



Billing Code: 4165-16

## DEPARTMENT OF HEALTH AND HUMAN SERVICES

### Indian Health Service

#### Preventing Alcohol-Related Deaths (PARD) through Social Detoxification

*Announcement Type:* New

*Funding Announcement Number:* HHS-2017-IHS-PARD-0001

*Catalog of Federal Domestic Assistance Number:* 93.933

#### **Key Dates**

Application Deadline Date: September 16, 2017

Review Date: September 18, 2017

Earliest Anticipated Start Date: September 30, 2017

Signed Tribal Resolutions Due Date: September 16, 2017

Proof of Non-Profit Status Due Date: September 16, 2017

#### **I. Funding Opportunity Description**

##### **Statutory Authority**

The Indian Health Service (IHS) Office of Clinical and Preventive Services' Division of Behavioral Health is accepting applications for cooperative agreements for Preventing Alcohol-Related Deaths (PARD) through Social Detoxification. This program is authorized under: Snyder Act, 25 U.S.C. 13; Consolidated Appropriations Act of 2017,

Pub. L. No. 115-31, 131 Stat. 135 (2017); and 25 U.S.C. 1665a. This program is described in the Catalog of Federal Domestic Assistance (CFDA) under 93.933.

## **Background**

Alcohol-related deaths are 520 percent greater among the American Indian and Alaska Native (AI/AN) population than the general United States population (IHS Trends in Indian Health, 2014). Providing social detoxification services is often a first step toward recovery for individuals with an alcohol use disorder to minimize physical harm, including death. Detoxification alone is not sufficient treatment for alcohol use disorder but is part of the continuum of care that fosters an individual's entry into treatment and rehabilitation. Alcohol use disorders are brain disorders and not evidence of moral weakness. All individuals with alcohol use disorders should be treated with respect and dignity at all times, in a nonjudgmental and supportive manner. Services should be completed in partnership with the individual and his or her social support network with due consideration for individual background, culture, preferences, gender identity, vulnerabilities, and strengths.

## **Purpose**

The purpose of this IHS cooperative agreement is to increase access to community-based prevention strategies to provide social detoxification, evaluation, stabilization, fostering patient readiness for and entry into treatment for alcohol use disorders and when appropriate, other substance use disorders. Applicants must have a fully operational and

staffed social detoxification program that provides all three critical components of the detoxification process that primarily serves Indians.

IHS will use this funding to focus on the provision of services in the Navajo and Great Plains Areas. Congress has highlighted that the community of Gallup, New Mexico, continues to face urgent needs for substance abuse treatment, residential services, and detoxification services to address an ongoing crisis of alcohol-related deaths of Tribal members. Senate Appropriations Committee Report 114-281 expressed the Committee's expectation that IHS use funds provided in its appropriation to continue its assistance toward addressing this issue in the city of Gallup, New Mexico. Additionally, IHS is aware of the urgent need for alcohol detoxification services in the Great Plains Area after the removal of liquor licenses in White Clay, Nebraska, leading to the potential for increased mortality if services are unavailable for alcohol detoxification and subsequent treatment services.

## **II. Award Information**

**Type of Award:** Cooperative Agreement

### **Estimated Funds Available**

The total amount of funding identified for the current fiscal year (FY) 2017 is approximately \$2,000,000. Individual award amounts are anticipated to be between \$500,000 and \$1,500,000. The amount of funding available for competing and

continuation awards issued under this announcement are subject to the availability of appropriations and budgetary priorities of the Agency. The IHS is under no obligation to make awards that are selected for funding under this announcement.

### **Anticipated Number of Awards**

Approximately two awards will be issued under this program announcement.

### **Project Period**

The project period is for five years and will run consecutively from September 30, 2017, to September 29, 2022.

### **Cooperative Agreement**

Cooperative agreements awarded by the Department of Health and Human Services (HHS) are administered under the same policies as a grant. However, the funding agency (IHS) is required to have substantial programmatic involvement in the project during the entire award segment. Below is a detailed description of the level of involvement required for both IHS and the grantee. IHS will be responsible for activities listed under section A and the grantee will be responsible for activities listed under section B as stated:

### **Substantial Involvement Description for Cooperative Agreement**

#### **A. IHS Programmatic Involvement**

- 1) Participate in community-level meetings with key stakeholders that address a strategy to combat the issue of alcohol use disorders and subsequent alcohol-related deaths.
- 2) Provide quarterly site visits for technical assistance on increasing the clinical capacity of services offered between the grantee and IHS programs, where available.
- 3) Provide subject matter expertise on policies, procedures, guidelines, and other services provided by the grantee.
- 4) Provide medical services as appropriate for individuals requiring a higher level of care, or medical clearance.

**B. Grantee Cooperative Agreement Award Activities**

- 1) Provide quarterly reports to the IHS program officer on the number of individuals served, number of individuals referred to treatment services, number of individuals who access services more than once, number of individuals who access safe housing options.
- 2) Provide semi-annual reports on successes and challenges, in addition to the data included in quarterly reports.
- 3) Host quarterly site visits for IHS officials to discuss progress, partnerships, and clinical capacity, challenges, and opportunities for improvement.
- 4) Provide hot meals, showers, hygiene kits, and other activities of daily living that are necessary for individuals in detoxification and treatment services.
- 5) Ensure coordination with cultural services and traditional healers to provide

services while individuals are participating in services.

- 6) Provide transportation to and from medical appointments or for medical clearance and ensure that medication management is offered while individuals are participating in services.
- 7) Must use 100 percent of IHS grant funds for services provided to Indians.

### **III. Eligibility Information**

#### **I.**

##### **1. Eligibility**

To be eligible for this “New Opportunity” under this announcement, an applicant must be a public or private institution operated by a state, local, Tribal, or private entity that operates direct, on-site alcohol and/or substance use disorder treatment services, including social alcohol detoxification services, to Indians. For purposes of this announcement, “institution” means an entity that provides services on an inpatient services. Eligible applicants must be able to start services on the first day of the award. Eligible applicants must serve Indians that make up at least 85 percent of the institution’s average daily census.

Note: Please refer to Section IV.2 (Application and Submission Information/Subsection 2, Content and Form of Application Submission) for additional proof of applicant status documents required, such as Tribal resolutions, proof of non-profit status, etc.

## **2. Cost Sharing or Matching**

The IHS does not require matching funds or cost sharing for grants or cooperative agreements.

## **3. Other Requirements**

If application budgets exceed the highest dollar amount outlined under the “**Estimated Funds Available**” section within this funding announcement, the application will be considered ineligible and will not be reviewed for further consideration. If deemed ineligible, IHS will not return the application. The applicant will be notified by e-mail by the Division of Grants Management (DGM) of this decision.

### **Tribal Resolution**

An Indian Tribe or Tribal organization that is proposing a project affecting another Indian Tribe must include Tribal resolutions from all affected Tribes to be served. Applications by Tribal organizations will not require a specific Tribal resolution if the current Tribal resolution(s) under which they operate would encompass the proposed grant activities.

An official signed Tribal resolution must be received by the DGM prior to a Notice of Award (NoA) being issued to any applicant selected for funding.

However, if an official signed Tribal resolution cannot be submitted with the electronic application submission prior to the official application deadline date, a draft Tribal resolution must be submitted by the deadline in order for the application to be considered complete and eligible for review. The draft Tribal resolution is not in lieu of the required signed resolution, but is acceptable until a signed resolution is received. If an official signed Tribal resolution is not received by DGM when funding decisions are made, then a NoA will not be issued to that applicant and they will not receive any IHS funds until such time as they have submitted a signed resolution to the Grants Management Specialist listed in this Funding Announcement.

**Proof of Non-Profit Status**

Organizations claiming non-profit status must submit proof. A copy of the 501(c)(3) Certificate must be received with the application submission by the Application Deadline Date listed under the Key Dates section on page one of this announcement.

An applicant submitting any of the above additional documentation after the initial application submission due date is required to ensure the information was received by the IHS DGM by obtaining documentation confirming delivery (i.e. FedEx tracking, postal return receipt, etc.).

## **IV. Application and Submission Information**

### **1. Obtaining Application Materials**

The application package and detailed instructions for this announcement can be found at <http://www.Grants.gov> or <http://www.ihs.gov/dgm/funding/>.

Questions regarding the electronic application process may be directed to Mr. Paul Gettys at (301) 443-2114 or (301) 443-5204.

### **2. Content and Form Application Submission**

The applicant must include the project narrative as an attachment to the application package. Mandatory documents for all applicants include:

- Table of contents.
- Abstract (one page) summarizing the project.
- Application forms:
  - SF-424, Application for Federal Assistance.
  - SF-424A, Budget Information – Non-Construction Programs.
  - SF-424B, Assurances – Non-Construction Programs.
- Budget Justification and Narrative (must be single-spaced and not exceed four pages).
- Project Narrative (must be single-spaced and not exceed 10 pages).
  - Background information on the organization.
  - Proposed scope of work, objectives, and activities that provide a

description of what will be accomplished, including a one-page  
Timeframe Chart.

- Letters of Support from organization's Board of Directors.
- Tribal Resolution(s)
- 501(c)(3) Certificate (if applicable).
- Biographical sketches for all Key Personnel.
- Contractor/Consultant resumes or qualifications and scope of work.
- Disclosure of Lobbying Activities (SF-LLL).
- Certification Regarding Lobbying (GG-Lobbying Form).
- Copy of current Negotiated Indirect Cost rate (IDC) agreement (required in order to receive IDC).
- Organizational Chart (optional).
- Documentation of current Office of Management and Budget (OMB) Financial Audit (if applicable).

Acceptable forms of documentation include:

- E-mail confirmation from Federal Audit Clearinghouse (FAC) that audits were submitted; or
- Face sheets from audit reports. These can be found on the FAC website: <https://harvester.census.gov/facdissem/Main.aspx>

**Public Policy Requirements:**

All Federal-wide public policies apply to IHS grants and cooperative agreements

with exception of the Discrimination policy.

### **Requirements for Project and Budget Narratives**

**A. Project Narrative:** This narrative should be a separate Word document that is no longer than 10 pages and must: be single-spaced, type written, have consecutively numbered pages, use black type not smaller than 12 points, and be printed on one side only of standard size 8-1/2" x 11" paper.

Be sure to succinctly answer all questions listed under the evaluation criteria (refer to Section V.1, Evaluation criteria in this announcement) and place all responses and required information in the correct section (noted below), or they will not be considered or scored. These narratives will assist the Objective Review Committee (ORC) in becoming familiar with the applicant's activities and accomplishments prior to this possible cooperative agreement award. If the narrative exceeds the page limit, only the first 10 pages will be reviewed. The 10-page limit for the narrative does not include the work plan, standard forms, Tribal resolutions, table of contents, budget, budget justifications, narratives, and/or other appendix items.

There are three parts to the narrative: Part A – Program Information; Part B – Program Planning and Evaluation; and Part C – Program Report. See below for additional details about what must be included in the narrative.

The page limitations below are for each narrative and budget submitted.

**Part A: Program Information** (2 pages)

Section 1: Needs

Describe the current issue of alcohol use disorders, alcohol-related deaths, and rates of alcohol-related liver cirrhosis, as well as other social and health issues impacted by alcohol-related deaths. Describe the program's current social detoxification program, who operates it, number of employees, how long it has been operating, what programs or services are currently being provided. Describe why the program is seeking additional funding and how it will be utilized to enhance current services. Provide a statement of fact on the clientele served, average daily census, and ratio of individuals served who are enrolled members of federally recognized Tribes to those who are not.

**Part B: Program Planning and Evaluation** (6 pages)

Section 1: Program Plans

Describe fully and clearly the direction the applicant plans to take to provide social detoxification, including three critical components of evaluation, stabilization, and fostering patient readiness for and entry into treatment. Describe how the applicant will provide safe housing and custodial care in a safe environment by employees who have successfully

passed background checks who have been trained in social detoxification and who are familiar with the features of substance use withdrawal, have training in basic life support, and have access to emergency medical systems. Describe how the applicant will provide appropriate monitoring and security to prevent self-harm of served individuals and harm to others. Describe how the applicant has the ability to provide transportation to and from emergency departments, as needed.

Describe fully and clearly the types of community partnerships and referral providers to provide health and behavioral health treatment services, among others. Include information how the applicant will implement a communication and support strategy that includes with family members of individuals served (with their consent). Describe the applicant's ability to provide daily activities of living, such as exercise, showers, and hot meals, personal hygiene, blankets, appropriate clothing. Include information on how the applicant will provide culturally appropriate interventions and activities. Provide details on nurse support for medical issues and medication management and referral to a higher level of care, when needed; medication management, assessments, and screening of clients; and case management services.

## Section 2: Program Evaluation

Describe how the program intends to evaluate its activities to include successes, challenges, outputs, and outcomes.

**Part C: Program Report** (2 pages)

Section 1: Describe your organization's capacity to provide the activities that align with the purpose of this funding opportunity. Please identify current staffing and key personnel who will be responsible for the management of the cooperative agreement. Describe significant program activities and accomplishments over the past five years associated with the goals of this announcement.

**B. Budget Narrative** (4 pages)

This narrative must include a line item budget with a narrative justification for all expenditures identifying reasonable allowable, allocable costs necessary to accomplish the goals and objectives as outlined in the project narrative. Budget should match the scope of work described in the project narrative.

**3. Submission Dates and Times**

Applications must be submitted electronically through Grants.gov by 11:59 p.m. Eastern Daylight Time (EDT) on the Application Deadline Date listed in the Key Dates section on page one of this announcement. Any application received after the application deadline will not be accepted for processing, nor will it be given

further consideration for funding. Grants.gov will notify the applicant via e-mail if the application is rejected.

If technical challenges arise and assistance is required with the electronic application process, contact Grants.gov Customer Support via e-mail to support@grants.gov or at (800) 518-4726. Customer Support is available to address questions 24 hours a day, 7 days a week (except on Federal holidays). If problems persist, contact Mr. Gettys (Paul.Gettys@ihs.gov), DGM Grant Systems Coordinator, by telephone at (301) 443-2114 or (301) 443-5204. Please be sure to contact Mr. Gettys at least ten days prior to the application deadline. Please do not contact the DGM until you have received a Grants.gov tracking number. In the event you are not able to obtain a tracking number, call the DGM as soon as possible.

#### **4. Intergovernmental Review**

Executive Order 12372 requiring intergovernmental review is not applicable to this program.

#### **5. Funding Restrictions**

- Pre-award costs are not allowable.
- The available funds are inclusive of direct and appropriate indirect costs.
- Only one grant/cooperative agreement will be awarded per applicant.

- IHS will not acknowledge receipt of applications.

## **6. Electronic Submission Requirements**

All applications must be submitted electronically. Please use the <http://www.Grants.gov> website to submit an application electronically and select the “Find Grant Opportunities” link on the homepage. Follow the instructions for submitting an application under the Package tab. Electronic copies of the application may not be submitted as attachments to e-mail messages addressed to IHS employees or offices.

If the applicant needs to submit a paper application instead of submitting electronically through Grants.gov, a waiver must be requested. Prior approval must be requested and obtained from Mr. Robert Tarwater, Director, DGM, (see Section IV.6 below for additional information). A written waiver request must be sent to [GrantsPolicy@ihs.gov](mailto:GrantsPolicy@ihs.gov) with a copy to [Robert.Tarwater@ihs.gov](mailto:Robert.Tarwater@ihs.gov). The waiver must: 1) be documented in writing (e-mails are acceptable), **before** submitting a paper application, and 2) include clear justification for the need to deviate from the required electronic grants submission process.

Once the waiver request has been approved, the applicant will receive a confirmation of approval e-mail containing submission instructions and the mailing address to submit the application. A copy of the written approval must be

submitted along with the hardcopy of the application that is mailed to DGM. Paper applications that are submitted without a copy of the signed waiver from the Director of the DGM will not be reviewed or considered for funding. The applicant will be notified via e-mail of this decision by the Grants Management Officer of the DGM. Paper applications must be received by the DGM no later than 5:00 p.m., EDT, on the Application Deadline Date listed in the Key Dates section on page one of this announcement. Late applications will not be accepted for processing or considered for funding. Applicants that do not adhere to the timelines for System for Award Management (SAM) and/or <http://www.Grants.gov> registration or that fail to request timely assistance with technical issues will not be considered for a waiver to submit a paper application.

Please be aware of the following:

- Please search for the application package in <http://www.Grants.gov> by entering the CFDA number or the Funding Opportunity Number. Both numbers are located in the header of this announcement.
- If you experience technical challenges while submitting your application electronically, please contact Grants.gov Support directly at: [support@grants.gov](mailto:support@grants.gov) or (800) 518-4726. Customer Support is available to address questions 24 hours a day, 7 days a week (except on Federal holidays).
- Upon contacting Grants.gov, obtain a tracking number as proof of contact.

The tracking number is helpful if there are technical issues that cannot be resolved and a waiver from the agency must be obtained.

- Applicants are strongly encouraged not to wait until the deadline date to begin the application process through Grants.gov as the registration process for SAM and Grants.gov could take up to fifteen working days.
- Please use the optional attachment feature in Grants.gov to attach additional documentation that may be requested by the DGM.
- All applicants must comply with any page limitation requirements described in this funding announcement.
- After electronically submitting the application, the applicant will receive an automatic acknowledgment from Grants.gov that contains a Grants.gov tracking number. The DGM will download the application from Grants.gov and provide necessary copies to the appropriate agency officials. Neither the DGM nor the Division of Behavioral Health will notify the applicant that the application has been received.
- E-mail applications will not be accepted under this announcement.

**Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS)**

All IHS applicants and grantee organizations are required to obtain a DUNS number and maintain an active registration in the SAM database. The DUNS number is a unique 9-digit identification number provided by D&B which uniquely identifies each entity. The DUNS number is site specific; therefore,

each distinct performance site may be assigned a DUNS number. Obtaining a DUNS number is easy, and there is no charge. To obtain a DUNS number, you may access it through <http://fedgov.dnb.com/webform>, or to expedite the process, call (866) 705-5711.

All HHS recipients are required by the Federal Funding Accountability and Transparency Act of 2006, as amended (“Transparency Act”), to report information on sub-awards. Accordingly, all IHS grantees must notify potential first-tier sub-recipients that no entity may receive a first-tier sub-award unless the entity has provided its DUNS number to the prime grantee organization. This requirement ensures the use of a universal identifier to enhance the quality of information available to the public pursuant to the Transparency Act.

### **System for Award Management (SAM)**

Organizations that were not registered with Central Contractor Registration and have not registered with SAM will need to obtain a DUNS number first and then access the SAM online registration through the SAM home page at <https://www.sam.gov> (U.S. organizations will also need to provide an Employer Identification Number from the Internal Revenue Service that may take an additional 2-5 weeks to become active). Completing and submitting the registration takes approximately one hour to complete and SAM registration will

take 3-5 business days to process. Registration with the SAM is free of charge. Applicants may register online at <https://www.sam.gov>.

Additional information on implementing the Transparency Act, including the specific requirements for DUNS and SAM, can be found on the IHS Grants Management, Grants Policy website: <http://www.ihs.gov/dgm/policytopics/>.

## **V. Application Review Information**

The instructions for preparing the application narrative also constitute the evaluation criteria for reviewing and scoring the application. Weights assigned to each section are noted in parentheses. The 10 page narrative should include only the first year of activities; information for multi-year projects should be included as an appendix. See “Multi-year Project Requirements” at the end of this section for more information. The narrative section should be written in a manner that is clear to outside reviewers unfamiliar with prior related activities of the applicant. It should be well organized, succinct, and contain all information necessary for reviewers to understand the project fully. Points will be assigned to each evaluation criteria adding up to a total of 100 points. A minimum score of 70 points is required for funding. Points are assigned as follows:

### **1. Criteria**

#### **A. Need for Assistance (30 points)**

- The degree to which the applicant describes the issue of alcohol use disorders, alcohol-related deaths, and other social and health issues attributed to alcohol in the community they serve.
- The degree to which the applicant demonstrates the need for funding and how the funding will complement, increase, and/or expand the services currently provided.
- This section must include the applicant's service population, average daily census, and statement of fact that more than 85 percent of the clientele they serve are members of federally recognized Tribes. Without this information, applicants will receive a score of 0 for this section.

**B. Work Plan, Approach, and Program Approach (40 points)**

- The degree to which the applicant plans to provide social detoxification, safe housing, and outpatient treatment, including custodial care in a safe environment.
- How well the applicant describes the process of ensuring employees have passed background checks and are training in appropriate substance use disorder intervention and treatment.
- How well the applicant describes its community partnerships and referral network for health and behavioral health treatment services.
- How well the applicant describes appropriate monitoring of

individuals accessing services and provides security services to ensure safety and prevention of self-harm and harm to others.

- How well the applicant describes its communication strategy with family members.
- How well the applicant describes its community partnerships and referral network for treatment services, including when medical detoxification is required.
- How well the applicant describes its ability to provide activities of daily living, exercise, showers, hot meals, cultural activities, blankets, and appropriate clothing.
- How well the applicant describes its ability to provide nurse support for medical issues and medication management, assessments, screening, and case management.

**C. Program Evaluation (10 points)**

- How well the applicant provides a plan to evaluate its own impact, including successes and challenges, as well as a plan for the type of data that will be collected and submitted on a quarterly basis that demonstrate the program's outputs and annual basis that demonstrate the program's annual outcomes.

**D. Organizational Capabilities, Key Personnel and Qualifications (10 points)**

- How well the applicant describes the capacity to provide services

on day 1 of the award.

- How well the applicant describes the operations and management of the services currently being provided.
- The degree to which the applicant describes its staffing level, experience and education of staff, and key personnel who will manage the project.

**E. Categorical Budget and Budget Justification** (10 points)

- How clear the applicant demonstrates each budget item aligns with its proposed work plan and program approach.
- The degree to which the applicant budgets for evaluation activities.

**Multi-Year Project Requirements**

Projects requiring a second, third, fourth, and/or fifth year must include a brief project narrative and budget (one additional page per year) addressing the developmental plans for each additional year of the project.

**Additional documents can be uploaded as Appendix Items in Grants.gov:**

- Work plan, logic model and/or time line for proposed objectives.
- Position descriptions for key staff.
- Resumes of key staff that reflect current duties.

- Consultant or contractor proposed scope of work and letter of commitment (if applicable).
- Current Indirect Cost Agreement.
- Organizational chart.
- Map of area identifying project location(s).
- Additional documents to support narrative (i.e. data tables, key news articles, etc.).

## **2. Review and Selection**

Each application will be prescreened by the DGM staff for eligibility and completeness as outlined in the funding announcement. Applications that meet the eligibility criteria shall be reviewed for merit by the ORC based on evaluation criteria in this funding announcement. The ORC could be composed of both Tribal and Federal reviewers appointed by the IHS Program to review and make recommendations on these applications. The technical review process ensures selection of quality projects in a national competition for limited funding.

Incomplete applications and applications that are non-responsive to the eligibility criteria will not be referred to the ORC. The applicant will be notified via e-mail of this decision by the Grants Management Officer of the DGM. Applicants will be notified by DGM, via e-mail, to outline minor missing components (i.e.,

budget narratives, audit documentation, key contact form) needed for an otherwise complete application. All missing documents must be sent to DGM on or before the due date listed in the e-mail of notification of missing documents required.

To obtain a minimum score for funding by the ORC, applicants must address all program requirements and provide all required documentation.

## **VI. Award Administration Information**

### **1. Award Notices**

The Notice of Award (NoA) is a legally binding document signed by the Grants Management Officer and serves as the official notification of the grant award.

The NoA will be initiated by the DGM in our grant system, GrantSolutions (<https://www.grantsolutions.gov>). Each entity that is approved for funding under this announcement will need to request or have a user account in GrantSolutions in order to retrieve their NoA. The NoA is the authorizing document for which funds are dispersed to the approved entities and reflects the amount of Federal funds awarded, the purpose of the grant, the terms and conditions of the award, the effective date of the award, and the budget/project period.

### **Disapproved Applicants**

Applicants who received a score less than the recommended funding level for

approval, 70 and were deemed to be disapproved by the ORC, will receive an Executive Summary Statement from the IHS program office within 30 days of the conclusion of the ORC outlining the strengths and weaknesses of their application. The summary statement will be sent to the Authorized Organizational Representative that is identified on the face page (SF-424) of the application. The IHS program office will also provide additional contact information as needed to address questions and concerns as well as provide technical assistance if desired.

#### **Approved But Unfunded Applicants**

Approved but unfunded applicants that met the minimum scoring range and were deemed by the ORC to be “Approved,” but were not funded due to lack of funding, will have their applications held by DGM for a period of one year. If additional funding becomes available during the course of FY 2017 the approved but unfunded application may be re-considered by the awarding program office for possible funding. The applicant will also receive an Executive Summary Statement from the IHS program office within 30 days of the conclusion of the ORC.

Note: Any correspondence other than the official NoA signed by an IHS grants management official announcing to the project director that an award has been made to their organization is not an authorization to implement their program on

behalf of IHS.

## **2. Administrative Requirements**

Cooperative agreements are administered in accordance with the following regulations and policies:

- A.** The criteria as outlined in this program announcement.
- B.** Administrative Regulations for Grants:
  - Uniform Administrative Requirements for HHS Awards, located at 45 CFR part 75.
- C.** Grants Policy:
  - HHS Grants Policy Statement, Revised 01/07.
- D.** Cost Principles:
  - Uniform Administrative Requirements for HHS Awards, “Cost Principles,” located at 45 CFR part 75, subpart E.
- E.** Audit Requirements:
  - Uniform Administrative Requirements for HHS Awards, “Audit Requirements,” located at 45 CFR part 75, subpart F.

## **3. Indirect Costs**

This section applies to all grant recipients that request reimbursement of indirect costs (IDC) in their grant application. In accordance with HHS Grants Policy Statement, Part II-27, IHS requires applicants to obtain a current IDC rate

agreement prior to award. The rate agreement must be prepared in accordance with the applicable cost principles and guidance as provided by the cognizant agency or office. A current rate covers the applicable grant activities under the current award's budget period. If the current rate is not on file with the DGM at the time of award, the IDC portion of the budget will be restricted. The restrictions remain in place until the current rate is provided to the DGM.

Generally, IDC rates for IHS grantees are negotiated with the Division of Cost Allocation (DCA) <https://rates.psc.gov/> and the Department of Interior (Interior Business Center) <https://www.doi.gov/ibc/services/finance/indirect-Cost-Services/indian-tribes>. For questions regarding the indirect cost policy, please call the Grants Management Specialist listed under "Agency Contacts" or the main DGM office at (301) 443-5204.

#### **4. Reporting Requirements**

The grantee must submit required reports consistent with the applicable deadlines. Failure to submit required reports within the time allowed may result in suspension or termination of an active grant, withholding of additional awards for the project, or other enforcement actions such as withholding of payments or converting to the reimbursement method of payment. Continued failure to submit required reports may result in one or both of the following: 1) the imposition of special award provisions; and 2) the non-funding or non-award of other eligible

projects or activities. This requirement applies whether the delinquency is attributable to the failure of the grantee organization or the individual responsible for preparation of the reports. Per DGM policy, all reports are required to be submitted electronically by attaching them as a “Grant Note” in GrantSolutions. Personnel responsible for submitting reports will be required to obtain a login and password for GrantSolutions. Please see the Agency Contacts list in section VII for the systems contact information.

The reporting requirements for this program are noted below.

**A. Progress Reports**

Program progress reports are required semi-annually, within 30 days after the budget period ends. These reports must include a brief comparison of actual accomplishments to the goals established for the period, a summary of progress to date or, if applicable, provide sound justification for the lack of progress, and other pertinent information as required. A final report must be submitted within 90 days of expiration of the budget/project period.

**B. Financial Reports**

Federal Financial Report (FFR or SF-425), Cash Transaction Reports are due 30 days after the close of every calendar quarter to the Payment Management Services, HHS at <https://pms.psc.gov>. It is recommended that the applicant

also send a copy of the FFR (SF-425) report to the Grants Management Specialist. Failure to submit timely reports may cause a disruption in timely payments to the organization.

Grantees are responsible and accountable for accurate information being reported on all required reports: the Progress Reports and Federal Financial Report.

### **C. Federal Sub-award Reporting System (FSRS)**

This award may be subject to the Transparency Act sub-award and executive compensation reporting requirements of 2 CFR part 170.

The Transparency Act requires the OMB to establish a single searchable database, accessible to the public, with information on financial assistance awards made by Federal agencies. The Transparency Act also includes a requirement for recipients of Federal grants to report information about first-tier sub-awards and executive compensation under Federal assistance awards.

IHS has implemented a Term of Award into all IHS Standard Terms and Conditions, NoAs and funding announcements regarding the FSRS reporting requirement. This IHS Term of Award is applicable to all IHS grant and

cooperative agreements issued on or after October 1, 2010, with a \$25,000 sub-award obligation dollar threshold met for any specific reporting period. Additionally, all new (discretionary) IHS awards (where the project period is made up of more than one budget period) and where: 1) the project period start date was October 1, 2010 or after and 2) the primary awardee will have a \$25,000 sub-award obligation dollar threshold during any specific reporting period will be required to address the FSRS reporting.

For the full IHS award term implementing this requirement and additional award applicability information, visit the DGM Grants Policy Website at: <http://www.ihs.gov/dgm/policytopics/>.

**D. Compliance with Executive Order 13166 Implementation of Services**

**Accessibility Provisions for All Grant Application Packages and Funding**

**Opportunity Announcements**

Recipients of federal financial assistance (FFA) from HHS must administer their programs in compliance with federal civil rights law. This means that recipients of HHS funds must ensure equal access to their programs without regard to a person's race, color, national origin, disability, age and, in some circumstances, sex and religion. This includes ensuring your programs are accessible to persons with limited English proficiency. HHS provides guidance to recipients of FFA on meeting their legal obligation to take

reasonable steps to provide meaningful access to their programs by persons with limited English proficiency. Please see <http://www.hhs.gov/civil-rights/for-individuals/special-topics/limited-english-proficiency/guidance-federal-financial-assistance-recipients-title-VI/>.

The HHS Office for Civil Rights (OCR) also provides guidance on complying with civil rights laws enforced by HHS. Please see <http://www.hhs.gov/civil-rights/for-individuals/section-1557/index.html>; and <http://www.hhs.gov/civil-rights/index.html>. Recipients of FFA also have specific legal obligations for serving qualified individuals with disabilities. Please see <http://www.hhs.gov/civil-rights/for-individuals/disability/index.html>. Please contact the HHS OCR for more information about obligations and prohibitions under federal civil rights laws at <https://www.hhs.gov/ocr/about-us/index.html> or call 1-800-368-1019 or TDD 1-800-537-7697. Also note it is an HHS Departmental goal to ensure access to quality, culturally competent care, including long-term services and supports, for vulnerable populations. For further guidance on providing culturally and linguistically appropriate services, recipients should review the National Standards for Culturally and Linguistically Appropriate Services in Health and Health Care at <http://minorityhealth.hhs.gov/omh/browse.aspx?lvl=2&lvlid=53>.

Pursuant to 45 CFR 80.3(d), an individual shall not be deemed subjected to discrimination by reason of his/her exclusion from benefits limited by federal law to individuals eligible for benefits and services from the IHS.

Recipients will be required to sign the HHS-690 Assurance of Compliance form which can be obtained from the following website:

<http://www.hhs.gov/sites/default/files/forms/hhs-690.pdf>, and send it directly to the:

U.S. Department of Health and Human Services

Office of Civil Rights

200 Independence Ave., S.W.

Washington, DC 20201

**F. Federal Awardee Performance and Integrity Information System (FAPIIS)**

The IHS is required to review and consider any information about the applicant that is in the Federal Awardee Performance and Integrity Information System (FAPIIS) before making any award in excess of the simplified acquisition threshold (currently \$150,000) over the period of performance. An applicant may review and comment on any information about itself that a federal awarding agency previously entered. IHS will consider any comments by the applicant, in addition to other information in

FAPIIS in making a judgment about the applicant's integrity, business ethics, and record of performance under federal awards when completing the review of risk posed by applicants as described in 45 CFR 75.205.

As required by 45 CFR part 75 Appendix XII of the Uniform Guidance, non-federal entities (NFEs) are required to disclose in FAPIIS any information about criminal, civil, and administrative proceedings, and/or affirm that there is no new information to provide. This applies to NFEs that receive federal awards (currently active grants, cooperative agreements, and procurement contracts) greater than \$10,000,000 for any period of time during the period of performance of an award/project.

#### **Mandatory Disclosure Requirements**

As required by 2 CFR part 200 of the Uniform Guidance, and the HHS implementing regulations at 45 CFR part 75, effective January 1, 2016, the IHS must require a non-federal entity or an applicant for a federal award to disclose, in a timely manner, in writing to the IHS or pass-through entity all violations of federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the federal award.

**Submission is required for all applicants and recipients, in writing, to the IHS and to the HHS Office of Inspector General all information related**

**to violations of federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the federal award. 45 CFR 75.113.**

Disclosures must be sent in writing to:

U.S. Department of Health and Human Services

Indian Health Service

Division of Grants Management

ATTN: Robert Tarwater, Director

5600 Fishers Lane, Mail Stop: 09E70

Rockville, MD 20857

(Include "Mandatory Grant Disclosures" in subject line)

Office: (301) 443-5204

Fax: (301) 594-0899

E-mail: Robert.Tarwater@ihs.gov

**AND**

U.S. Department of Health and Human Services

Office of Inspector General

ATTN: Mandatory Grant Disclosures, Intake Coordinator

330 Independence Avenue, SW, Cohen Building

Room 5527

Washington, DC 20201

URL: <http://oig.hhs.gov/fraud/report-fraud/index.asp>

(Include “Mandatory Grant Disclosures” in subject line)

Fax: (202) 205-0604 (Include “Mandatory Grant Disclosures” in subject line) or

Email: [MandatoryGranteeDisclosures@oig.hhs.gov](mailto:MandatoryGranteeDisclosures@oig.hhs.gov)

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

## **VII. Agency Contacts**

1. Questions on the programmatic issues may be directed to:

Dr. Beverly Cotton, Director

Division of Behavioral Health

5600 Fishers Lane

MAIL STOP: 08N34A

Rockville, MD 20857

Phone: (301)-443-4754

E-mail: [beverly.cotton@ihs.gov](mailto:beverly.cotton@ihs.gov)

2. Questions on grants management and fiscal matters may be directed to:

Willis Grant, Senior Grants Management Specialist

5600 Fishers Lane, Mail Stop: 09E70

Rockville, MD 20857

Phone: (301) 443-2214

Fax: (301)-594-0899

E-mail: [Willis.Grant@ihs.gov](mailto:Willis.Grant@ihs.gov)

3. Questions on systems matters may be directed to:

Paul Gettys, Grant Systems Coordinator

5600 Fishers Lane, Mail Stop: 09E70

Rockville, MD 20857

Phone: (301) 443-2114; or the DGM main line (301)-443-5204

Fax: (301) 594-0899

E-Mail: [Paul.Gettys@ihs.gov](mailto:Paul.Gettys@ihs.gov)

## **VIII. Other Information**

The Public Health Service strongly encourages all cooperative agreement and contract recipients to provide a smoke-free workplace and promote the non-use of all tobacco products. In addition, Pub. L. 103-227, the Pro-Children Act of 1994,

prohibits smoking in certain facilities (or in some cases, any portion of the facility) in which regular or routine education, library, day care, health care, or early childhood development services are provided to children. This is consistent with the HHS mission to protect and advance the physical and mental health of the American people.

Dated: August 8, 2017.

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RADM Michael D. Weahkee,  
Assistant Surgeon General, U.S. Public Health Service  
Acting Director, Indian Health Service

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