

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

**Statewide Consumer Network Grant**

(Initial Announcement)

Request for Applications (RFA) No. SM-12-002

Catalogue of Federal Domestic Assistance (CFDA) No.: 93.243

**Key Dates:**

<b>Application Deadline</b>	<b>Applications are due by May 18, 2012.</b>
<b>Intergovernmental Review (E.O. 12372)</b>	<b>Applicants must comply with E.O. 12372 if their State(s) participates. Review process recommendations from the State Single Point of Contact (SPOC) are due no later than 60 days after application deadline.</b>
<b>Public Health System Impact Statement (PHSIS)/Single State Agency Coordination</b>	<b>Applicants must send the PHSIS to appropriate State and local health agencies by application deadline. Comments from Single State Agency are due no later than 60 days after application deadline.</b>

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## EXECUTIVE SUMMARY:

The Substance Abuse and Mental Health Services Administration, Center for Mental Health Services is accepting applications for fiscal year (FY) 2012 Statewide Consumer Network grants. The purpose of this program is to enhance statewide consumer-run organizations to promote service system capacity and infrastructure development that is recovery-focused and resiliency-oriented. For the purposes of this funding opportunity, this program seeks to address the needs of underserved and under-represented consumers, such as veterans; those with histories of trauma; those from ethnic, racial, or cultural minority groups; and those who have been involved in the criminal justice system.

<b>Funding Opportunity Title:</b>	Statewide Consumer Network
<b>Funding Opportunity Number:</b>	SM-12-002
<b>Due Date for Applications:</b>	May 18, 2012
<b>Anticipated Total Available Funding:</b>	\$770,000
<b>Estimated Number of Awards:</b>	11
<b>Estimated Award Amount:</b>	Up to \$70,000 per year
<b>Cost Sharing/Match Required</b>	no
<b>Length of Project Period:</b>	Up to 3 years
<b>Eligible Applicants:</b>	Domestic public and private nonprofit entities that meet the criteria for consumer-controlled organizations and that are not recipients of a SAMHSA Statewide Consumer Network grant in the 2010-2013 cohort.  [See <a href="#">Section III-1</a> of this RFA for complete eligibility information.]

# I. FUNDING OPPORTUNITY DESCRIPTION

## 1. PURPOSE

The Substance Abuse and Mental Health Services Administration, Center for Mental Health Services is accepting applications for fiscal year (FY) 2012 Statewide Consumer Network grants. The purpose of this program is to enhance statewide consumer-run organizations to promote service system capacity and infrastructure development that is recovery-focused and resiliency-oriented. For the purposes of this funding opportunity, this program seeks to address the needs of underserved and under-represented consumers, such as veterans; those with histories of trauma; those from ethnic, racial, or cultural minority groups; and those who have been involved in the criminal justice system.

The Statewide Consumer Network program also seeks to promote activities related to partnership development with peers in recovery from addictions; peer support, and service needs related to gender; training and skills development; trauma-informed peer support; legacy planning; wellness; and/or economic empowerment as part of the recovery process for consumers. Background Information for the Consumer Network Program is available in [Appendix J](#).

SAMHSA has demonstrated that behavioral health is essential to health, prevention works, treatment is effective, and people recover from mental and substance use disorders. Behavioral health services improve health status and reduce health care and other costs to society. Continued improvement in the delivery and financing of prevention, treatment and recovery support services provides a cost effective opportunity to advance and protect the Nation's health. To continue to improve the delivery and financing of prevention, treatment and recovery support services, SAMHSA has identified eight Strategic Initiatives to focus the Agency's work on improving lives and capitalizing on emerging opportunities. The Statewide Consumer program closely aligns with SAMHSA's Recovery Support Strategic Initiative. This initiative supports the goal of recovery through the support of following domains:

- **Health:** Overcoming or managing one's disease(s) as well as living in a physically and emotionally healthy way;
- **Home:** A stable and safe place to live that supports recovery;
- **Purpose:** Meaningful daily activities, such as a job, school, volunteerism, family caretaking, or creative endeavors, and the independence, income, and resources to participate in society; and
- **Community:** Relationships and social networks that provide support, friendship, love, and hope.

As part of the support for the Recovery Support Strategic Initiative, SAMHSA funded the Bringing Recovery Supports to Scale Technical Assistance Center Strategy (BRSS-TACS) to promote the widespread adoption of recovery concepts and practices

throughout the United States. The BRSS-TACS will help facilitate the dissemination of information among consumers, family and youth about health care reform initiated by the Patient Protection and Affordable Care Act (ACA) of 2010.

Statewide Consumer Network grants are authorized under 520A of the Public Health Service Act, as amended. This announcement addresses Healthy People 2020 Mental Health and Mental Disorders Topic Area HP 2020-MHMD.

## **2. EXPECTATIONS**

The goals of Statewide Consumer Network Grants are to: 1) establish sustainable mechanisms for integrating the consumer voice in State mental health systems and allied systems change and service delivery; 2) promote skill development with an emphasis on leadership and business management; 3) identify technical assistance needs of consumers and provide training and support to ensure that they are the catalysts for transforming the mental health and related systems in their State; and 4) develop coalitions and/or partnerships that support access to peer support and policy and program development in mental health systems of care. To achieve these goals, the program assists consumer organizations around the country to work with policymakers, recovery communities, and service providers to improve services for consumers diagnosed with a mental illness who often have histories of trauma and expand access to peer support. The program is designed to strengthen coalitions among consumers, peers, policymakers and service providers, recognizing that consumers are the best and most effective change agents.

SAMHSA encourages consumer-controlled organizations applying for this funding opportunity to collaborate with family-controlled organizations as appropriate in the development and implementation of this program.

SAMHSA strongly encourages all grantees to provide a smoke-free workplace and to promote abstinence from all tobacco products (except in regard to accepted tribal traditions and practices).

### **2.1 Required Activities**

In order to achieve the goals of the Statewide Consumer Network Program grant funds must be used primarily to support infrastructure development. You are especially encouraged to utilize training, network development, organizational and community readiness, and policy development to support best practices and achieve program goals. You must choose at least two activities from the following list that are suited to achieve your project's goals and objectives.

- Participate in systems improvement planning and program development for special populations, such as
  - veterans;
  - justice-involved consumers;
  - Lesbian, Gay, Bisexual,

- Transgender, Questioning, Intersexed, and 2-Spirited (LGBTQI2S) individuals;
  - older adults;
  - youth in transition/young adults; and
  - communities of color.
- Develop cultural competence standards and improvements (e.g., responsiveness to diverse needs of racial and ethnic minorities; outreach to rural and frontier communities, and older adult populations).
  - Serve as catalysts for organizational/structural change to create a locus of responsibility for a specific issue/population, such as
    - trauma-informed peer support and increased sensitivity to trauma issues,
    - services and peer supports responsive to needs based on gender
    - veterans and military families,
    - wellness and whole health, or
    - increased access to or efficiency of services and recovery supports.
  - Partner with state and community agencies in policy development to support needed service system improvements (e.g., trauma-informed systems change; cross-collaboration with addiction recovery communities, State, regional, and community planning boards and councils, cultural competence strategic plans).
  - Develop public/private partnerships and coalitions to support sustainability, (i.e., cross-disability organizations, local chambers of commerce, provider and peer organizations, relevant state agencies, regional and community initiatives, and other systems promoting behavioral health transformation).
  - Facilitate education/training efforts regarding mental health and addictions parity; to increase awareness/understanding of the legislation.
  - Engage in planning and implementation of state health reform activities; such as, outreach and enrollment activities.
  - Engage in legacy planning with young adults and youth-guided organizations to promote leadership development and cross mentoring for systems change.
  - Promote and facilitate strategic planning to support the economic development of consumer-run businesses and other employment-related activities.
  - Partner with state and local organizations in workforce development activities (e.g., training, cross-training, developing culturally and linguistically competent peers, providers and administrators, mentoring; support for licensure, credentialing, or accreditation).

## **2.2 Data Collection and Performance Measurement**

All SAMHSA grantees are required to collect and report certain data so that SAMHSA can meet its obligations under the Government Performance and Results Modernization Act of 2010 (GPRM). You must document your ability to collect and report the required data in “[Section D: Performance Assessment and Data](#)” of your application. Grantees will be required to report performance on performance measures connected to the activities proposed by the applicant under Section 2.1. The final measures to be

collected will be negotiated between the grantee and the project officer and will be selected from the following list:

- The number of organizations or communities implementing mental health-related training programs as a result of the grant.
- The number of people in the mental health and related workforce trained in specific mental health-related practices/activities as a result of the grant.
- The number of consumers newly credentialed/certified to provide mental health-related practices/activities that are consistent with the goals of the grant.
- The number of organizations collaborating/coordinating/sharing resources with other organizations as a result of the grant
- The number and percentage of work group/advisory group/council members who are consumers/young adults.
- The number of consumers/young adults representing consumer organizations who are involved in on-going mental health-related planning and advocacy activities as a result of the grant.
- The number of consumers/young adults who are involved in mental health-related evaluation oversight, data collection, and/or analysis activities as a result of the grant.
- The number of individuals exposed to mental health awareness messages.
- The number of individuals who have received training in prevention or mental health promotion.
- The number of individuals contacted through program outreach efforts.

This information will be gathered using the Transformation Accountability System (TRAC), which can be found at <https://www.cmhs-gpra.samhsa.gov>, along with instructions for completing it. Hard copies are available in the application packages available by calling the SAMHSA's Office of Communications at 1-877-SAMHSA7 [TDD: 1-800-487-4889.] Data will be collected quarterly after entry of annual goals. Data are to be entered into a web-based system supported by quarterly written fiscal reports and written annual reports. Technical assistance for the web-based data entry, fiscal and annual report generation is available.

Performance data will be reported to the public, the Office of Management and Budget (OMB) and Congress as part of SAMHSA's budget request.

### **2.3 Performance Assessment**

Grantees must periodically review the performance data they report to SAMHSA (as required above) and assess their progress and use this information to improve



management of their grant projects. The assessment should be designed to help you determine whether you are achieving the goals, objectives and outcomes you intend to achieve and whether adjustments need to be made to your project. You will be required to report on your progress achieved, barriers encountered, and efforts to overcome these barriers in a performance assessment report to be submitted in your annual progress report.

At a minimum, your performance assessment should include the required performance measures identified above.

**No more than 20% of the total grant award may be used for data collection, performance measurement, and performance assessment, e.g., activities required in Sections I-2.2 and 2.3 above.**

## **2.4 Grantee Meetings**

Grantees must plan to send a minimum of two people (including the Project Director) to at least one joint grantee meeting in each year of the grant. You must include a detailed budget and narrative for this travel in your budget. At these meetings, grantees will present the results of their projects and Federal staff will provide technical assistance. Each meeting will be 2 days. These meetings are usually held in the Washington, D.C., area, and attendance is mandatory.

## **II. AWARD INFORMATION**

**Proposed budgets cannot exceed \$70,000 in total costs (direct and indirect) in any year of the proposed project.** Annual continuation awards will depend on the availability of funds, grantee progress in meeting project goals and objectives, timely submission of required data and reports, and compliance with all terms and conditions of award.

## **III. ELIGIBILITY INFORMATION**

### **1. ELIGIBLE APPLICANTS**

SAMHSA is limiting eligibility for this program to consumer-controlled<sup>1</sup>, domestic public and private nonprofit entities, tribal and urban Indian organizations, and community- and faith-based organizations. A primary goal of the program is to strengthen the capacity of consumers to act as agents of transformation in influencing the type and amount of services, so they must be an integral part of an organization that supports individuals

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<sup>1</sup> Consumer-controlled organization is controlled and managed by mental health consumers and is dedicated to transformation of the mental healthcare system to be consumer and family driven. A consumer-controlled organization must have a Board of Directors made up of more than 50% consumers.

with a serious mental illness and ensures that their mental health care is consumer driven with access to recovery support services. Therefore, only organizations controlled and managed by mental health consumers are eligible to apply.

Consumer-controlled organizations must meet the following requirements:

- An applicant organization must be dedicated to the improvement of mental health services Statewide.
- An applicant organization must complete the Certificate of Eligibility (see [Appendix L](#)) indicating that the applicant meets all eligibility requirements. Applicants must also provide necessary supportive documentation specified in the Certificate of Eligibility.

In an effort to strengthen new networks and broaden the impact of this program throughout the nation, SAMHSA is limiting one award per State, Territory and Tribe.

Statewide Consumer Network Grantees whose funding ends in FY 2013 are not eligible to apply under this funding announcement.

The statutory authority for this program prohibits grants to for-profit agencies.

## **2. COST SHARING and MATCH REQUIREMENTS**

Cost sharing/match are not required in this program.

## **3. OTHER**

**You must comply with the following three requirements, or your application will be screened out and will not be reviewed:** 1) use of the SF-424 Application form; Budget Information form SF-424A; Project/Performance Site Location(s) form; Disclosure of Lobbying Activities, if applicable; and Checklist. 2) application submission requirements in [Section IV-3](#) of this document; and 3) formatting requirements provided in [Appendix A](#) of this document.

# **IV. APPLICATION AND SUBMISSION INFORMATION**

## **1. ADDRESS TO REQUEST APPLICATION PACKAGE**

You may request a complete application package from SAMHSA at 1-877-SAMHSA7 [TDD: 1-800-487-4889].

You also may download the required documents from the SAMHSA Web site at <http://www.samhsa.gov/grants/apply.aspx>.

Additional materials available on this Web site include:

- a grant writing technical assistance manual for potential applicants;

- standard terms and conditions for SAMHSA grants;
- guidelines and policies that relate to SAMHSA grants (e.g., guidelines on cultural competence, consumer and family participation, and evaluation); and
- a list of certifications and assurances referenced in item 21 of the SF-424.
- Frequently Asked Questions (FAQs)
- An announcement of two pre-application technical assistance telephone conference calls
- An archived transcript of the pre-application technical assistance telephone conference calls

## 2. CONTENT AND GRANT APPLICATION SUBMISSION

### 2.1 Application Package

A complete list of documents included in the application package is available at <http://www.samhsa.gov/Grants/ApplicationKit.aspx>. This includes:

- The Face Page (SF-424); Budget Information form (SF-424A); Project/Performance Site Location(s) form; Disclosure of Lobbying Activities, if applicable; and Checklist. **Applications that do not include the required forms will be screened out and will not be reviewed.**
- Request for Applications (RFA) – Provides a description of the program, specific information about the availability of funds, and instructions for completing the grant application. This document is the RFA. The RFA will be available on the SAMHSA Web site (<http://www.samhsa.gov/grants/index.aspx>) and a synopsis of the RFA is available on the Federal grants Web site (<http://www.Grants.gov>).

You must use all of the above documents in completing your application.

### 2.2 Required Application Components

Applications must include the following 12 required application components:

- **Face Page** – SF-424 is the face page. [Note: Applicants must provide a Dun and Bradstreet (DUNS) number to apply for a grant or cooperative agreement from the Federal Government. SAMHSA applicants are required to provide their DUNS number on the face page of the application. Obtaining a DUNS number is easy and there is no charge. To obtain a DUNS number, access the Dun and Bradstreet Web site at <http://www.dunandbradstreet.com> or call 1-866-705-5711. To expedite the process, let Dun and Bradstreet know that you are a public/private nonprofit organization getting ready to submit a Federal

grant application. In addition, you must be registered in the Central Contractor Registration (CCR) prior to submitting an application and maintain an active CCR registration during the grant funding period. **REMINDER: CCR registration expires each year and must be updated annually. It can take 24 hours or more for updates to take effect, so check for active registration well before your grant deadline. Grants.gov will not accept your application if you do not have current CCR registration. If you do not have an active CCR registration prior to submitting your paper application, it will be screened out and returned to you without review. The DUNS number you use on your application must be registered and active in the CCR. You can view your CCR registration status at <http://www.bpn.gov/CCRSearch/Search.aspx> and search by your organization's DUNS number. Additional information on the Central Contractor Registration (CCR) is available at <https://www.bpn.gov/ccr/default.aspx>].**

- **Abstract** – Your total abstract must not be longer than 35 lines. It should include the project name, population to be served (demographics and clinical characteristics), strategies/interventions, project goals and measurable objectives, including the number of people to be served annually and throughout the lifetime of the project, etc. In the first five lines or less of your abstract, write a summary of your project that can be used, if your project is funded, in publications, reporting to Congress, or press releases.
- **Table of Contents** – Include page numbers for each of the major sections of your application and for each attachment.
- **Budget Information Form** – Use SF-424A. Fill out Sections B, C, and E of the SF-424A. A sample budget and justification is included in [Appendix H](#) of this document.
- **Project Narrative and Supporting Documentation** – The Project Narrative describes your project. It consists of Sections A through D. Sections A-D together may not be longer than 25 pages. (Remember that if your Project Narrative starts on page 5 and ends on page 25, **it is 26** pages long, not **25** pages.) More detailed instructions for completing each section of the Project Narrative are provided in “Section V – Application Review Information” of this document.

The Supporting Documentation provides additional information necessary for the review of your application. This supporting documentation should be provided immediately following your Project Narrative in Sections E through H. There are no page limits for these sections, except for Section G, Biographical Sketches/Job Descriptions. Additional instructions for completing these sections are included in Section V under “Supporting Documentation.” Supporting documentation should be submitted in black and white (no color).

- **Attachments 1 through 5** – Use only the attachments listed below. If your application includes any attachments not required in this document, they will be disregarded. Do not use more than a total of 30 pages for Attachments 1, 3 and 4 combined. There are no page limitations for Attachments 2 and 5. Do not use attachments to extend or replace any of the sections of the Project Narrative. Reviewers will not consider them if you do. Please label the attachments as: Attachment 1, Attachment 2, etc.
  - *Attachment 1:* Letters of Commitment and/or Support
  - *Attachment 2:* Data Collection Instruments/Interview Protocols – if you are using standardized data collection instruments/interview protocols, you do not need to include these in your application. Instead, provide a Web link to the appropriate instrument/protocol. If the data collection instrument(s) or interview protocol(s) is/are not standardized, you must include a copy in Attachment 2.
  - *Attachment 3:* Sample Consent Forms
  - *Attachment 4:* Letter to the SSA (if applicable; see Section IV-4 of this document)
  - *Attachment 5:* Certificate of Eligibility
- **Project/Performance Site Location(s) Form** – The purpose of this form is to collect location information on the site(s) where work funded under this grant announcement will be performed. This form will be posted on SAMHSA’s Web site with the RFA and provided in the application package.
- **Assurances** – Non-Construction Programs. You must read the list of assurances provided on the SAMHSA Web site **and check the box marked ‘I Agree’** before signing the face page (SF-424) of the application. **Certifications** – You must read the list of certifications provided on the SAMHSA Web site **and check the box marked ‘I Agree’ before signing the face page (SF-424)** of the application.
- **Disclosure of Lobbying Activities** – Federal law prohibits the use of appropriated funds for publicity or **propaganda purposes or for the preparation**, distribution, or use of the information designed to support or defeat legislation pending before the Congress or State legislatures. This includes “grass roots” lobbying, which consists of appeals to members of the public suggesting that they contact their elected representatives to indicate their support for or opposition to pending legislation or to urge those representatives to vote in a particular way. You must sign and submit this form, if applicable.

- **Checklist** – The Checklist ensures that you have obtained the proper signatures, assurances and certifications. If you are submitting a paper application, the Checklist should be the last page.
- **Documentation of nonprofit status** as required in the Checklist.

### 2.3 Application Formatting Requirements

Please refer to [Appendix A](#), *Checklist for Formatting Requirements and Screen Out Criteria for SAMHSA Grant Applications*, for SAMHSA’s basic application formatting requirements. Applications that do not comply with these requirements will be screened out and will not be reviewed.

## 3. APPLICATION SUBMISSION REQUIREMENTS

Applications are due by **May 18, 2012**. SAMHSA provides two options for submission of grant applications: 1) electronic submission, **or** 2) paper submission. You are encouraged to apply electronically. Hard copy applications are due by **5:00 PM** (Eastern Time). Electronic applications are due by **11:59 PM** (Eastern Time). **Applications may be shipped using only Federal Express (FedEx), United Parcel Service (UPS), or the United States Postal Service (USPS)**. You will be notified by postal mail that your application has been received.

**Note: If you use the USPS, you must use Express Mail.**

**SAMHSA will not accept or consider any applications that are hand carried or sent by facsimile.**

### Submission of Electronic Applications

If you plan to submit electronically through Grants.gov it is very important that you read thoroughly the application information provided in [Appendix B](#), “Guidance for Electronic Submission of Applications.”

### Submission of Paper Applications

If you are submitting a paper application, you must submit an original application and 2 copies (including attachments). The original and copies must not be bound and nothing should be attached, stapled, folded, or pasted. Do not use staples, paper clips, or fasteners. You may use rubber bands.

Send applications to the address below:

#### **For United States Postal Service:**

Diane Abbate, Director of Grant Review  
Office of Financial Resources  
Substance Abuse and Mental Health Services Administration

Room 3-1044  
1 Choke Cherry Road  
Rockville, MD **20857**

Change the zip code to **20850** if you are using FedEx or UPS.

Do not send applications to other agency contacts, as this could delay receipt. Be sure to include “**Statewide Consumer Network Grants, RFA# SM-12-002**” in item number 12 on the face page (SF-424) of any paper applications. If you require a phone number for delivery, you may use (240) 276-1199.

**Your application must be received by the application deadline or it will not be considered for review.** Please remember that mail sent to Federal facilities undergoes a security screening prior to delivery. You are responsible for ensuring that you submit your application so that it will arrive by the application due date and time.

If an application is mailed to a location or office (including room number) that is not designated for receipt of the application and, as a result, the designated office does not receive your application by the deadline, your application will be considered late and ineligible for review.

SAMHSA accepts electronic submission of applications through <http://www.Grants.gov>. Please refer to [Appendix B](#) for “Guidance for Electronic Submission of Applications.”

#### **4. INTERGOVERNMENTAL REVIEW (E.O. 12372) REQUIREMENTS**

This grant program is covered under Executive Order (EO) 12372, as implemented through Department of Health and Human Services (DHHS) regulation at 45 CFR Part 100. Under this Order, States may design their own processes for reviewing and commenting on proposed Federal assistance under covered programs. See [Appendix C](#) for additional information on these requirements as well as requirements for the Public Health Impact Statement.

#### **5. FUNDING LIMITATIONS/RESTRICTIONS**

Cost principles describing allowable and unallowable expenditures for Federal grantees, including SAMHSA grantees, are provided in the following documents, which are available at <http://www.samhsa.gov/grants/management.aspx>:

- Educational Institutions: 2 CFR Part 220 and OMB Circular A-21
- State, Local and Indian Tribal Governments: 2 CFR Part 225 (OMB Circular A-87)
- Nonprofit Organizations: 2 CFR Part 230 (OMB Circular A-122)
- Hospitals: 45 CFR Part 74, Appendix E

In addition, SAMHSA's **Statewide Consumer Network** grant recipients must comply with the following funding restrictions:

- No more than 20% of the grant award may be used for data collection, performance measurement, and performance assessment expenses.

**SAMHSA grantees must also comply with SAMHSA's standard funding restrictions, which are included in [Appendix D](#).**

## **V. APPLICATION REVIEW INFORMATION**

### **1. EVALUATION CRITERIA**

The Project Narrative describes what you intend to do with your project and includes the Evaluation Criteria in Sections A-D below. Your application will be reviewed and scored according to the quality of your response to the requirements in Sections A-D.

- In developing the Project Narrative section of your application, use these instructions, which have been tailored to this program.
- The Project Narrative (Sections A-D) together may be no longer than 25 pages.
- You must use the four sections/headings listed below in developing your Project Narrative. You must place the required information in the correct section, **or it will not be considered**. Your application will be scored according to how well you address the requirements for each section of the Project Narrative.
- Reviewers will be looking for evidence of cultural competence in each section of the Project Narrative, and will consider how well you address the cultural competence aspects of the evaluation criteria when scoring your application. SAMHSA's guidelines for cultural competence can be found on the SAMHSA Web site at <http://www.samhsa.gov/grants/apply.aspx> at the bottom of the page under "Resources for Grant Writing."
- The Supporting Documentation you provide in Sections E-H and Attachments 1-5 will be considered by reviewers in assessing your response, along with the material in the Project Narrative.
- The number of points after each heading is the maximum number of points a review committee may assign to that section of your Project Narrative. Although scoring weights are not assigned to individual bullets, each bullet is assessed in deriving the overall Section score.

#### **Section A: Statement of Need (10 points)**

- Describe the proposed catchment area and provide demographic information on the population(s), e.g., race, ethnicity, age, socioeconomic status,



geography. HHS has published standards for data collection on race, ethnicity, sex, primary language and disability status, as required by Section 4302 of the Affordable Care Act. For more information, go to:

<http://minorityhealth.hhs.gov/templates/content.aspx?ID=9227&lvl=2&lvlID=208>

- Document the need for an enhanced infrastructure to increase the capacity to implement, sustain, and improve effective mental health services and recovery supports in the proposed catchment area. This must include a discussion of related behavioral health disparities. Provide sufficient information on how the data were collected so reviewers can assess the reliability and validity of the data. Documentation of need may come from a variety of qualitative and quantitative sources. The quantitative data could come from local epidemiologic data, State data (e.g., from State Needs Assessments, SAMHSA's National Survey on Drug Use and Health), and/or national data (e.g., from SAMHSA's National Survey on Drug Use and Health or from National Center for Health Statistics/Centers for Disease Control reports).
- Describe the service gaps, barriers, and other problems related to the need for infrastructure development.
- Describe the stakeholders and resources in the catchment area that can help implement the needed infrastructure development.
- Applicants must show that identified needs are consistent with priorities of the Tribe, tribal organization, State or county that has primary responsibility for the service delivery system.

### **Section B: Proposed Approach (40 points)**

- Describe the purpose of the proposed project, including a clear statement of its goals and objectives.
- Describe how the goals and objectives will address the overarching purpose of SAMHSA's Recovery Supports Strategic Initiative, and in particular, any of the Initiative's four elements: health, home, purpose and community.
- Describe how the proposed project will help prepare for health reform implementation.
- Describe how achievement of goals will increase system capacity to support effective mental health services and recovery supports and address the needs of youth in transition.
- Describe a minimum of two proposed project activities as specified in Section I-2.1 of this RFA, how they meet your infrastructure needs, and how they relate to your goals and objectives.

- As applicable, include a description of how these proposed project activities address any of the following SAMHSA Strategic Initiatives: Recovery Supports, Trauma and Justice, Military Families, Health Care Reform, and/or Public Awareness and Support.
- Provide a chart or graph depicting a realistic time line for the entire project period showing key activities, milestones, and responsible staff. [Note: The time line should be part of the Project Narrative. It should not be placed in an attachment.]
- Provide a logic model that demonstrates the linkage between the identified need, the proposed approach, and outcomes. (See [Appendix E](#) for a sample logic model.)
- If you plan to include an advisory body in your project, describe its membership, roles and functions, and frequency of meetings.
- Describe any other organizations that will participate and their roles and responsibilities. Demonstrate their commitment to the project. Include letters of commitment and support from these community organizations in **Attachment 1** of your application.
- Describe how the proposed project will address the following issues in your catchment area:
  - Demographics – race, ethnicity, religion, gender, age, geography, and socioeconomic status;
  - Language and literacy;
  - Sexual identity – sexual orientation and gender identity; and
  - Disability.
- Describe how members of the population(s) to receive services were involved in the preparation of the application, and how they will be involved in the planning, implementation, and performance assessment of the project.
- Describe the potential barriers to successful conduct of the proposed project and how you will overcome them.
- Describe how your proposed project activities will improve mental health services and recovery supports.
- Describe how your proposed project will address substance abuse issues among your constituents.

- Describe your plan to continue the project after the funding period ends. Also describe how program continuity will be maintained when there is a change in the operational environment (e.g., staff turnover, change in project leadership) to ensure stability over time.

### **Section C: Staff, Management, and Relevant Experience (30 points)**

- Describe your organization's mission and how its activities (a) reflect a statewide focus on consumers diagnosed with a mental illness, (b) promote the concepts of recovery and resiliency, and (c) promote substantial consumer participation in statewide system transformation.
- Describe the organization's structure and management functions, financial management policies, quality control/monitoring, selection of subcontractors, internal review processes, and criteria for resource allocation. Include a description of how your organization's Board of Directors will provide support for and oversight of the program management, operation, and activities.
- Discuss the capability and experience of the applicant organization and other participating organizations with similar projects and populations, including experience in providing culturally appropriate/competent services.
- Provide a complete list of staff positions for the project, including the Project Director and other key personnel, showing the role of each and their level of effort and qualifications. Include a description of key personnel's experience/expertise in managing projects, managing program finances, and providing other necessary administrative functions so that program goals/objectives can be met.
- Discuss how key staff have demonstrated experience and are qualified to serve the population(s) to receive services and are familiar with their culture(s) and language(s). If the population of focus is multicultural and multilingual, describe how staff is qualified to serve this population.
- Describe the resources available for the proposed project (e.g., facilities, equipment).

### **Section D: Performance Assessment and Data (20 points)**

- Document your ability to collect and report on the required performance measures as specified in Section I-2.2 of this RFA. Describe your plan for data collection, management, analysis and reporting. Specify and justify any additional measures you plan to use for your grant project.
- Describe how data will be used to manage the project and assure continuous quality improvement, including consideration of behavioral health disparities. Describe how information related to process and outcomes will be routinely communicated to program staff.

- Describe your plan for conducting the performance assessment as specified in Section I-2.3 of this RFA and document your ability to conduct the assessment.

NOTE: Although the budget for the proposed project is not a scored review criterion, the Review Group will be asked to comment on the appropriateness of the budget after the merits of the application have been considered.

## **SUPPORTING DOCUMENTATION**

**Section E:** Literature Citations. This section must contain complete citations, including titles and all authors, for any literature you cite in your application.

**Section F:** Budget Justification, Existing Resources, Other Support. You must provide a narrative justification of the items included in your proposed budget, as well as a description of existing resources and other support you expect to receive for the proposed project. Be sure to show that no more than 20% of the total grant award will be used for data collection, performance measurement, and performance assessment. **Specifically identify the items associated with these costs in your budget.** An illustration of a budget and narrative justification is included in [Appendix H](#) of this document.

### **Section G: Biographical Sketches and Job Descriptions.**

- Include a biographical sketch for the Project Director and other key positions. Each sketch should be 2 pages or less. If the person has not been hired, include a position description and/or a letter of commitment with a current biographical sketch from the individual.
- Include job descriptions for key personnel. Job descriptions should be no longer than 1 page each.
- Information on what you should include in your biographical sketches and job descriptions can be found in [Appendix G](#) of this document.

**Section H:** Confidentiality and SAMHSA Participant Protection/Human Subjects: You must describe procedures relating to Confidentiality, Participant Protection and the Protection of Human Subjects Regulations in Section H of your application. See [Appendix I](#) for guidelines on these requirements.

## **2. REVIEW AND SELECTION PROCESS**

SAMHSA applications are peer-reviewed according to the evaluation criteria listed above.

Decisions to fund a grant are based on:

- the strengths and weaknesses of the application as identified by peer reviewers;

- when the individual award is over \$150,000, approval by the Center for Mental Health Services' National Advisory Council;
- availability of funds; and
- equitable distribution of awards in terms of geography (including urban, rural and remote settings) and balance among populations to receive services and program size.

## VI. ADMINISTRATION INFORMATION

### 1. AWARD NOTICES

You will receive a letter from SAMHSA through postal mail that describes the general results of the review of your application, including the score that your application received.

If you are approved for funding, you will receive an **additional** notice through postal mail, the Notice of Award (NoA), signed by SAMHSA's Grants Management Officer. The Notice of Award is the sole obligating document that allows you to receive Federal funding for work on the grant project.

If you are not funded, you will receive notification from SAMHSA.

### 2. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS

- If your application is funded, you must comply with all terms and conditions of the grant award. SAMHSA's standard terms and conditions are available on the SAMHSA Web site at <http://www.samhsa.gov/grants/management.aspx>.
- If your application is funded, you must also comply with the administrative requirements outlined in 45 CFR Part 74 or 45 CFR Part 92, as appropriate. For more information see the SAMHSA Web site (<http://www.samhsa.gov/grants/management.aspx>).
- Depending on the nature of the specific funding opportunity and/or your proposed project as identified during review, SAMHSA may negotiate additional terms and conditions with you prior to grant award. These may include, for example:
  - actions required to be in compliance with confidentiality and participant protection/human subjects requirements;
  - requirements relating to additional data collection and reporting;
  - requirements relating to participation in a cross-site evaluation;
  - requirements to address problems identified in review of the application; or

- revised budget and narrative justification.
- If your application is funded, you will be held accountable for the information provided in the application relating to performance targets. SAMHSA program officials will consider your progress in meeting goals and objectives, as well as your failures and strategies for overcoming them, when making an annual recommendation to continue the grant and the amount of any continuation award. Failure to meet stated goals and objectives may result in suspension or termination of the grant award, or in reduction or withholding of continuation awards.
- Grant funds cannot be used to supplant current funding of existing activities. “Supplant” is defined as replacing funding of a recipient’s existing program with funds from a Federal grant.
- In an effort to improve access to funding opportunities for applicants, SAMHSA is participating in the U.S. Department of Health and Human Services “Survey on Ensuring Equal Opportunity for Applicants.” This survey is included in the application package for SAMHSA grants and is posted on the SAMHSA Web site at <http://www.samhsa.gov/grants/downloads/SurveyEnsuringEqualOpp.pdf>. You are encouraged to complete the survey and return it, using the instructions provided on the survey form.

### **3. REPORTING REQUIREMENTS**

In addition to the data reporting requirements listed in [Section I-2.2](#), grantees must comply with the reporting requirements listed on the SAMHSA Web site at <http://www.samhsa.gov/Grants/ApplicationKit.aspx>.

## **VII. AGENCY CONTACTS**

For questions about program issues contact:

Mary Blake  
Center for Mental Health Services  
Substance Abuse and Mental Health Services Administration  
1 Choke Cherry Road  
Room 6-1020  
Rockville, Maryland 20857  
(240) 276-1747  
[Mary.blake@samhsa.hhs.gov](mailto:Mary.blake@samhsa.hhs.gov)

For questions on grants management and budget issues contact:

Gwendolyn Simpson  
Office of Financial Resources, Division of Grants Management  
Substance Abuse and Mental Health Services Administration

1 Choke Cherry Road  
Room 7-1085  
Rockville, Maryland 20857  
(240) 276-1408  
[gwendolyn.simpson@samhsa.hhs.gov](mailto:gwendolyn.simpson@samhsa.hhs.gov)

## Appendix A – Checklist for Formatting Requirements and Screen Out Criteria for SAMHSA Grant Applications

*SAMHSA's goal is to review all applications submitted for grant funding. However, this goal must be balanced against SAMHSA's obligation to ensure equitable treatment of applications. For this reason, SAMHSA has established certain formatting requirements for its applications. **If you do not adhere to these requirements, your application will be screened out and returned to you without review.***

- Use the SF-424 Application form; Budget Information form SF-424A; Project/Performance Site Location(s) form; Disclosure of Lobbying Activities, if applicable; and Checklist.
- Applications must be received by the application due date and time, as detailed in Section [IV-3](#) of this grant announcement.
- You must be registered in the Central Contractor Registration (CCR) prior to submitting your application. The DUNS number used on your application must be registered and active in the CCR prior to submitting your application.
- Information provided must be sufficient for review.
- Text must be legible. Pages must be typed in black ink, single-spaced, using a font of Times New Roman 12, with all margins (left, right, top, bottom) at least one inch each.
- (For Project Narratives submitted electronically, see separate requirements in [Appendix B, "Guidance for Electronic Submission of Applications."](#))
- To ensure equity among applications, page limits for the Project Narrative cannot be exceeded.
- Paper must be white paper and 8.5 inches by 11.0 inches in size.

*To facilitate review of your application, follow these additional guidelines. Failure to adhere to the following guidelines will not, in itself, result in your application not being conveyed properly to SAMHSA. However, the information provided in your application must be sufficient for review. Following these guidelines will help ensure your application is complete, and will help reviewers to consider your application.*

- If you are submitting a paper application, the application components required for SAMHSA applications should be submitted in the following order:
  - Face Page (SF-424)
  - Abstract
  - Table of Contents



- Budget Information Form (SF-424A)
- Project Narrative and Supporting Documentation
- Attachments
- Project/Performance Site Location(s) Form
- Disclosure of Lobbying Activities (Standard Form LLL, if applicable)
- Checklist
- Documentation of nonprofit status as required in the Checklist
- Applications should comply with the following requirements:
  - Provisions relating to confidentiality and participant protection specified in [Appendix I](#) of this announcement.
  - Budgetary limitations as specified in Sections I, II, and IV-5 of this announcement.
  - Documentation of nonprofit status as required in the Checklist.
- Black ink should be used throughout your application, including charts and graphs. Pages should be typed single-spaced with one column per page. Pages should not have printing on both sides.
- Pages should be numbered consecutively from beginning to end so that information can be located easily during review of the application. The abstract page should be page 1, the table of contents should be page 2, etc. The four pages of SF-424 are not to be numbered. Attachments should be labeled and separated from the Project Narrative and budget section, and the pages should be numbered to continue the sequence.
- The page limits for Attachments stated in Section IV-2.2 of this announcement should not be exceeded.
- Send the original application and two copies to the mailing address in Section IV-3 of this document. Please do not use staples, paper clips, and fasteners. Nothing should be attached, stapled, folded, or pasted. You may use rubber bands. Do not use heavy or lightweight paper or any material that cannot be copied using automatic copying machines. Odd-sized and oversized attachments such as posters will not be copied or sent to reviewers. Do not include videotapes, audiotapes, or CD-ROMs.

## Appendix B – Guidance for Electronic Submission of Applications

If you would like to submit your application electronically, you may search <http://www.Grants.gov> for the downloadable application package by the funding announcement number (called the opportunity number) or by the Catalogue of Federal Domestic Assistance (CFDA) number. You can find the CFDA number on the first page of the funding announcement.

You must follow the instructions in the User Guide available at the <http://www.Grants.gov> apply site, on the Help page. In addition to the User Guide, you may wish to use the following sources for technical (IT) help:

- By e-mail: [support@Grants.gov](mailto:support@Grants.gov)
- By phone: 1-800-518-4726 (1-800-518-GRANTS). The Grants.gov Contact Center is available 24 hours a day, 7 days a week, excluding Federal holidays.

**If this is the first time you have submitted an application through Grants.gov, you must complete three separate registration processes before you can submit your application. Allow at least two weeks (10 business days) for these registration processes, prior to submitting your application.** The processes are: 1) DUNS Number registration; 2) Central Contractor Registry (CCR) registration; and 3) Grants.gov registration (Get username and password.). REMINDER: CCR registration expires each year and must be updated annually. It can take 24 hours or more for updates to take effect, so check for active registration well before your grant deadline. Grants.gov will not accept your application if you do not have active CCR registration. The DUNS number you use on your application must be registered and active in the CCR. You can view your CCR registration status at <https://www.bpn.gov/CCRSearch/Search.aspx> and search by your organization's DUNS number. Additional information on the Central Contractor Registration (CCR) is available at <https://www.bpn.gov/ccr/default.aspx>. Be sure the person submitting your application is properly registered with Grants.gov as the Authorized Organization Representative (AOR) for the specific DUNS number cited on the SF-424 (face page). See the Organization Registration User Guide for details at the following Grants.gov link: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp).

Please also allow sufficient time for enter your application into Grants.gov. When you submit your application you will receive a notice that your application is being processed and that you will receive two e-mails from Grants.gov. within the next 24-48 hours. One will confirm receipt of the application in Grants.gov and the other will indicate that the application was either successfully validated by the system (with a tracking number) or rejected due to errors. It will also provide instructions that if you do not receive a receipt confirmation **and** a validation confirmation or a rejection e-mail within 48 hours, you must contact Grants.gov directly. Please note that it is incumbent on the applicant to monitor their application to ensure that it is successfully received and validated by

Grants.gov. **If your application is not successfully validated by Grants.gov it will not be forwarded to SAMHSA as the receiving institution.**

**It is strongly recommended that you prepare your Project Narrative and other attached documents using Microsoft Office 2007 products (e.g., Microsoft Word 2007, Microsoft Excel 2007, etc.).** If you do not have access to Microsoft Office 2007 products, you may submit PDF files. Directions for creating PDF files can be found on the Grants.gov Web site. Use of file formats other than Microsoft Office 2007 or PDF may result in your file being unreadable by our staff.

The Abstract, Table of Contents, Project Narrative, Supporting Documentation, Budget Justification, and Attachments must be combined into 4 separate files in the electronic submission. **If the number of files exceeds 4, the electronic application will not convey properly to SAMHSA.**

Formatting requirements for SAMHSA e-Grant application files are as follows:

- Project Narrative File (PNF): The PNF consists of the Abstract, Table of Contents, and Project Narrative (Sections A-D) in this order and numbered consecutively.
- Budget Narrative File (BNF): The BNF consists of only the budget justification narrative.
- Other Attachment File 1: The first Other Attachment file will consist of the Supporting Documentation (Sections E-H) in this order and lettered consecutively.
- Other Attachment File 2: The second Other Attachment file will consist of the Attachments 1-5 in this order and numbered consecutively.

Scanned images must be scanned at 75 dpi/ppi resolution and saved as a jpeg or pdf file. Using a higher resolution setting or different file type could result in a rejection of application.

Formatting requirements for SAMHSA grant applications are described in Appendix A of this announcement. These requirements also apply to applications submitted electronically, with the following exceptions only for Project Narratives submitted electronically in Microsoft Word. These requirements help ensure the accurate transmission and equitable treatment of applications.

- Text legibility: Use a font of Times New Roman 12, line spacing of single space, and all margins (left, right, top, bottom) of at least one inch each. Adhering to these standards will help to ensure the accurate transmission of your document.
- Amount of space allowed for Project Narrative: The Project Narrative for an electronic submission may not exceed **12,875** words. **If the Project Narrative**

**for an electronic submission exceeds the word limit, the application will be screened out and will not be reviewed.** To determine the number of words in your Project Narrative document in Microsoft Word, select file/properties/statistics.

Be sure to scan all images at 75 dpi and save as a jpeg or pdf file. Also, be sure to label each file according to its contents, e.g., “Project Narrative”, “Budget Narrative”, “Other Attachment 1”, and “Other Attachment 2”. **If the number of files exceeds the 4 allowable files, the electronic application will be screened out.**

With the exception of standard forms in the application package, all pages in your application should be numbered consecutively. **Documents containing scanned images must also contain page numbers to continue the sequence.** Failure to comply with these requirements may affect the successful transmission and consideration of your application.

Applicants are strongly encouraged to submit their applications to Grants.gov early enough to resolve any unanticipated difficulties prior to the deadline. After you electronically submit your application, you will receive an automatic acknowledgement from Grants.gov that contains a Grants.gov tracking number. It is important that you retain this number. **Receipt of the tracking number is the only indication that Grants.gov has successfully received and validated your application. If you do not receive a Grants.gov tracking number, you may want to contact the Grants.gov help desk for assistance.**

## Appendix C – Intergovernmental Review (E.O. 12373) Requirements

This grant program is covered under Executive Order (EO) 12372, as implemented through Department of Health and Human Services (DHHS) regulation at 45 CFR Part 100. Under this Order, States may design their own processes for reviewing and commenting on proposed Federal assistance under covered programs. Certain jurisdictions have elected to participate in the EO process and have established State Single Points of Contact (SPOCs). A current listing of SPOCs is included in the application package and can be downloaded from the Office of Management and Budget (OMB) Web site at [http://www.whitehouse.gov/omb/grants\\_spoc](http://www.whitehouse.gov/omb/grants_spoc).

- Check the list to determine whether your State participates in this program. You do not need to do this if you are an American Indian/Alaska Native Tribe or tribal organization.
- If your State participates, contact your SPOC as early as possible to alert him/her to the prospective application(s) and to receive any necessary instructions on the State's review process.
- For proposed projects serving more than one State, you are advised to contact the SPOC of each affiliated State.
- The SPOC should send any State review process recommendations to the following address within 60 days of the application deadline. For United States Postal Service: Diane Abbate, Director of Grant Review, Office of Financial Resources, Substance Abuse and Mental Health Services Administration, Room 3-1044, 1 Choke Cherry Road, Rockville, MD 20857. ATTN: SPOC – Funding Announcement No. **SM-12-002**. Change the zip code to 20850 if you are using another delivery service.

In addition, if you are a community-based, non-governmental service provider and you are not transmitting your application through the State, you must submit a Public Health System Impact Statement (PHSIS)<sup>2</sup> to the head(s) of appropriate State and local health agencies in the area(s) to be affected no later than the application deadline. The PHSIS is intended to keep State and local health officials informed of proposed health services

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<sup>2</sup> Approved by OMB under control no. 0920-0428; Public reporting burden for the Public Health System Reporting Requirement is estimated to average 10 minutes per response, including the time for copying the face page of SF-424 and the abstract and preparing the letter for mailing. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. The OMB control number for this project is 0920-0428. Send comments regarding this burden to CDC Clearance Officer, 1600 Clifton Road, MS D-24, Atlanta, GA 30333, ATTN: PRA (0920-0428).

grant applications submitted by community-based, non-governmental organizations within their jurisdictions. If you are a State or local government or American Indian/Alaska Native Tribe or tribal organization, you are not subject to these requirements.

The PHSIS consists of the following information:

- a copy of the face page of the application (SF-424); and
- a summary of the project, no longer than one page in length, that provides: 1) a description of the population to be served; 2) a summary of the services to be provided; and 3) a description of the coordination planned with appropriate State or local health agencies.

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

If applicable, you must include a copy of a letter transmitting the PHSIS to the SSA in **Attachment 4, "Letter to the SSA."** The letter must notify the State that, if it wishes to comment on the proposal, its comments should be sent no later than 60 days after the application deadline to the following address. **For United States Postal Service:** Diane Abbate, Director of Grant Review, Office of Financial Resources, Substance Abuse and Mental Health Services Administration, Room 3-1044, 1 Choke Cherry Road, Rockville, MD **20857**. ATTN: SSA – Funding Announcement No. **SM-12-002**. Change the zip code to **20850** if you are using another delivery service.

In addition:

- Applicants may request that the SSA send them a copy of any State comments.
- The applicant must notify the SSA within 30 days of receipt of an award.

## Appendix D – Funding Restrictions

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

- Pay for any lease beyond the project period.
- Provide services to incarcerated populations (defined as those persons in jail, prison, detention facilities, or in custody where they are not free to move about in the community).
- Pay for the purchase or construction of any building or structure to house any part of the program. (Applicants may request up to \$75,000 for renovations and alterations of existing facilities, if necessary and appropriate to the project.)
- Provide residential or outpatient treatment services when the facility has not yet been acquired, sited, approved, and met all requirements for human habitation and services provision. (Expansion or enhancement of existing residential services is permissible.)
- Pay for housing other than residential mental health and/or substance abuse treatment.
- Provide inpatient treatment or hospital-based detoxification services. Residential services are not considered to be inpatient or hospital-based services.
- Make direct payments to individuals to induce them to enter prevention or treatment services. However, SAMHSA discretionary grant funds may be used for non-clinical support services (e.g., bus tokens, child care) designed to improve access to and retention in prevention and treatment programs.
- Make direct payments to individuals to encourage attendance and/or attainment of prevention or treatment goals. However, SAMHSA discretionary grant funds may be used for non-cash incentives of up to \$20 to encourage attendance and/or attainment of prevention or treatment goals when the incentives are built into the program design and when the incentives are the minimum amount that is deemed necessary to meet program goals. SAMHSA policy allows an individual participant to receive more than one incentive over the course of the program. However, non-cash incentives should be limited to the minimum number of times deemed necessary to achieve program outcomes. A grantee or treatment or prevention provider may also provide up to \$20 cash or equivalent (coupons, bus tokens, gifts, child care, and vouchers) to individuals as incentives to participate in required data collection follow up. This amount may be paid for participation in each required interview.

- Food is generally unallowable unless it's an integral part of a conference grant or program specific, e.g., children's program, residential.
- Funds may not be used to distribute sterile needles or syringes for the hypodermic injection of any illegal drug.
- Pay for pharmacologies for HIV antiretroviral therapy, sexually transmitted diseases (STD)/sexually transmitted illnesses (STI), TB, and hepatitis B and C, or for psychotropic drugs.

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



## Appendix E – Sample Logic Model

A logic model is a tool to show how your proposed project links the purpose, goals, objectives, and tasks stated with the activities and expected outcomes or “change” and can help to plan, implement, and assess your project. The model also links the purpose, goals, objectives, and activities back into planning and evaluation. A logic model is a picture of your project. It graphically shows the activities and progression of the project. It should also describe the relationships among the resources you put in (inputs), the strategies you use, the infrastructure changes that occur, what takes place (outputs), and what happens or results (outcomes). Your logic model should form a logical chain of “if-then” relationships that enables you to demonstrate how you will get to your desired outcomes with your available resources. Because your logic model requires you to be specific about your intended outputs and outcomes, it can be a valuable resource in assessing the performance of your project by providing you with specific outputs (objectives) and outcomes (goals) that can be measured.

The graphic on the following page provides an example of a logic model that links the inputs to strategies, the strategies to infrastructure changes, the infrastructure changes to outputs, and the outputs to outcomes (goals).

Your logic model should be based on a review of your Statement of Need, in which you state the conditions that gave rise to the project with your target group. A properly targeted logic model will show a logical pathway from inputs to intended outcomes, in which the included outcomes address the needs identified in the Statement of Need.

Examples of **Inputs** depicted in the sample logic model include Federal policies, funding, and requirements; federally sponsored technical assistance; site-specific context items (e.g., populations; site characteristics, e.g., political and geographical; previous activities, policies, etc.; infrastructure, e.g., planning capability & other resources; pre-existing outcomes); and performance data.

Examples of **Strategies** depicted in the sample logic model that are developed as a result of these inputs include initial grant activities, e.g., formation of a steering committee, etc., which in turn leads to a needs assessment and inventory of resources (e.g., development process and conclusion). This in turn leads to a strategic plan (e.g., development process and content). Finally, these strategies result in change/project management mechanisms.

Examples of the **Infrastructure Changes** depicted in the sample logic model that result from the strategies discussed above include such things as policy changes, workforce training, financing changes, organizational changes, improved data collection and use, and changes to service delivery.

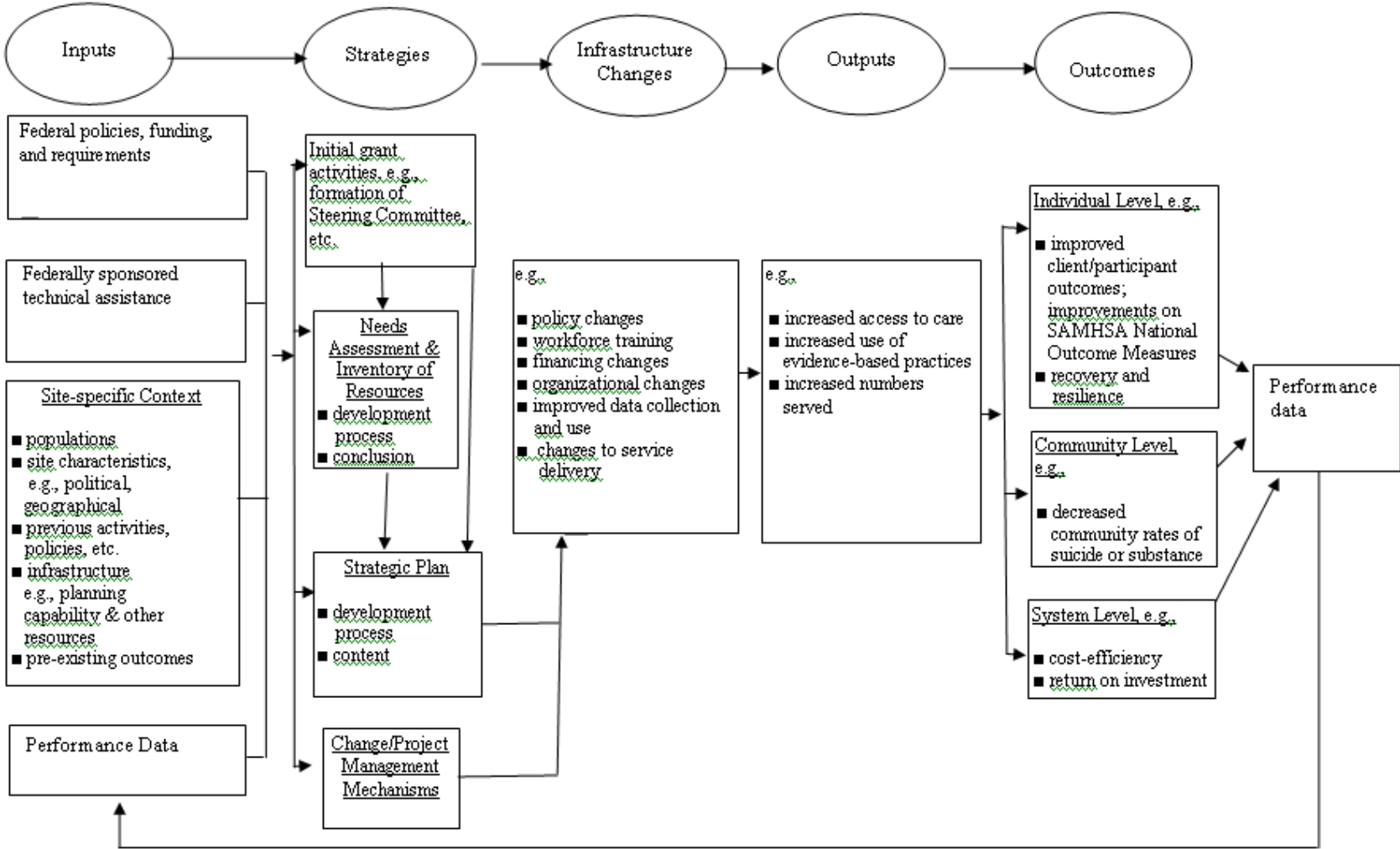
**Outputs** from these infrastructure changes depicted in the sample logic model include such things as increased access to care, increased use of evidence-based practices, and increased numbers served.

These outputs lead to **Outcomes** at the individual level, community level, and system level. Examples of individual level outcomes depicted in the sample logic model include improved client/participant outcomes; improvements on SAMHSA National Outcomes Measures; and recovery and resilience. Community level outcomes depicted include decreased community rates of suicide or substance abuse. System level outcomes depicted include cost-efficiency and return on investment.

The outcomes produce performance data which lead back to the performance data under **Inputs** in the sample logic model, as performance data both result from and inform the process.

[Note: The logic model presented is not a required format and SAMHSA does not expect strict adherence to this format. It is presented only as a sample of how you can present a logic model in your application.]

### Sample Infrastructure Logic Model



## Appendix F – Logic Model Resources

- 1
- 2 Chen, W.W., Cato, B.M., & Rainford, N. (1998-9). Using a logic model to plan and  
3 evaluate a community intervention program: A case study. *International Quarterly of*  
4 *Community Health Education*, 18(4), 449-458.  
5
- 6 Edwards, E.D., Seaman, J.R., Drews, J., & Edwards, M.E. (1995). A community  
7 approach for Native American drug and alcohol prevention programs: A logic model  
8 framework. *Alcoholism Treatment Quarterly*, 13(2), 43-62.
- 9 Hernandez, M. & Hodges, S. (2003). *Crafting Logic Models for Systems of Care: Ideas*  
10 *into Action*. [Making children's mental health services successful series, volume 1].  
11 Tampa, FL: University of South Florida, The Louis de la Parte Florida Mental Health  
12 Institute, Department of Child & Family Studies. <http://cfs.fmhi.usf.edu> or phone (813)  
13 974-4651
- 14 Hernandez, M. & Hodges, S. (2001). Theory-based accountability. In M. Hernandez &  
15 S. Hodges (Eds.), *Developing Outcome Strategies in Children's Mental Health*, pp. 21-  
16 40. Baltimore: Brookes.
- 17 Julian, D.A. (1997). Utilization of the logic model as a system level planning and  
18 evaluation device. *Evaluation and Planning*, 20(3), 251-257.
- 19 Julian, D.A., Jones, A., & Deyo, D. (1995). Open systems evaluation and the logic  
20 model: Program planning and evaluation tools. *Evaluation and Program Planning*, 18(4),  
21 333-341.
- 22 Patton, M.Q. (1997). *Utilization-Focused Evaluation* (3rd Ed.), pp. 19, 22, 241.  
23 Thousand Oaks, CA: Sage.  
24
- 25 Wholey, J.S., Hatry, H.P., Newcomer, K.E. (Eds.) (1994). *Handbook of Practical*  
26 *Program Evaluation*. San Francisco, CA: Jossey-Bass Inc.  
27
- 28 W.K. Kellogg Foundation, (2004). *Logic Model Development Guide*. Battle Creek, MI.
- 29 To receive additional copies of the *Logic Model Development Guide*, call (800) 819-  
30 9997 and request item #1209.

31

32 **Appendix G – Biographical Sketches and Job Descriptions**

33

34 **Biographical Sketch**

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

- 39 1. Name of staff member  
40 2. Educational background: school(s), location, dates attended, degrees earned  
41 (specify year), major field of study  
42 3. Professional experience  
43 4. Honors received and dates  
44 5. Recent relevant publications  
45 6. Other sources of support [Other support is defined as all funds or resources,  
46 whether Federal, non-federal, or institutional, available to the Project  
47 Director/Program Director (and other key personnel named in the application) in  
48 direct support of their activities through grants, cooperative agreements,  
49 contracts, fellowships, gifts, prizes, and other means.]  
50

51 **Job Description**

- 52 1. Title of position  
53 2. Description of duties and responsibilities  
54 3. Qualifications for position  
55 4. Supervisory relationships  
56 5. Skills and knowledge required  
57 6. Personal qualities  
58 7. Amount of travel and any other special conditions or requirements  
59 8. Salary range  
60 9. Hours per day or week  
61  
62

63

64

65

66 **Appendix H – Sample Budget and Justification (no match**  
67 **required)**

68 THIS IS AN ILLUSTRATION OF A SAMPLE DETAILED BUDGET AND NARRATIVE  
69 JUSTIFICATION WITH GUIDANCE FOR COMPLETING SF-424A: SECTION B FOR  
70 THE BUDGET PERIOD

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

74 **FEDERAL REQUEST**

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

75

76 JUSTIFICATION: Describe the role and responsibilities of each position.

77 The Project Director will provide daily oversight of the grant and will be considered key  
78 staff.

79

80 The Coordinator will coordinate project services and project activities, including training,  
81 communication and information dissemination.

82

83 The Clinical Director will provide necessary medical direction and guidance to staff for  
84 540 clients served under this project.

85

86 **Key staff positions require prior approval by SAMHSA after review of credentials**  
 87 **of resume and job description.**

88 **FEDERAL REQUEST** (enter in Section B column 1 line 6a of form S-424A) **\$52,765**

89 B. Fringe Benefits: **List all components that make up the fringe benefits rate**

90 **FEDERAL REQUEST**

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

91

92 **JUSTIFICATION: Fringe reflects current rate for agency.**

93 **FEDERAL REQUEST** (enter in Section B column 1 line 6b of form S-424A) **\$10,896**

94 C. Travel: **Explain need for all travel other than that required by this application.**  
 95 **Local travel policies prevail.**

96 **FEDERAL REQUEST**

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

97

98

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

100 (1) Two staff (Project Director and Evaluator) to attend mandatory grantee meeting in  
101 Washington, DC.  
102

103 (2) Local travel is needed to attend local meetings, project activities, and training  
104 events. Local travel rate is based on organization's policies/procedures for privately  
105 owned vehicle reimbursement rate. If policy does not have a rate use GSA.

106 **FEDERAL REQUEST** (enter in Section B column 1 line 6c of form SF-424A) **\$2,444**

107 D. Equipment: **an article of tangible, nonexpendable, personal property having a**  
108 **useful life of more than one year and an acquisition cost of \$5,000 or more per**  
109 **unit (federal definition).**

110 **FEDERAL REQUEST** – (enter in Section B column 1 line 6d of form SF-424A) **\$ 0**

111 **E. Supplies: materials costing less than \$5,000 per unit and often having one-**  
112 **time use**

113 **FEDERAL REQUEST**

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

114

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

117 (1) Office supplies, copies and postage are needed for general operation of the project.

118

119 (2) The laptop computer and printer are needed for both project work and presentations  
120 for Project Director.



121 (3) The projector is needed for presentations and workshops. All costs were based on  
122 retail values at the time the application was written.

123 **FEDERAL REQUEST** – (enter in Section B column 1 line 6e of form SF-424A) **\$ 3,796**

124 **F. Contract: A contractual arrangement to carry out a portion of the programmatic**  
125 **effort or for the acquisition of routine goods or services under the grant. Such**  
126 **arrangements may be in the form of consortium agreements or contracts. A**  
127 **consultant is an individual retained to provide professional advice or services for**  
128 **a fee. The applicant/grantee must establish written procurement policies and**  
129 **procedures that are consistently applied. All procurement transactions shall be**  
130 **conducted in a manner to provide to the maximum extent practical, open and free**  
131 **competition.**

132 **COSTS FOR CONTRACTS MUST BE BROKEN DOWN IN DETAIL AND A**  
133 **NARRATIVE JUSTIFICATION PROVIDED. IF APPLICABLE, NUMBERS OF**  
134 **CLIENTS SHOULD BE INCLUDED IN THE COSTS.**

135 **FEDERAL REQUEST**

Name	Service	Rate	Other	Cost
(1) State Department of Human Services	Training	\$250/individual x 3 staff	5 days	\$750
(2) Treatment Services	1040 Clients	\$27/client per year		\$28,080

Name	Service	Rate	Other	Cost
(3) John Smith (Case Manager)	Treatment Client Services	1FTE @ \$27,000 + Fringe Benefits of \$6,750 = \$33,750	*Travel at 3,124 @ .50 per mile = \$1,562  *Training course \$175  *Supplies @ \$47.54 x 12 months or \$570  *Telephone @ \$60 x 12 months = \$720  *Indirect costs = \$9,390 (negotiated with contractor)	\$46,167
(4) Jane Smith	Evaluator	\$40 per hour x 225 hours	12 month period	\$9,000
(5) To Be Announced	Marketing Coordinator	Annual salary of \$30,000 x 10% level of effort		\$3,000
			<b>TOTAL</b>	<b>\$86,997</b>

136

137 **JUSTIFICATION: Explain the need for each contractual agreement and how it**  
138 **relates to the overall project.**

139 Certified trainers are necessary to carry out the purpose of the Statewide Consumer  
140 Network by providing recovery and wellness training, preparing consumer leaders  
141 statewide, and educating the public on mental health recovery.  
142

143 Treatment services for clients to be served based on organizational history of expenses.  
144

145 Case manager is vital to client services related to the program and outcomes.  
146

147 Evaluator is provided by an experienced individual (Ph.D. level) with expertise in  
148 substance abuse, research and evaluation, is knowledgeable about the population of  
149 focus, and will report GPRA data.  
150

151 Marketing Coordinator will develop a plan to include public education and outreach  
152 efforts to engage clients of the community about grantee activities, and provision of  
153 presentations at public meetings and community events to stakeholders, community  
154 civic organizations, churches, agencies, family groups and schools.  
155

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

157 **FEDERAL REQUEST** – (enter in Section B column 1 line 6f of form SF-424A) **\$86,997**

158 **G. Construction: NOT ALLOWED – Leave Section B columns 1& 2 line 6g on SF-**  
159 **424A blank.**

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

161 **FEDERAL REQUEST**

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

162

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

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

169

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

175 (2) The monthly telephone costs reflect the % of effort for the personnel listed in this  
176 application for the SAMHSA project only.  
177

178 (3) The \$10 incentive is provided to encourage attendance to meet program goals for  
179 278 client follow-ups.  
180

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

182 **FEDERAL REQUEST** – (enter in Section B column 1 line 6h of form SF-424A) **\$15,815**

183 **Indirect Cost Rate: Indirect costs can be claimed if your organization has a**  
184 **negotiated indirect cost rate agreement. It is applied only to direct costs to the**  
185 **agency as allowed in the agreement. For information on applying for the indirect**  
186 **rate go to: <http://www.samhsa.gov> then click on Grants – Grants Management –**  
187 **Contact Information – Important Offices at SAMHSA and DHHS - HHS Division of**  
188 **Cost Allocation – Regional Offices.**

189 **FEDERAL REQUEST** (enter in Section B column 1 line 6j of form SF-424A)

190 **8% of personnel and fringe (.08 x \$63,661) \$5,093**

191 =====

192 **TOTAL DIRECT CHARGES:**

193  
194 **FEDERAL REQUEST** – (enter in Section B column 1 line 6i of form SF-424A) **\$172,713**  
195

196 **INDIRECT CHARGES:**

197  
198 **FEDERAL REQUEST** – (enter in Section B column 1 line 6j of form SF-424A) **\$5,093**  
199

200 **TOTALS: (sum of 6i and 6j)**

201

202 **FEDERAL REQUEST** – (enter in Section B column 1 line 6k of form SF-424A)  
203 **\$177,806**  
204

205 =====

206 UNDER THIS SECTION REFLECT OTHER NON-FEDERAL SOURCES  
207 OF FUNDING BY DOLLAR AMOUNT AND NAME OF FUNDER e.g.,  
208 Applicant, State, Local, Other, Program Income, etc.

209  
210 **Provide the total proposed Project Period and Federal funding as follows:**  
211

212 **Proposed Project Period**  
213

a. Start Date:	<b>09/30/2012</b>	b. End Date:	<b>09/29/2017</b>
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214  
215 **BUDGET SUMMARY (should include future years and projected total)**

216

Category	Year 1	Year 2*	Year 3*	Year 4*	Year 5*	Total Project Costs
<b>Personnel</b>	<b>\$52,765</b>	\$54,348	\$55,978	\$57,658	\$59,387	\$280,136
<b>Fringe</b>	<b>\$10,896</b>	\$11,223	\$11,559	\$11,906	\$12,263	\$57,847
<b>Travel</b>	<b>\$2,444</b>	\$2,444	\$2,444	\$2,444	\$2,444	\$12,220
<b>Equipment</b>	<b>0</b>	0	0	0	0	0
<b>Supplies</b>	<b>\$3,796</b>	\$3,796	\$3,796	\$3,796	\$3,796	\$18,980
<b>Contractual</b>	<b>\$86,997</b>	\$86,997	\$86,997	\$86,997	\$86,997	\$434,985
<b>Other</b>	<b>\$15,815</b>	\$13,752	\$11,629	\$9,440	\$7,187	\$57,823
<b>Total Direct Charges</b>	<b>\$172,713</b>	\$172,560	\$172,403	\$172,241	\$172,074	\$861,991
<b>Indirect Charges</b>	<b>\$5,093</b>	\$5,246	\$5,403	\$5,565	\$5,732	\$27,039

Category	Year 1	Year 2*	Year 3*	Year 4*	Year 5*	Total Project Costs
<b>Total Project Costs</b>	<b>\$177,806</b>	<b>\$177,806</b>	<b>\$177,806</b>	<b>\$177,806</b>	<b>\$177,806</b>	<b>\$889,030</b>

217

218 **TOTAL PROJECT COSTS: Sum of Total Direct Costs and Indirect**  
 219 **Costs**

220

221 **FEDERAL REQUEST** (enter in Section B column 1 line 6k of form SF-424A) **\$889,030**

222 \*FOR REQUESTED FUTURE YEARS:

223

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

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

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## **Appendix I – Confidentiality and SAMHSA Participant Protection/Human Subjects Guidelines**

### **Confidentiality and Participant Protection:**

Because of the confidential nature of the work in which many SAMHSA grantees are involved, it is important to have safeguards protecting individuals from risks associated with their participation in SAMHSA projects. All applicants must address the seven elements below. If some are not applicable or relevant to the proposed project, simply state that they are not applicable and indicate why. In addition to addressing these seven elements, read the section that follows entitled Protection of Human Subjects Regulations to determine if the regulations may apply to your project. If so, you are required to describe the process you will follow for obtaining Institutional Review Board (IRB) approval. While we encourage you to keep your responses brief, there are no page limits for this section and no points will be assigned by the Review Committee. Problems with confidentiality, participant protection, and the protection of human subjects identified during peer review of the application must be resolved prior to funding.

#### **1. Protect Clients and Staff from Potential Risks**

- Identify and describe any foreseeable physical, medical, psychological, social, and legal risks or potential adverse effects as a result of the project itself or any data collection activity.
- Describe the procedures you will follow to minimize or protect participants against potential risks, including risks to confidentiality.
- Identify plans to provide guidance and assistance in the event there are adverse effects to participants.
- Where appropriate, describe alternative treatments and procedures that may be beneficial to the participants. If you choose not to use these other beneficial treatments, provide the reasons for not using them.

#### **2. Fair Selection of Participants**

- Describe the population(s) of focus for the proposed project. Include age, gender, and racial/ethnic background and note if the population includes homeless youth, foster children, children of substance abusers, pregnant women, or other targeted groups.
- Explain the reasons for including groups of pregnant women, children, people with mental disabilities, people in institutions, prisoners, and individuals who are likely to be particularly vulnerable to HIV/AIDS.

- 269
- Explain the reasons for including or excluding participants.
- 270
- Explain how you will recruit and select participants. Identify who will select
- 271
- 272 3. Absence of Coercion
- Explain if participation in the project is voluntary or required. Identify possible reasons why participation is required, for example, court orders requiring people to participate in a program.
- 273
- 274
- 275
- If you plan to compensate participants, state how participants will be awarded incentives (e.g., money, gifts, etc.). Provide justification that the use of incentives is appropriate, judicious, and conservative and that incentives do not provide an “undue inducement” which removes the voluntary nature of participation. Incentives should be the minimum amount necessary to meet the programmatic and performance assessment goals of the grant. Applicants should determine the minimum amount that is proven effective by consulting with existing local programs and reviewing the relevant literature. In no case may the value if an incentive paid for with SAMHSA discretionary grant funds exceed \$20.
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- State how volunteer participants will be told that they may receive services intervention even if they do not participate in or complete the data collection component of the project.
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- 289 4. Data Collection
- Identify from whom you will collect data (e.g., from participants themselves, family members, teachers, others). Describe the data collection procedures and specify the sources for obtaining data (e.g., school records, interviews, psychological assessments, questionnaires, observation, or other sources). Where data are to be collected through observational techniques, questionnaires, interviews, or other direct means, describe the data collection setting.
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- Identify what type of specimens (e.g., urine, blood) will be used, if any. State if the material will be used just for evaluation or if other use(s) will be made. Also, if needed, describe how the material will be monitored to ensure the safety of participants.
- 297
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- Provide in **Attachment 2, “Data Collection Instruments/Interview Protocols,”** copies of all available data collection instruments and interview protocols that you plan to use.
- 301
- 302
- 303
- 304 5. Privacy and Confidentiality



- 305 • Explain how you will ensure privacy and confidentiality. Include who will collect
- 306 data and how it will be collected.
- 307 • Describe:
- 308 ○ How you will use data collection instruments.
- 309 ○ Where data will be stored.
- 310 ○ Who will or will not have access to information.
- 311 ○ How the identity of participants will be kept private, for example, through the
- 312 use of a coding system on data records, limiting access to records, or
- 313 storing identifiers separately from data.

314 **NOTE:** If applicable, grantees must agree to maintain the confidentiality of alcohol and  
 315 drug abuse client records according to the provisions of **Title 42 of the Code of**  
 316 **Federal Regulations, Part II.**

317 6. Adequate Consent Procedures

- 318 • List what information will be given to people who participate in the project.
- 319 Include the type and purpose of their participation. Identify the data that will be
- 320 collected, how the data will be used and how you will keep the data private.
- 321 • State:
- 322 ○ Whether or not their participation is voluntary.
- 323 ○ Their right to leave the project at any time without problems.
- 324 ○ Possible risks from participation in the project.
- 325 ○ Plans to protect clients from these risks.
- 326 • Explain how you will get consent for youth, the elderly, people with limited
- 327 reading skills, and people who do not use English as their first language.

328 **NOTE:** If the project poses potential physical, medical, psychological, legal, social or  
 329 other risks, you **must** obtain written informed consent.

- 330 • Indicate if you will obtain informed consent from participants or assent from
- 331 minors along with consent from their parents or legal guardians. Describe how
- 332 the consent will be documented. For example: Will you read the consent
- 333 forms? Will you ask prospective participants questions to be sure they
- 334 understand the forms? Will you give them copies of what they sign?
- 335 • Include, as appropriate, sample consent forms that provide for: (1) informed
- 336 consent for participation in service intervention; (2) informed consent for

337 participation in the data collection component of the project; and (3) informed  
338 consent for the exchange (releasing or requesting) of confidential information.  
339 The sample forms must be included in **Attachment 3, “Sample Consent**  
340 **Forms”**, of your application. If needed, give English translations.

341 **NOTE:** Never imply that the participant waives or appears to waive any legal rights,  
342 may not end involvement with the project, or releases your project or its agents from  
343 liability for negligence.

344 • Describe if separate consents will be obtained for different stages or parts of  
345 the project. For example, will they be needed for both participant protection in  
346 treatment intervention and for the collection and use of data?

347 • Additionally, if other consents (e.g., consents to release information to others or  
348 gather information from others) will be used in your project, provide a  
349 description of the consents. Will individuals who do not consent to having  
350 individually identifiable data collected for evaluation purposes be allowed to  
351 participate in the project?

#### 352 7. Risk/Benefit Discussion

353 • Discuss why the risks are reasonable compared to expected benefits and  
354 importance of the knowledge from the project.

#### 355 Protection of Human Subjects Regulations

356 SAMHSA expects that most grantees funded under this announcement will not have to  
357 comply with the Protection of Human Subjects Regulations (45 CFR 46), which requires  
358 Institutional Review Board (IRB) approval. However, in some instances, the applicant’s  
359 proposed performance assessment design may meet the regulation’s criteria for  
360 research involving human subjects. For assistance in determining if your proposed  
361 performance assessment meets the criteria in 45 CFR 46, Protection of Human  
362 Subjects Regulations, refer to the SAMHSA decision tree on the SAMHSA Web site,  
363 under “Applying for a New SAMHSA Grant,” <http://www.samhsa.gov/grants/apply.aspx>.

364 In addition to the elements above, applicants whose projects must comply with the  
365 Human Subjects Regulations must fully describe the process for obtaining IRB  
366 approval. While IRB approval is not required at the time of grant award, these grantees  
367 will be required, as a condition of award, to provide documentation that an Assurance of  
368 Compliance is on file with the Office for Human Research Protections (OHRP). IRB  
369 approval must be received in these cases prior to enrolling participants in the project.  
370 General information about Human Subjects Regulations can be obtained through OHRP  
371 at <http://www.hhs.gov/ohrp>, or [ohrp@osophs.dhhs.gov](mailto:ohrp@osophs.dhhs.gov), or (240) 453-6900. SAMHSA–  
372 specific questions should be directed to the program contact listed in Section VII of this  
373 announcement.

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## Appendix J – Background Information

The Statewide Consumer Network Grants program builds on the work of the Federal Community Support Program (CSP). The Substance Abuse and Mental Health Services Administration's, Center for Mental Health Services has supported the development of accessible, responsive mental health treatment, rehabilitation, and supportive services for people with a serious mental illness. The mission of CSP is to promote the development of recovery-oriented mental health systems that help adults with serious mental illness recover, live independently and productively in the community, and avoid inappropriate use of inpatient services. CSP has helped to establish consumer- run organizations throughout the country. Today, nearly every State has an active consumer-run organization dedicated to promoting consumer-driven, recovery-oriented systems that are responsive to the needs of people with serious mental illness. By providing appropriate training and tools in the development of individualized mental health plans, self-directed care, understanding the need for and use of accountability and evaluation measures that are informed by consumers, mutual peer support, and self-help skills, consumers can provide the guidance and foresight into changing the present system to a recovery-oriented system for all peers. Consumers thus serve as agents of change to promote consumer-driven services and the full complement of recovery supports that promote the essential elements of health, home, purpose, and community.

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## Appendix K – Glossary

**Best Practice:** Best practices are practices that incorporate the best objective information currently available regarding effectiveness and acceptability.

**Catchment Area:** A catchment area is the geographic area from which the target population to be served by a program will be drawn.

**Consumer-centered:** Refers to mental health services that focus on consumer-driven care.

**Consumer-controlled:** Refers to an organization that is controlled and managed by mental health consumers and is dedicated to transformation of the mental healthcare system to be consumer and family driven. A consumer-controlled organization must have a board of directors comprised of more than 50% consumers.

**Consumer-driven:** Refers to mental health treatment and related services in which consumers are the primary decision-makers about the care offered and received. Consumer-driven care reflects both the individual and collective consumer voice in all aspects of mental health service delivery including choice of supports, program planning, service implementation, evaluation and research.

**Cooperative Agreement:** A cooperative agreement is a form of Federal grant. Cooperative agreements are distinguished from other grants in that, under a cooperative agreement, substantial involvement is anticipated between the awarding office and the recipient during performance of the funded activity. This involvement may include collaboration, participation, or intervention in the activity. HHS awarding offices use grants or cooperative agreements (rather than contracts) when the principal purpose of the transaction is the transfer of money, property, services, or anything of value to accomplish a public purpose of support or stimulation authorized by Federal statute. The primary beneficiary under a grant or cooperative agreement is the public, as opposed to the Federal Government.

**Fidelity:** Fidelity is the degree to which a specific implementation of a program or practice resembles, adheres to, or is faithful to the evidence-based model on which it is based. Fidelity is formally assessed using rating scales of the major elements of the evidence-based model. A toolkit on how to develop and use fidelity instruments is available from the SAMHSA-funded Evaluation Technical Assistance Center at <http://tecathsri.org> or by calling (617) 876-0426.

**Grant:** A grant is the funding mechanism used by the Federal Government when the principal purpose of the transaction is the transfer of money, property, services, or anything of value to accomplish a public purpose of support or stimulation authorized by

441 Federal statute. The primary beneficiary under a grant or cooperative agreement is the  
442 public, as opposed to the Federal Government.

443 **Infrastructure:** Infrastructure is the foundation of the system to provide services and  
444 support to people with serious mental illness.

445 **Practice:** A practice is any activity, or collective set of activities, intended to improve  
446 outcomes for people with or at risk for substance abuse and/or mental illness. Such  
447 activities may include direct service provision, or they may be supportive activities, such  
448 as efforts to improve access to and retention in services, organizational efficiency or  
449 effectiveness, community readiness, collaboration among stakeholder groups,  
450 education, awareness, training, or any other activity that is designed to improve  
451 outcomes for people with or at risk for substance abuse or mental illness.

452 **Practice Support System:** This term refers to contextual factors that affect practice  
453 delivery and effectiveness in the pre-adoption phase, delivery phase, and post-delivery  
454 phase, such as a) community collaboration and consensus building, b) training and  
455 overall readiness of those implementing the practice, and c) sufficient ongoing  
456 supervision for those implementing the practice.

457 **Stakeholder:** A stakeholder is an individual, organization, constituent group, or other  
458 entity that has an interest in and will be affected by a proposed grant project.

459  
460 **Sustainability:** Sustainability is the ability to continue a program or practice after  
461 SAMHSA grant funding has ended.

462  
463 **Target Population:** The target population is the specific population of people whom a  
464 particular program or practice is designed to serve or reach.

465 **Wraparound Service:** Wraparound services are non-clinical supportive services—  
466 such as child care, vocational, educational, and transportation services—that are  
467 designed to improve the individual’s access to and retention in the proposed project.

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## Appendix L – Certificate of Eligibility

An authorized representative of the applicant organization (whose signature appears on page one of the face page of the application form SF-424) must complete and sign this Certificate. The application must include this Certificate and all supporting documentation specified within it in **Attachment 5**. Any application that does not include a completed, signed copy of this Certificate and the necessary supportive documentation, will be deemed ineligible and will not be reviewed. Any application that does not meet all eligibility requirements will be deemed ineligible and will not be reviewed.

All applicant organizations must meet the criteria of a consumer organization. Applicants must certify and attest to the following:

I certify that:

The applicant is an organization that is controlled and managed by consumers and dedicated to improving mental health services and recovery supports ([see Appendix K](#)).

The applicant organization is a nonprofit entity and has a Board of Directors comprised of more than 50 percent consumers who are individuals 18 years of age or older who with serious mental illness.

The consumer Board of Directors has been in operation for more than six months and has provided written assurance in support of the project, e.g. copy of board minutes or letter of support.

The United States Federal Government Internal Revenue Service (I.R.S.) has issued the applicant organization tax exempt status or similar documentation of such status and a copy is included in this application.

The applicant organization will take an active role in the fiscal management and oversight of the project, and will be legally, fiscally, administratively and programmatically responsible to the cooperative and has not submitted a "pass through", "umbrella" or "cover letter" application.

This form must be signed and dated by an authorized representative of the applicant organization certifying that the aforementioned statements are accurate.

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Type and Print Name and Title

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Signature of Individual Certifying Validity of all  
Information Contained in this Document

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Date of Signature