect the first budget year.

Your budget narrative should justify the overall cost of the project as well as the proposed cost per activity, service delivered, and/or product. For example, the budget narrative should define the amount of work you have planned and expect to perform, what it will cost, and an explanation of how the result is cost effective. For example, if you are proposing to provide services to clients, you should describe how many clients are you expecting to serve, the unit cost of serving each client, and how this is cost effective.

Use the following guidelines for preparing the detailed object class budget required by box 6 of the SF-424A. The object class budget organizes your proposed costs into a set of defined categories outlined below. Both federal and non-federal resources (when required) must be detailed and justified in the budget narrative. "Federal resources" refers only to the HHS/OASH funds for which you are applying. "Non-federal resources" are all other non-HHS/OASH federal and non-federal resources. We recommend you present budget amounts and computations in a columnar format: first column, object class categories; second column, federal funds requested; third column, non-federal resources; and last column, total budget.

Sample Budget Table

Object Class	Federal Funds Requested	Non-federal Resources	Total Budget
Personnel	\$100,000	\$25,000	\$125,000

Note, subrecipient/contract and consultant detailed costs should all be included in those specific line items, not in the overall project object class line items, i.e., subrecipient travel should be included in the Contractual line item not in Travel.

1) Object Class Descriptions and Required Justifications

a. Personnel Description

Costs of staff salaries and wages, excluding benefits.

b. Personnel Justification

Clearly identify the project director or principal investigator, if known at the time of application. Provide a separate table for personnel costs detailing for each proposed staff person: the title; full name (if known at time of application), time commitment to the project as a percentage or full-time equivalent; annual salary and/or annual wage rate; federally funded award salary; non-federal award salary, if applicable; and total salary. No salary rate may exceed the statutory limitation in effect at the time you submit your application (see D.6 Funding Restrictions, *Salary Rate Limitation* for details). Do not include the costs of consultants, personnel costs of delegate agencies, or of specific project(s) and/or businesses to be financed by the applicant. Contractors and consultants should not be placed under this category.

Sample Personnel Table

Position Title and Full Name	Percent Time	Annual Salary	Federally-funded Salary	Non-federal Salary	Total Project Salary
Project Director, John K. Doe	50%	\$100,000	\$50,000	\$0	\$50,000
Data Assistant, Susan R. Smith	10%	\$30,000		\$3,000	\$3,000

c. Fringe Benefits Description

Costs of employee fringe benefits unless treated as part of an approved indirect cost rate.

d. Fringe Benefits Justification:

Provide a breakdown of the amounts and percentages that comprise fringe benefit costs such as health insurance, Federal Insurance Contributions Act (FICA) taxes, retirement insurance, and taxes.

e. Travel Description

Costs of travel by staff of the applicant organization only.

f. Travel Justification

For each trip proposed for applicant organization staff only, show the date of the proposed travel, total number of traveler(s); travel destination; duration of trip; per diem; mileage allowances, if privately owned vehicles will be used; and other transportation costs and subsistence allowances. **Do not** include travel costs for subrecipients or contractors.

g. Equipment Description

Equipment means tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost which equals or exceeds the lesser of the capitalization level established by the non-Federal entity for financial statement purposes, or \$5,000. (Note: Acquisition cost means the cost of the asset including the cost to ready the asset for its intended use. Acquisition cost for equipment, for example, means the net invoice price of the equipment, including the cost of any modifications, attachments, accessories, or auxiliary apparatus necessary to make it usable for the purpose for which it is acquired. Acquisition costs for software includes those development costs capitalized in accordance with generally accepted accounting principles (GAAP). Ancillary charges, such as taxes, duty, protective in transit insurance, freight, and installation may be included in or excluded from the acquisition cost

in accordance with the non- Federal entity's regular accounting practices.) See 45 C.F.R. § 75.2 for additional information.

h. Equipment Justification

For each type of equipment requested you must provide a description of the equipment; the cost per unit; the number of units; the total cost; and a plan for use of the equipment in the project; as well as a plan for the use, and/or disposal of, the equipment after the project ends. An applicant organization that uses its own definition for equipment should provide a copy of its policy, or section of its policy, that includes the equipment definition; include this with your Budget Narrative file. Reference the policy in this justification and include the policy copy in your Budget Narrative file (not your appendices).

i. Supplies Description

Costs of all tangible personal property other than those included under the Equipment category. This includes office and other consumable supplies with a per-unit cost of less than \$5,000.

j. Supplies Justification

Specify general categories of supplies and their costs. Show computations and provide other information that supports the amount requested.

k. Contractual Description

Costs of all contracts or subawards for services and goods except for those that belong under other categories such as equipment, supplies, construction, etc. Include third-party evaluation contracts, if applicable, and contracts or subawards with subrecipient organizations (with budget detail), including delegate agencies and specific project(s) and/or businesses to be financed by the applicant. This line item is not for individual consultants.

l. Contractual Justification

Demonstrate that all procurement transactions will be conducted in a manner to provide, to the maximum extent practical, open, and free competition. Recipients and subrecipients are required to use 45 CFR § 75.329 procedures and must justify any anticipated procurement action that is expected to be awarded without competition and exceeds the simplified acquisition threshold fixed by 41 U.S.C. § 134 and currently set at \$250,000. Recipients may be required to make pre-award review and procurement documents, such as requests for proposals or invitations for bids, independent cost estimates, etc., available to HHS/OASH.

Note: Whenever you intend to delegate part of the project to another agency, you must provide a detailed budget and budget narrative for each subrecipient/contractor, by agency title, along with the same supporting information referred to in these instructions. If you plan to select the subrecipients/contractors post-award and a detailed budget is not available at the time of application, you must provide information on the nature of the work to be delegated, the estimated costs, and the process for selecting the delegate agency.

m. Other Description

Enter the total of all other costs. Such costs, where applicable and appropriate, may include but are not limited to: consultants; insurance; professional services (including audit charges); space and equipment rent; printing and publication; training, such as tuition and stipends; participant support costs including incentives, staff development costs; and any other costs not addressed elsewhere in the budget.

n. Other Justification

Provide computations, a narrative description, and a justification for each cost under this category.

o. Indirect Costs Description

Total amount of indirect costs. This category has one of two methods that you may select.

You may only select one.

- Your organization currently has an indirect cost rate approved by the Department of Health and Human Services (HHS) or another cognizant federal agency. You should enclose a copy of the current approved rate agreement in your Budget Narrative file. If you request a rate that is less than allowed, your authorized representative must submit a signed acknowledgement that the organization is accepting a lower rate than allowed.
- Per 45 CFR § 75.414(f) Indirect (F&A) costs, “any non-Federal entity [i.e., applicant] that has never received a negotiated indirect cost rate, ... may elect to charge a de minimis rate of 10% of modified total direct costs (MTDC) which may be used indefinitely. As described in § 75.403, costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. If chosen, this methodology once elected must be used consistently for all Federal awards until such time as a non-Federal entity chooses to negotiate for a rate, which the non-Federal entity may apply to do at any time.”

This method only applies if you have never received an approved negotiated indirect cost rate from HHS or another cognizant federal agency. If you are waiting for approval of an indirect cost rate, you may

request the 10% de minimis rate. If you choose this method, costs included in the indirect cost pool must not be charged as direct costs to the award.

p. Indirect Costs Justification

Provide the calculation for your indirect costs total, i.e., show each line item included in the base, the total of these lines, and the application of the indirect rate. If you have multiple approved rates, indicate which rate as described in your approved agreement is being applied and why that rate is being used. For example, if you have both on-campus and off-campus rates, identify which is being used and why.

q. Program Income Description

Program income means gross income earned by your organization that is directly generated by this project if funded except as provided in 45 CFR § 75.307(f). Program income includes but is not limited to income from fees for services performed or the use or rental of real or personal property acquired under the award. Interest earned on advances of Federal funds is not program income. Except as otherwise provided in Federal statutes, regulations, or the terms and conditions of the Federal award, program income does not include rebates, credits, discounts, and interest earned on any of them. See also 45 CFR §§ 75.307, 75.407 and 35 U.S.C. §§ 200-212 (applies to inventions made under Federal awards).

r. Program Income Justification

Describe and estimate the sources and amounts of program income that this project may generate if funded. Unless being used for cost sharing, if applicable, these funds should not be added to your budget. This amount should be reflected in box 7 of the SF-424A.

s. Non-Federal Resources Description

Amounts of non-federal resources that will be used to support the project as identified in box 18 of the SF-424. For all federal awards, any shared costs or matching funds and all contributions, including cash and third-party in-kind contributions, must be accepted as part of the recipient's cost sharing or matching when such contributions meet all of the criteria listed in 45 CFR § 75.306. For awards that require matching by statute, you will be held accountable for projected commitments of non-federal resources in your application budgets and budget justifications by budget period or by project period for fully-funded awards, even if the justification by budget period, or by project period for fully-funded awards, exceeds the amount required. Your failure to provide the required matching amount may result in the disallowance of federal funds. If you are funded, you will be required to report these funds on your Federal Financial Reports. For awards that do not require matching or cost sharing by statute or regulation, where "cost sharing" refers to costs of a project in addition to Federal funds requested that you voluntarily propose in your budget, if your application is successful, we will include this non-federal cost sharing in the approved project budget and you will be held accountable for the non-federal cost-sharing funds as shown in the Notice of Award (NOA). Your failure to provide voluntary cost sharing of non-federal resources that have been accepted by HHS/OASH as part of the approved project costs and that are shown as part of the approved project budget in the NOA may result in the disallowance of federal funds. If you are funded, you will be required to report these funds on your Federal Financial Reports. Note, you will not receive any preference, priority, or special consideration in the funding process for voluntarily including non-Federal cost sharing in your proposed budget.

t. Non-federal Resources Justification

You must provide detailed budget information for every funding source identified in box 18. "Estimated Funding (\$)" on the SF-424. Provide this documentation as part of your Budget Narrative file, not your Appendices.

You must fully identify and document in your application the specific costs or contributions you propose in order to meet a matching requirement. You must provide documentation in your application on the sources of funding or contribution(s). In-kind contributions must be accompanied by a justification of how the stated valuation was determined. Matching or cost sharing must be documented by budget period (or by project period for fully-funded awards). If your application does not include the required supporting documentation for a matching requirement, it will not be disqualified from competitive review; however, it may impact your score under the evaluation criteria in Section G.1 of this announcement.

c. Plan for Oversight of Federal Award Funds

You must include a plan for oversight of federal award funds which describes:

- how your organization will provide oversight of federal funds and how award activities and partner(s) will adhere to applicable federal award and programmatic regulations. Include identification of risks specific to your project as proposed and how your oversight plan addresses these risks.
- the organizational systems that demonstrate effective control over and accountability for federal funds and program income, compare outlays with budget amounts, and provide accounting records supported by source documentation.

- for any program incentives proposed, the specific internal controls that will be used to ensure only qualified participants will receive them and how they will be tracked.
- organizational controls that will ensure timely and accurate submission of Federal Financial Reports to the OASH Office of Grants Management and Payment Management Services as well as timely and appropriate withdrawal of cash from the Payment Management System.

d. Appendices

All items described in this section will count toward the total page limit of your application. You must submit them as a **single electronic file** uploaded to the Attachments section of your Grants.gov application. These items include: 1) Supplemental Information/Supporting Documentation for Work Plan; 2) Memorandum(s) of Agreement and/or Letters of Commitment (LOC) from Partners and Subrecipient Organizations and Agencies; 3) Logic Model; 4) Curriculum Vitae/Resume for Key Personnel; and 5) Organizational Chart.

1) Supplemental Information/Support Documentation for Work Plan

If needed, include any additional information or documentation related to the Work Plan.

2) Memorandums of Agreement and/or Letters of Commitment from Partners, Subrecipient Organizations, and Agencies.

If available at the time of submission, signed MOAs or signed Letters of Commitment (LOCs) may be submitted for each partner (or one signed MOA with all partners) and include specific roles, responsibilities, resources, and contributions of partner(s) to the project. MOAs

signed by all partners are preferred as documentation to support the commitment of the partner organizations. If the applicant is unable to submit signed MOAs because of COVID-19 impacts, the applicant should submit an unsigned MOA(s). LOCs may be submitted at the time of application with the expectation that fully executed MOAs will be requested before an awarded project begins. The MOAs and signed LOCs must detail the specific role and resources that will be provided, or activities that will be undertaken, in support of the applicant. The organization's expertise, experience, and access to the targeted population(s) should also be described in the LOC. Fully executed MOAs will be required within 30 days following the issuance of any award made under this announcement.

LOCs are not the same as letters of support. Letters of support are letters that are general in nature that speak to the writer's belief in the capability of an applicant to accomplish a goal/task. Letters of support also may indicate an intent or interest to work together in the future, but they lack specificity. You should NOT provide letters of support, and letters of support such as this will not be considered during the review.

3) Logic Model

The applicant must submit with its application a detailed logic model that describes the inputs, objectives, activities, outputs, and short- and long-term outcomes of the intervention being tested through the proposed project. All program objectives, activities, and anticipated outcomes shall be reflected in the logic model and demonstrate that the proposed project reflects a coherent approach.

4) Curriculum Vitae/Résumé for Key Project Personnel

You must submit with your application curriculum vitae and/or résumés of the Project Director/Principal Investigator and all other Key Personnel. Key Personnel includes those individuals who will oversee the technical, professional, managerial, and support functions and/or assume responsibility for assuring the validity and quality of your organization's program. This includes at a minimum Program Manager/Program Coordinator. We encourage individuals to use their full name (first, middle, last) on these documents to distinguish them for verification in the System for Award Management exclusion records.

5) Organizational Chart

The applicant must submit with its application an organizational chart that shows the relationship of the project to the current organization. All personnel involved in the program (paid and/or volunteer) should be included in the organizational chart. The organizational chart should clearly delineate the implementation roles and responsibilities of both the applicant organization and each partner organization.

4. Unique Entity Identifier and System for Award Management (SAM)

You are required to provide a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number when applying for Federal awards through Grants.gov. It is a unique, nine-digit identification number, which provides unique identifiers of single business entities. The DUNS number is free and easy to obtain. If you do not currently have a DUNS number, please contact Grants.gov to create a temporary DUNS number if you are unable to complete the SAM registration process prior to submitting your application.

You will find instructions on the Grants.Gov web site as part of the organization registration process at <http://www.grants.gov/web/grants/applicants/organization-registration.html>.

Your organization must register online in the System for Award Management (SAM). Under normal operating procedures Grants.gov will reject submissions from applicants with nonexistent or expired SAM Registrations. Because of the public health emergency with COVID-19, the requirement for SAM registration at the time of submission has been waived. Grants.gov will temporarily allow submissions without a current SAM registration. A completed registration in SAM may be required prior to receiving any award based on your application.

If you are registering a new entity or renewing your registration, you must submit a notarized letter formally appointing an Entity Administrator to SAM.GOV For detailed instructions on the content of the letter and process for domestic entities see: https://www.fsd.gov/fsd-gov/answer.do?sysparm_kbid=d2e67885db0d5f00b3257d321f96194b&sysparm_search=kb0013183

A quick start guide for registrants is available at https://www.sam.gov/sam/transcript/Quick_Guide_for_Grants_Registrations.pdf. You should allow a minimum of five days to complete an initial SAM registration. Allow up to 10 business days after you submit your registration for it to be active in SAM. This timeframe may be longer if SAM flags the information you provide for manual validation. You will receive an email alerting you when your registration is active.

If your organization is already registered in SAM, you must renew your SAM registration each year. Organizations registered to apply for Federal awards through <http://www.grants.gov>

will need to renew their registration in SAM. SAM has extended the expiration dates for registration renewals that may be delayed because of the public health emergency. Please review your status in SAM .

You should make sure your SAM registration information is accurate, especially your organization's legal name and physical address including your ZIP+4. Should you successfully compete and receive an award, this information must be included on a Notice of Award. For instructions on updating this information see https://gsafsd.service-now.com/fsd-gov/answer.do?sysparm_kbid=c3d982af6fb8d5006f348d412e3ee47e

It may take 24 hours or more for SAM updates to take effect in Grants.gov, so if you plan to apply for this funding opportunity or think you might apply, you should ensure your organization's registration is active in SAM well before the application deadline and will be active through the competitive review period.

If you are successful and receive an award, you must maintain an active SAM registration with current information at all times during which your organization has an active award or an application or plan under consideration by an HHS agency.

HHS/OASH cannot make an award until you have complied with these requirements as modified under the public health emergency. If you have not complied with these requirements,

HHS/OASH:

- May determine that you are not qualified to receive an award; and
- May use that determination as a basis for making an award to another applicant.

Should you successfully compete and receive an award, all first-tier sub-award recipients must have a DUNS number at the time you, the recipient, make a sub-award.

5. Submission Dates and Times

You must submit your application for this funding opportunity by **the date and time indicated in Section A.1 of this announcement**. Your submission time will be determined by the date and time stamp provided by Grants.gov when you **complete** your submission.

If you fail to submit your application by the due date and time, we will not review it, and it will receive no further consideration. You are strongly encouraged to submit your application a minimum of 3-5 days prior to the application closing date. Do not wait until the last day in the event you encounter technical difficulties, either on your end or with <http://www.grants.gov> . Grants.gov can take up to 48 hours to notify you of a successful or rejected submission. You are better off having a less-than-perfect application successfully submitted and under consideration than no application.

If your submission fails due to a system problem with Grants.gov, we may consider your application if you provide verification from Grants.gov indicating system problems existed at the time of your submission **and that time was before the submission deadline**. A “system problem” does not include known issues for which Grants.gov has posted instructions regarding how to successfully submit an application such as compatible Adobe versions or file naming conventions. **As the applicant, it is your responsibility to review all instructions available on Grants.gov regarding successfully submitting an application.**

6. Intergovernmental Review

Applications under this announcement are subject to the requirements of Executive Order 12372, “Intergovernmental Review of Federal Programs,” as implemented by 45 CFR part 100, “Intergovernmental Review of Department of Health and Human Services Programs and

Activities.” As soon as possible, you should discuss the project with the State Single Point of Contact (SPOC) for the State in which your organization is located. The current listing of the SPOCs is available at <https://www.whitehouse.gov/wp-content/uploads/2017/11/SPOC-Feb.-2018.pdf>. The SPOC should forward any comments to the Department of Health and Human Services 1101 Wootton Parkway, Suite 100, Rockville, MD 20852. The SPOC has 60 days from the due date listed in this announcement to submit any comments. For further information, contact the HHS/OASH Office of Grants Management at 240-453-8822.

7. Funding Restrictions

Direct and Indirect Costs proposed and, if successful, charged to the HHS/OASH award must meet the cost requirements of 45 CFR part 75 “Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards,” Subpart E—Cost Principles. These requirements apply to you, the applicant, and any subrecipients. You should thoroughly review these regulations before developing your proposed budget.

Indirect costs may be included per 45 CFR § 75.414. See the Budget Narrative section of this announcement for more information. To obtain a negotiated indirect cost rate with the Federal Government you may contact the U.S. Department of Health and Human Services Cost Allocation Services (CAS) regional office that is applicable to your State. CAS regional contact information is available at <https://rates.psc.gov/fms/dca/map1.html>.

1) Pre-Award Costs

Pre-award costs (per 45 CFR § 75.458) are those incurred prior to the effective date of the Federal award directly pursuant to the negotiation and in anticipation of the Federal award where such costs are necessary for efficient and timely performance of the scope of work. Such costs are

allowable only to the extent that they would have been allowable if incurred after the date of the Federal award and only with the written approval of the HHS awarding agency.

Pre-award costs are not allowed.

2) Salary Rate Limitation:

Each year's appropriations act limits the salary rate that we may award and you may charge to HHS/OASH grants and cooperative agreements. You should not budget award funds to pay the salary of an individual at a rate in excess of Federal Executive Pay Scale Executive Level II. As of January 2020, the Executive Level II salary is \$197,300. This amount reflects an individual's base salary exclusive of fringe benefits and any income that an individual working on the award project may be permitted to earn outside of the duties to the applicant organization. This salary rate limitation also applies to subawards/subcontracts under an HHS/OASH award.

An example of the application of this limitation for an individual devoting 50% of their time to this award is broken down below:

Individual's <i>actual</i> base full time salary: \$350,000 50% of time devoted to project, i.e. .5 FTE	
Direct salary (\$350,000 x .5)	\$175,000
Fringe (25% of salary)	\$43,750
Total	\$218,750
Amount that may be claimed on the application budget due to the legislative salary rate limitation: Individual's base full time salary <i>adjusted</i> to Executive Level II: \$197,300 with 50% of time devoted to the project	
Direct salary (\$197,300 x .5)	\$98,650
Fringe (25% of salary)	\$24,663
Total amount allowed	\$123,313

Appropriate salary rate limits will apply as required by law.

3) Consideration for planning the project and writing the budget are:

Recipients may not use funds for individual or family tax preparation services.

8. Other Submission Requirements

a. Electronic Submission

HHS/OASH requires that all applications be submitted electronically via the Grants.gov portal unless an exemption has been granted. If you submit an application via any other means of electronic communication, including facsimile or electronic mail, it *will not* be accepted for review unless you receive an exemption as described in the DATES section of this announcement.

You may access the Grants.gov website portal at <http://www.grants.gov>.

Applications, excluding required standard forms, must be submitted as three (3) files (see acceptable file types below). One file must contain the entire Project Narrative, another the entire Budget Narrative including supporting documentation described in the Budget Narrative content section; and the third file must contain all documents in the Appendices. Any additional files submitted as part of the Grants.gov application will not be accepted for processing and will be excluded from the application during the review process.

Any files uploaded or attached to the Grants.gov application must be Adobe PDF, Microsoft Word, or image formats (JPG, GIF, TIFF, or BMP only) and must contain a valid file format extension in the filename. HHS/OASH strongly recommends that electronic applications be uploaded as Adobe PDF. If you convert to PDF prior to submission you may prevent any unintentional formatting that might occur with submission of an editable document. Please note, even though Grants.gov allows you to attach any file format as part of your application, HHS/OASH restricts this practice and only accepts the file formats identified above. Any file submitted as part of the Grants.gov application that is not in a file format listed above will not be accepted for processing and will be excluded from the application during the review process.

Any file submitted as part of the Grants.gov application that contains password protection will not be accepted for processing and will be excluded from the application during the review process. We will not contact you for passwords or resubmission of unprotected files. Unprotected information in the application will be forwarded for consideration but password protected portions will not. You should avoid submitting personally identifiable information such as personal contact information on résumés.

In addition, the use of compressed file formats such as ZIP, RAR, or Adobe Portfolio will not be accepted. We will not contact you for resubmission of uncompressed versions of files. Compressed information in the application will not be forwarded for consideration.

You must submit your application in a format that can easily be copied and read by reviewers. We do not recommend that you submit scanned copies through Grants.gov unless you confirm the clarity of the documents. Pages cannot be reduced resulting in multiple pages on a single sheet to avoid exceeding the page limitation. If you submit documents that do not conform to these instructions, we will exclude them from your application during the review process.

b. Important Grants.gov Information

You may access the electronic application for this program on <http://www.grants.gov>. You must search the downloadable application page by the Funding Opportunity Number or CFDA number, both of which can be found on page 1 of this funding opportunity announcement.

To ensure successful submission of your application, you should carefully follow the step-by-step instructions provided at <http://www.grants.gov/web/grants/applicants/apply-for-grants.html>. These instructions are kept up-to-date and also provide links to Frequently Asked Questions and other troubleshooting information. **You are responsible for reviewing all Grants.gov submission requirements on the Grants.gov site.**

You should contact Grants.gov with any questions or concerns regarding the electronic application process conducted through Grants.gov. See Contacts below. See Section D.3 for requirements related to DUNS numbers and SAM registration.

G. APPLICATION REVIEW INFORMATION

1. Criteria

Federal staff and an independent review panel will assess all eligible applications according to the following criteria. Disqualified applications will not be reviewed against these criteria

1) Problem Statement (10 points)

- How well does the applicant clearly demonstrate the significance or prevalence of the problem or issue affecting population(s) of focus, including racial/ethnic minority groups?
- To what degree is the applicant's problem statement supported by the provided data? How well does the applicant demonstrate a need to address ACEs prevention and an understanding of health disparities experienced by the population(s) of focus?
- To what extent has the applicant provided sufficient rationale for selection of the population(s) and geographic area(s) of focus, including potential impact of the project on the population(s) of focus?
- To what extent does the application clearly and unambiguously demonstrate the proposed population(s) of focus include those disproportionately experiencing or at heightened risk for ACEs, including racial/ethnic minority populations? To what extent does the applicant include populations who are less likely to know about or claim the EITC, such as communities with moderately sized immigrant populations; persons who are self-employed, do not have qualifying children, are Hispanic, do not speak English well, did not finish high school, or are grandparents?

- To what extent will the proposed intervention serve racial and ethnic minority populations? To what extent will the proposed intervention serve communities in Opportunity Zones?

2) Organizational Capacity (15 points)

- How well does the relevant experience, expertise and capacity of the applicant organization as a whole and its partners align with the project goals, objectives, and likelihood of producing measurable outcomes in the project period?
- To what extent does the applicant demonstrate sufficient experience, expertise and capability of proposed key personnel and project staff to successfully meet project goals and objectives?
- How well does the applicant demonstrate readiness to implement the project and to demonstrate impact on outcomes within the project period?
- How well does the applicant demonstrate established linkages with other programs in the community for client outreach, education and engagement?
- To what extent do the applicant and any partner(s) demonstrate experience with and knowledge of cultural competence and the National CLAS Standards?

3) Approach (35 points)

a. Goals, Objectives, and Outcomes (5 out of 35):

- How clearly are the proposed objectives linked to EITC application/receipt and at least one or more increased protective factors/decreased risk factors in prevention of ACEs?

- How specific, measurable, achievable, realistic and time-phased (SMART) are the proposed objectives?
- To what extent are the proposed outcome(s) feasible, measurable and unambiguously aligned with the program goals and objectives?

b. Program/Project Plan (20 out of 35)

- How well reasoned and appropriate are the strategies, methodology, and activities to accomplish the specific goal(s) and objectives of the project and to produce measurable outcomes?
- How feasible is the approach that will be used to monitor and track progress on the project's tasks and objectives?
- How well does the project Work Plan reflect and is consistent with the Project Narrative and Budget?
 - How clearly and logically does the Work Plan state the project's overall result-based goals, anticipated outcomes, key objectives, and the major tasks/action steps that will be pursued to achieve the goal and outcome(s)?
 - How thoroughly does the Work Plan include components to evaluate progress toward achieving the applicant's stated goals and outcomes?
 - How feasible and specific are the Work Plan's specified timeframes (including start- and end-dates) to meet project goals and objectives? How clearly does the Work Plan identify the

lead person (including partners/consultants) responsible for completing each task?

- Does the evaluation section of the Work Plan establish clear, achievable data collection milestones?
- How appropriate are the proposed activities to promote EITC outreach and education activities and to support linkages to community-based services and resources through a multi-sectoral collaborative partnership?
- How well do the applicant's proposed approach and activities support an increase in EITC applications? How comprehensively do the proposed approach and activities use existing informational and educational resources from EITC national campaigns and the IRS?
- How realistic and comprehensive is the proposed approach for recruiting, enrolling and retaining sufficient participants to achieve the desired sample size necessary to demonstrate program impact?
- How well does the applicant's plan use the National CLAS Standards to ensure the proposed project will be implemented in a culturally appropriate manner tailored to the target population(s)?
- How well does the applicant describe potential problems, alternative strategies, and benchmarks for success?
- How well does the proposed intervention's logic model clearly and unambiguously illustrate the linkages among all elements in the model, including those between measureable outcomes and program activities?

c. Collaboration/Partnerships (10 out of 35):

- How well does the applicant demonstrate a feasible approach to establishing a collaborative partnership? To what extent will the proposed partnerships contribute to achieving the project goal(s) and objectives and to supporting engagement of the population proposed to be served?
- How thoroughly and clearly does the proposal describe partners' expertise, experience, roles and responsibilities; and the resources each partner will provide to support project activities?
- To what extent are partners, including community-based organizations, proposed to be involved in a meaningful way in the planning, implementation and evaluation of the proposed project?

4) Evaluation Plan (20 points)

- To what extent does the proposed evaluation design and data analysis approach allow for rigorous assessment of whether or not the proposed intervention achieves its measurable outcome(s) and estimates the impact of activities proposed on expected outcomes? How likely is it that the proposed evaluation will be able to clearly establish whether outreach and education result in statistically significant increases in EITC receipt and changes in at least one or more ACEs risk and/or protective factors among the target population?

- To what extent does the proposed evaluation design and data plan include a technique such as power analysis or Bayesian analysis to establish/demonstrate statistical significance?
- To what extent is the evaluation design and data collection structured using widely accepted practices to control for threats to validity such as pre- and post-control and intervention groups? To what extent does the proposal demonstrate the ability and likelihood of accessing the necessary data for the evaluation?
- How appropriate are the proposed indicators/measures and how well will they clearly support the evaluation of the impact of the proposed project?
- To what extent does the evaluation plan include validated instruments for measuring protective and risk factors of parents and caregivers, such as stress, positive psychological functioning, and social supports?
- To what extent does the proposal demonstrate a sound approach for measuring and reporting project outcomes, including describing available data sources, feasibility of collecting appropriate evaluation and performance data, and other relevant data information?
- To what extent do key partners participate in evaluation and performance measurement planning processes?
- To what extent does the plan include the evaluation of the quality of the implementation of the National CLAS Standards through process and outcome measures?

- To what extent does the evaluation plan include evaluation of all project components and aligns with the logic model?
- How well does the evaluation section of the Work Plan align with the evaluation narrative?

5) Dissemination Plan (10 points)

- How feasible is the proposed approach for documenting and disseminating the project's implementation process, results, findings, successes, and lessons learned in a timely manner and in easily understandable formats to the population served, the general public, and other parties who might be interested in using the results of the project?

6) Sustainability Plan (10 points)

- To what extent does the applicant describe a feasible approach for developing a sustainability plan to support the program(s) beyond the grant period?
- How well does the applicant describe their approach for identifying the following:
 - Who their sustainability partners are?
 - Any strategies, contracts, and/or other means to secure and/or expand sustainable financing?
 - How they will secure funding for the proposed program(s) beyond the end of the grant period and/or embed the program(s) within the routine operations of collaborating organizations?

2. Review and Selection Process

Each HHS/OASH Program's office is responsible for facilitating the process of evaluating applications and setting funding levels according to the criteria set forth above.

An independent review panel will evaluate applications that meet the responsiveness criteria, if applicable, and are not disqualified. These reviewers are experts in their fields, and are drawn from academic institutions, non-profit organizations, state and local government, and Federal government agencies. Based on the Application Review Criteria as outlined under Section E.1, the reviewers will comment on and score the applications, focusing their comments and scoring decisions on the identified criteria. In addition to the independent review panel, Federal staff will review each application for programmatic, budgetary, and grants management compliance.

The Deputy Assistant Secretary for Minority Health will provide recommendations for funding to the Grants Management Officer to conduct risk analysis.

In providing these recommendations, the Deputy Assistant Secretary for Minority Health will take into consideration the following additional factor(s):

- Geographic distribution of projects

3. Review of Risk Posed by Applicant

The HHS/OASH will evaluate, in accordance with 45 CFR § 75.205, each application recommended for funding by the program official indicated in Review and Selection Process for risks before issuing an award. This evaluation may incorporate results of the evaluation of eligibility or the quality of an application. If we determine that a Federal award will be made, special conditions that correspond to the degree of risk assessed will be applied to the Federal award. Such conditions may include additional programmatic or financial reporting or releasing

funds on a reimbursable rather than cash advance basis. OASH will use a risk-based approach and may consider any items such as the following:

- 1) Your financial stability;
- 2) Quality of management systems and ability to meet the management standards prescribed in 45 CFR part 75;
- 3) History of performance. Your record in managing Federal awards, if you are a prior recipient of Federal awards, including timeliness of compliance with applicable reporting requirements, conformance to the terms and conditions of previous Federal awards, and if applicable, the extent to which any previously awarded amounts will be expended prior to future awards;
- 4) Reports and findings from audits performed; and
- 5) Your ability to effectively implement statutory, regulatory, or other requirements imposed on non-Federal entities.

Prior to making a Federal award with a total Federal share greater than the simplified acquisition threshold (currently \$250,000), we are required to review and consider any information about you that is in the designated integrity and performance system accessible through the System for Award Management (SAM) (currently the Federal Awardee Performance and Integrity Information System (FAPIIS)). You may, at your option, review information in SAM and comment on any information about yourself that a Federal awarding agency previously entered and is currently available through SAM. We will consider any comments by you, in addition to the other information in the designated system, in making a judgment about your integrity, business ethics, and record of performance under Federal awards when completing the review of risk.

If an we do not make an award to you because we determine your organization does not meet either or both of the minimum qualification standards as described in 45 CFR §75.205(a)(2), we must report that determination to FAPIIS, if certain conditions apply. At a minimum, the

information in the system if you are a prior Federal award recipient must “demonstrate a satisfactory record of executing programs or activities under Federal grants, cooperative agreements, or procurement awards; and integrity and business ethics.” 45 CFR § 75.205(a)(2); see also 45 CFR §75.212 for additional information.

4. Final Award Decisions, Anticipated Announcement, and Federal Award Dates

Upon completion of risk analysis and concurrence of the Grants Management Officer, HHS/OASH will issue Notices of Award. No award decision is final until a Notice of Award is issued. All award decisions, including level of funding if an award is made, are final and you may not appeal.

HHS/OASH seeks to award funds as much in advance of the anticipated project start date shown in Section B “Federal Award Information,” as practicable, with a goal of 10-15 days. Note this is an estimated start date and award announcements may be made at a later date and with a later project period start date.

H. FEDERAL AWARD ADMINISTRATION INFORMATION

1. Federal Award Notices

HHS/ OASH does not release information about individual applications during the review process. If you would like to track your application, please see instructions at <http://www.grants.gov/web/grants/applicants/track-my-application.html>. The official document notifying you that an application has been approved for funding is the Notice of Award (NOA), approved by a Grants Management Officer of the HHS/OASH/GAM. If you are successful, you will receive this document via system notification from our grants management system (Grant Solutions) and/or via e-mail. This document notifies the successful recipient of the amount

awarded, the purposes of the award, the anticipated length of the project period, terms and conditions of the award, and the amount of funding to be contributed by the recipient to project costs, if applicable.

If you receive an NOA, we strongly encourage you to read the entire document to ensure your organization's information is correct and that you understand all terms and conditions. You should pay specific attention to the terms and conditions, as some may require a time-limited response. The NOA will also identify the Grants Management Specialist and Program Project Officer assigned to the award for assistance and monitoring.

If you are unsuccessful or deemed ineligible according to the disqualification criteria, you will be notified by HHS/OASH by email and/or letter. If your application was reviewed by the independent review panel, you may receive summary comments pertaining to the application resulting from the review process. On occasion, you may receive a letter indicating that an application was approved but unfunded. These applications may be kept active for one year and may be considered for award without re-competing should funds become available during the hold period.

2. Administrative and National Policy Requirements

If you are successful and receive a Notice of Award, in accepting the award, you agree that the award and any activities thereunder are subject to all provisions of 45 CFR part 75, currently in effect or implemented during the period of the award, or other Department regulations and policies in effect at the time of the award.

In addition, your organization must comply with all terms and conditions outlined in the Notice of Award, the U.S. Department of Health and Human Services (HHS) Grants Policy Statement (GPS), requirements imposed by program statutes and regulations and HHS grant

administration regulations, as applicable, as well as any requirements or limitations in any applicable appropriations acts. The current HHS GPS is available at <http://www.hhs.gov/sites/default/files/grants/grants/policies-regulations/hhsgps107.pdf> Please note HHS plans to revise the HHS GPS to reflect changes to the regulations; 45 CFR parts 74 and 92 have been superseded by 45 CFR part 75.

You may only use award funds to support activities outlined in the approved project plan. If your application is funded, your organization will be responsible for the overall management of activities within the scope of the approved project plan. Please consult the HHS GPS Section II and 45 CFR § 75.308 for aspects of your funded project that will require prior approval from the Grants Management Officer for any changes. Modifications to your approved project that will require prior approval include, but are not limited to: a change in the scope or the objective(s) of the project or program (even if there is no associated budget revision, such as reduction in services, closing of service or program site(s)); significant budget revisions, including changes in the approved cost-sharing or matching; a change in a key person specified in your application; reduction in time devoted to the project by the approved project director or principal investigator, either as percentage of full-time equivalent of 25% or more or absence for 3 months or more; or the subawarding, transferring or contracting out of any work that was not described in the approved proposal.

3. Closeout of Award

Upon expiration of your project period, if we do not receive acceptable final performance, financial, and/or cash reports in a timely fashion within the closeout period, and we determine that closeout cannot be completed with your cooperation or that of the Principal Investigator/ Project Director, we may elect to complete a unilateral closeout. (See F.3 Reporting below for closeout

reporting requirements.) As a result, we may determine that enforcement actions are necessary, including on another existing or future award, such as withholding support or a high-risk designation.

4. Lobbying Prohibitions

You shall not use any funds from an award made under this announcement for other than normal and recognized executive legislative relationships. You shall not use funds for publicity or propaganda purposes, for the preparation, distribution, or use of any kit, pamphlet, booklet, publication, electronic communication, radio, television, or video presentation designed to support or defeat the enactment of legislation before the Congress or any State or local legislature or legislative body, except in presentation to the Congress or any State or local legislature itself, or designed to support or defeat any proposed or pending regulation, administrative action, or order issued by the executive branch of any State or local government, except in presentation to the executive branch of any State or local government itself.

You shall not use any funds from an award made under this announcement to pay the salary or expenses of any employee or subrecipient, or agent acting for you, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before the Congress or any State government, State legislature or local legislature or legislative body, other than for normal and recognized executive-legislative relationships or participation by an agency or officer of a State, local or tribal government in policymaking and administrative processes within the executive branch of that government.

The above prohibitions include any activity to advocate or promote any proposed, pending, or future Federal, State or local tax increase, or any proposed, pending, or future requirement or

restriction on any legal consumer product, including its sale or marketing, including but not limited to the advocacy or promotion of gun control.

5. Non-Discrimination Requirements

Pursuant to Federal civil rights laws, if you receive an award under this announcement you must not discriminate on the basis of race, color, national origin, disability, age, and in some cases sex and religion. The HHS Office for Civil Rights provides guidance for complying with civil rights laws that prohibit discrimination. <https://www.hhs.gov/civil-rights/index.html>.

HHS provides guidance to recipients of federal financial assistance on meeting the legal obligation to take reasonable steps to provide meaningful access to persons with limited English proficiency. See *Guidance to Federal Financial Assistance Recipients Regarding Title VI Prohibition Against National Origin Discrimination Affecting Limited English Proficient Persons*, 68 Fed. Reg. 47311, 47313 (HHS Office for Civil Rights, 2003, www.gpo.gov/fdsys/pkg/FR-2003-08-08/pdf/03-20179.pdf) You must ensure your contractors and subrecipients also comply with federal civil rights laws.

The *National Standards for Culturally and Linguistically Appropriate Services in Health and Health Care* (National CLAS Standards), 78 Fed. Reg. 58539, 58543 (HHS Office of Minority Health, 2013, www.gpo.gov/fdsys/pkg/FR-2013-09-24/pdf/2013-23164.pdf), provides a practical framework for applicants to provide quality health care and services to culturally and linguistically diverse communities, including persons with limited English proficiency. Compliance with the National CLAS Standards meets the legal obligation to take reasonable steps to provide meaningful access to persons with limited English proficiency.

6. Smoke- and Tobacco-free Workplace

The HHS/OASH strongly encourages all award recipients to provide a smoke-free workplace and to promote the non-use of all tobacco products. This is consistent with the HHS/OASH mission to protect and advance the physical and mental health of the American people.

7. Acknowledgement of Funding and HHS Rights to Materials and Data

Each year's annual appropriation requires that when issuing statements, press releases, requests for proposals, bid solicitations and other documents describing projects or programs funded in whole or in part with Federal money, all organizations receiving Federal funds, including but not limited to State and local governments and recipients of Federal research grants, shall clearly state— (1) the percentage of the total costs of the program or project which will be financed with Federal money; (2) the dollar amount of Federal funds for the project or program; and (3) percentage and dollar amount of the total costs of the project or program that will be financed by non-governmental sources.

You must also acknowledge Federal support in any publication you develop using funds awarded under this program, with language such as:

This publication (journal article, etc.) was supported by Award No. _____ from the Office of the Assistant Secretary of Health (OASH). Its contents are solely the responsibility of the authors and do not necessarily represent the official views of OASH.

All publications you develop or purchase with funds awarded under this announcement must be consistent with the requirements of the program. You own the copyright for materials

that you develop under this award, and pursuant to 45 CFR § 75.322(b), HHS reserves a royalty-free, nonexclusive, and irrevocable right to reproduce, publish, or otherwise use those materials for Federal purposes, and to authorize others to do so. In addition, pursuant to 45 CFR § 75.322(d), the Federal government has the right to obtain, reproduce, publish, or otherwise use data produced under this award and has the right to authorize others to receive, reproduce, publish, or otherwise use such data for Federal purposes.

8. Trafficking in Persons

Awards issued under this funding opportunity announcement are subject to the requirements of Section 106 (g) of the Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. § 7104). For the full text of the award term, go to http://www.hhs.gov/opa/grants/trafficking_in_persons_award_condition.html. If you are unable to access this link, please contact the Grants Management Specialist identified in this funding opportunity announcement to obtain a copy of the term.

9. Efficient Spending

This award may also be subject to the HHS Policy on Promoting Efficient Spending: Use of Appropriated Funds for Conferences and Meetings, Food, Promotional Items, and Printing and Publications available at <http://www.hhs.gov/grants/contracts/contract-policies-regulations/efficient-spending/>.

10. Whistleblower Protection

If you receive an award, you will be subject to a term and condition that applies the terms of 48 CFR § 3.908 to the award, and requires that you inform your employees in writing of

employee whistleblower rights and protections under 41 U.S.C. § 4712 in the predominant native language of the workforce.

11. Human Subjects Protection

Federal regulations (45 CFR Part 46) require that applications and proposals involving human subjects must be evaluated with reference to the risks to the subjects, the adequacy of protection against these risks, the potential benefits of the research to the subjects and others, and the importance of the knowledge gained or to be gained. If research involving human subjects is anticipated, you must meet the requirements of the HHS regulations to protect human subjects from research risks as specified in 45 CFR part 46. You may find it online at <http://www.hhs.gov/ohrp/humansubjects/guidance/45cfr46.html>.

Applicants that plan to engage in research involving human subjects are encouraged to provide information regarding participation in research in their recruitment efforts and provide a link to www.hhs.gov/about-research-participation.

12. Research Integrity

An applicant for or recipient of PHS support for biomedical or behavioral research, research training or activities related to that research or research training must comply with 42 C.F.R. part 93, including have written policies and procedures for addressing allegations of research misconduct that meet the requirements of part 93, file an Assurance of Compliance with the Office of Research Integrity (ORI), and take all reasonable and practical steps to foster research integrity consistent with 42 C.F.R. § 93.300. The assurance must state that the recipient (1) has written policies and procedures in compliance with this part for inquiring into and investigating

allegations of research misconduct; and (2) complies with its own policies and procedures and the requirements of part 93. More information is available at ori.hhs.gov/assurance-program.

13. Reporting

a. Performance Reports

You must submit performance reports on a quarterly basis. Your performance reports must address content required by 45 CFR § 75.342(b)(2). The awarding program office may provide additional guidance on the content of the progress report. You must submit your performance reports by the due date indicated in the terms and conditions of your award via upload to our grants management system (GrantSolutions.gov), in the Grant Notes module.

You will also be required to submit a final performance report covering the entire project period 90 days after the end of the project period. You must submit the final report by upload to our grants management system (GrantSolutions.gov), in the Grant Notes module.

b. Performance Measures

In addition to the submission of quarterly reports in our grants management system, OMH expects awardees to report program process and outcome data electronically to OMH on a quarterly basis. Performance process and outcome data allow OMH to evaluate the performance of its initiatives across awardees. All OMH awardees under this initiative are required to report project performance process and outcome data on a quarterly basis through Grant Solutions. No performance measure reporting will be required without OMB approval. Training will be provided to all new grantees on the collection and reporting of performance data during the Technical Assistance and Training grantee meeting.

Note: Recipients may be required to report project-related data in the Office of Minority Health's Performance Data System (PDS) (OMB No. 0990-0275, Expiration date 8/31/2022).

At the end of each quarter of this initiative, you should be able to:

- 1) Describe accomplishments and progress toward program purpose/strategies/interventions.
- 2) Summarize the status of the project's staffing situation.
- 3) Describe the role and activities of each partnering organization.
- 4) Describe accomplishments, current or anticipated problems, changes and progress on the evaluation plan.

c. Financial Reports

You will be required to submit quarterly Federal Financial Reports (FFR) (SF-425). Your specific reporting schedule will be issued as a condition of award. You will also be required to submit a final FFR covering the entire project period 90 days after the end of the project period. You must submit FFRs via our grants management system (GrantSolutions.gov) FFR module.

Quarterly cash reporting to the HHS Payment Management System on the FFR is also required. Please note, at this time, these FFR reports are separate submissions via the Payment Management System. At this time, data is not transferable between the two systems and you will report twice on certain data elements.

d. Audits

If your organization receives \$750,000 or greater in Federal funds, it must undergo an independent audit in accordance with 45 CFR part 75, subpart F.

e. Non-competing Continuation Applications and Awards

Each year of the approved project period, you will be required to submit a noncompeting application which includes a progress report for the current budget year, and work plan, budget

and budget justification for the upcoming year. Specific guidance will be provided via Grant Solutions well in advance of the application due date. HHS/OASH will award continuation funding based on availability of funds, satisfactory progress of the project, grants management compliance, including timely reporting, and continued best interests of the government. Additionally, failure to provide final progress or financial reports on other awards from HHS may affect continuation funding.

f. FFATA and FSRS Reporting

The Federal Financial Accountability and Transparency Act (FFATA) requires data entry at the FFATA Subaward Reporting System (<http://www.FSRS.gov>) for all sub-awards and sub-contracts issued for \$25,000 or more as well as addressing executive compensation for both recipient and sub-award organizations.

g. Reporting of Matters Relating to Recipient Integrity and Performance

If the total value of your currently active grants, cooperative agreements, and procurement contracts from all Federal awarding agencies exceeds \$10,000,000 for any period of time during the period of performance of this Federal award, then you must maintain the currency of information reported to the System for Award Management (SAM) that is made available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (FAPIIS)) about civil, criminal, or administrative proceedings described in paragraph A.2 of Appendix XII to 45 CFR part 75—Award Term and Condition for Recipient Integrity and Performance Matters. This is a statutory requirement (41 U.S.C. § 2313). As required by section 3010 of Public Law 111-212, all information posted in the designated integrity and performance system on or after April 15, 2011, except past performance reviews required for Federal procurement contracts, will be publicly available. For more information about

this reporting requirement related to recipient integrity and performance matters, see Appendix XII to 45 CFR part 75.

h. Other Required Notifications

Before you enter into a covered transaction at the primary tier, in accordance with 2 CFR § 180.335, you as the participant must notify HHS/OASH, if you know that you or any of the principals for that covered transaction:

- Are presently excluded or disqualified;
- Have been convicted within the preceding three years of any of the offenses listed in 2 CFR § 180.800(a) or had a civil judgment rendered against you for one of those offenses within that time period;
- Are presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses listed in 2 CFR § 180.800(a); or
- Have had one or more public transactions (Federal, State, or local) terminated within the preceding three years for cause or default.

At any time after you enter into a covered transaction, in accordance with 2 CFR § 180.350, you must give immediate written notice to HHS/OASH if you learn either that—

- You failed to disclose information earlier, as required by 2 CFR § 180.335; or
- Due to changed circumstances, you or any of the principals for the transaction now meet any of the criteria in 2 CFR § 180.335.

I. CONTACTS

1. Administrative and Budgetary Requirements:

For information related to administrative and budgetary requirements, contact the HHS/OASH grants management specialist listed below.

Roscoe Brunson

Grants and Acquisitions Management Division

1101 Wootton Parkway, Suite 100

Rockville, MD 20852

Phone: 240-453-8822

Email: roscoe.brunson@hhs.gov

2. Program Requirements

For information on program requirements, please contact the program office representative listed below.

Naomi Aspaas

Office of Minority Health

1101 Wootton Parkway, Suite 100

Rockville, Maryland 20852

Phone: 240.453.6057

Email: naomi.aspaas@hhs.gov

3. Electronic Submission Requirements

For information or assistance on submitting your application electronically via Grants.gov, please contact Grants.gov directly. Assistance is available 24 hours a day, 7 days per week.

GRANTS.GOV Applicant Support

Website: www.grants.gov

Phone: 1-800-518-4726

Email: support@grants.gov

J. OTHER INFORMATION

1. Awards under this Announcement

We are not obligated to make any Federal award as a result of this announcement. If awards are made, they may be issued for periods shorter than indicated. Only the grants officer can bind the Federal government to the expenditure of funds. If you receive communications to negotiate an award or request additional or clarifying information, this does not mean you will receive an award; it only means that your application is still under consideration.

2. Application Elements

The below is a summary listing of all the application elements required for this funding opportunity.

- Application for Federal Assistance (SF-424)
- Budget Information for Non-construction Programs (SF-424A)
- Assurances for Non-construction Programs (SF-424B)
- Disclosure of Lobbying Activities (SF-LLL)
- Project Abstract Summary
- Project Narrative – Submit all Project Narrative content as a single acceptable file, specified above.

- Budget Narrative – Submit all Budget Narrative content as a single acceptable file, specified above.
- Appendices – Submit all appendix content as a single acceptable file, specified above **in the Attachments section of your Grants.gov application.**
 - Supplemental Information/Supporting Documentation for Work Plan
 - Memorandum(s) of Agreement and/or Letters of Commitment (LOC) from Partners and Subrecipient Organizations and Agencies
 - Logic Model
 - Curriculum Vitae/Resume for Key Personnel
 - Organizational Chart

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GLOSSARY

Adverse Childhood Experiences (ACEs): Adverse Childhood Experiences, or ACEs, are potentially traumatic events that occur in childhood (0-17 years) such as experiencing violence, abuse, or neglect; witnessing violence in the home; and having a family member attempt or die by suicide. Also included are aspects of the child's environment that can undermine their sense of safety, stability, and bonding such as growing up in a household with substance misuse, mental health problems, or instability due to parental separation or incarceration of a parent, sibling or other member of the household.²

Community-based: Community-based activity involves members of the affected community in the planning, development, implementation, and evaluation of programs and strategies.²⁵

Earned Income Tax Credit (EITC): EITC is a tax credit for working people, particularly those with children in the low-to-moderate income level, designed to incentivize work and help reduce poverty. It is a tax benefit that can be levied at the federal, state and local levels in order to reduce tax burden for low-to-moderate income working families.²⁶

Opportunity Zone: An economically-distressed community where new investments, under certain conditions, may be eligible for preferential tax treatment. Localities qualify as Opportunity Zones if they have been nominated for that designation by the state and that nomination has been certified by the Secretary of the U.S. Treasury via his delegation authority to the Internal Revenue Service.²⁴

Protective Factors: Are conditions, environments, social networks or attributes of individuals, families, communities, or the larger society that, when present, promote well-being and reduce the risks for negative outcomes.²⁷

Risk Factors: Risk factors refer to the stressful conditions, events, or circumstances (e.g., maternal depression, substance abuse, family violence, persistent poverty) that increase a family's chances for poor outcomes, including child abuse and neglect.²⁸

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