

**DEPARTMENT OF HEALTH AND HUMAN SERVICES**

**Substance Abuse and Mental Health Services Administration  
Center for Mental Health Services**

**Guidance for Applicants (GFA) No. SM 02-010  
Part I - Programmatic Guidance**

**Targeted Capacity Expansion (TCE) Grants for Jail Diversion  
Programs**

**Short Title: Jail Diversion Programs**

Application Due Dates:  
June 19, 2002 and September 10, 2002

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## Table of Contents

Agency.....	3
Action and Purpose.....	3
Who Can Apply?.....	5
Application Kit.....	7
Where to Send the Application.....	7
Application Dates.....	8
How to Get Help.....	8
Funding Criteria.....	8
Post-award Requirements.....	8
Use of Funds.....	9
Grants and Cooperative Agreements.....	10
Role of the Capacity Expansion Site Awardees in This Grant.....	10
Role of the Technical Assistance and Policy Analysis (TAPA) Center Awardee in This Cooperative Agreement.....	10
Role of Federal Staff in the Capacity Expansion Site Grant TAPA Center Cooperative Agreement.....	11
Program Overview.....	12
Program Objectives for Capacity Expansion Site Awards.....	12
Program Objectives for TAPA Center Award.....	14
Detailed Information on What to Include in Your Application.....	15
Project Narrative Review Criteria Instructions.....	17
Project Narrative Review Criteria for Capacity Expansion Site Awards.....	17
Section A: Need for the Program.....	17
Section B: Implementation Plan.....	18
Section C: Evaluation Plan, Data Collection, and Analysis.....	20
Section D: Dissemination and Knowledge Use Plan.....	21
Section E: Project Management and Staffing Plan.....	21
Project Narrative Review Criteria for TAPA Center Award.....	22
Section A: Need for the Program.....	22
Section B: Implementation Plan.....	23
Section C: Evaluation Plan, Data Collection, and Analysis.....	24
Section D: Dissemination and Knowledge Use Plan.....	25
Section E: Project Management and Staffing Plan.....	25
SAMHSA Participant Protection.....	26
Appendix A: Assurances That Must Be Met by the Capacity Expansion Site Applicants..	29
Appendix B: CMHS GPRA Client Outcome Measures for Discretionary Programs....	30
Appendix C: Schematic Outline of the Criminal Justice Processing Spectrum.....	37
Appendix D: Logic Model for Targeted Capacity Expansion Jail Diversion Programs.	38
Appendix E: Gender-Specific Services for Women in the Criminal Justice System....	39
Appendix F: Trauma-Specific Services for Women in the Criminal Justice System....	49
Appendix G: Guidelines for Consumer and Family Participation.....	58

Appendix H: Cultural Competence Resources.....	60
Appendix I: Adults in Contact with the Criminal Justice System, Co-occurring Disorders, and Jail Diversion Programs.....	61

## Agency

Department of Health and Human Services (DHHS), Substance Abuse and Mental Health Services Administration, Center for Mental Health Services.

## Action and Purpose

The Substance Abuse and Mental Health Services Administration’s (SAMHSA) Center for Mental Health Services (CMHS) announces the availability of fiscal year 2002 funds for programs to divert individuals with mental illness from the criminal justice system to mental health treatment and appropriate support services. These grants or cooperative agreements are made as part of the SAMHSA/CMHS Targeted Capacity Expansion (TCE) program. The title of this TCE program is *Jail Diversion Programs*.

This GFA on Jail Diversion, based on the Public Health Service Act, section 520G, is coordinated with the Department of Justice’s solicitation “Mental Health Court Grants Program,” authorized in P.L. 106-515, Part V, Section 2201.

It is the intention of both agencies to collaborate on both the implementation and analysis of these two programs. The overall goal of this collaboration is to improve policy and practice for addressing the needs of persons with a mental illness or co-occurring disorder who become involved with the criminal justice system.

To this end, each agency will fund programs that do not overlap by type of diversion model implemented. SAMHSA will fund diversion programs for pre- and postbooking diversion that do not involve continuous judicial supervision for treatment and case disposition. In contrast, the Department of Justice will fund Mental Health Courts that will be limited to models where continuous judicial supervision is a key design component.

For the SAMHSA, CMHS Jail Diversion Program, it is estimated that \$4.0 million will be available to support two types of awards:

### **(1) Capacity Expansion Site Awards**

Approximately \$3 million will be available in fiscal year (FY) 2002 for up to 10 grants to support programs that divert persons with mental illness from the criminal justice system to community mental health and supportive services (submission date: June 19, 2002). Additional funds are expected to be available in the FY 2003 budget to fund a second group of Capacity Expansion Sites (submission

date: September 10, 2002). Each Capacity Expansion Site is eligible to receive funding for up to 3 years.

Annual awards will be made subject to continued availability of funds and progress achieved by awardees. Given the importance of reserving resources for those programs that are most likely to be able to document program outcomes by the end of Year 3, careful review of products delivered will be completed by the Government Project Officer (GPO) at the end of Years 1 and 2. Only those programs that have completed all required products to the satisfaction of SAMHSA/CMHS program staff at the end of Years 1 and 2 will be renewed for Years 2 and 3.

Awards of no more than \$300,000 in total costs (direct and indirect) will be awarded per grant per year. In addition, applicants **must provide a non-federal share of 25%** (i.e., \$100,000 out of a \$400,000 project; \$75,000 out of a \$300,000 project, etc.). The applicant non-federal share may be made in cash or in kind fairly evaluated, including planned purchase or use of equipment or implementation of required services for clients in the diversion program.

Specifically, diversion programs should address the following objectives (see Program Overview for more detail):

- , **Expansion of local services** through implementation of required interventions, as specified in section 520G of the Public Health Service Act (2002).
- , **Service linkage** among mental health, substance abuse, and criminal justice systems to coordinate assessment and treatment of persons with a mental illness and dual disorders who are diverted from the criminal justice system.
- , **Community outreach** to ensure that services are accessible to the target population and that the community accepts use of the services as beneficial.
- , **Program evaluation** to confirm results and provide program feedback that will serve to enhance the efficiency and effectiveness of further service expansion efforts.

## (2) **Technical Assistance and Policy Analysis (TAPA) Center Award**

One award of no more than \$1 million in total costs (direct and indirect) will be awarded during FY 2002 (submission date: June 19, 2002). This grant may be renewed for up to 4 years. Annual continuation awards will be made subject to continued availability of funds and progress achieved by the TAPA Center grantee.

The primary focus of the TAPA Center is to address the technical assistance and policy development needs of mental health stakeholders and to assist in serving other potential stakeholders.

As part of a federal priority to strengthen the coordination between the mental health and criminal justice systems in addressing the needs of persons with a mental illness, SAMHSA's Center for Mental Health Services (CMHS) and the Department of Justice's (DOJ) Bureau of Justice Assistance have agreed to coordinate their Jail Diversion and Mental Health Court Grant Programs so that expertise in the areas of mental health and criminal justice may be shared.

As part of this collaboration, the TAPA Center will invest 25% of its technical assistance resources to providing technical assistance to DOJ Mental Health Court grantees and constituents. Conversely, DOJ will mandate that 25% of their Technical Assistance Center(s) budget will be devoted to providing technical assistance to the Capacity Expansion Site grantees, other mental health grantees, and constituents.

More specifically, the TAPA Center will:

- (1) Aid Capacity Expansion Site grantees to develop a common framework for conceptualizing jail diversion programs such that common components can be identified, common technical assistance needs can be addressed, common evaluation variables can be collected, and lessons learned can be synthesized.
- (2) Meet with DOJ's Technical Assistance Center(s) to develop a joint agenda for addressing the technical assistance and policy analysis needs of grantees and other communities interested in adopting a jail diversion program. This collaboration should include the development of a common philosophy, determination for delegating different types of technical assistance requests, an agreed-upon list of potential consultants to be used, and a listing of costs to be subsumed under the 25 percent of each Technical Assistance Center budget to be dedicated to joint agency activities.
- (3) Provide an appropriate array of technical assistance techniques and technology to enhance the capacity of grantees and potential grantees to address problems that they encounter, to enrich their resources, and to plan for future growth and sustenance.
- (4) Develop a list of current and potential users of technical assistance and policy analysis focused on jail diversion among various stakeholders and settings. Develop approaches that will engage current and potential stakeholders in the planning and implementation of jail diversion programs. Evaluate the outcome of these knowledge use efforts.
- (5) Provide a conceptual framework for all grantees and potential users through the development of an analytic guide that serves to coordinate site-specific evaluations in a manner that addresses common themes and selected outcomes to be included in evaluations.
- (6) Provide guidelines for translating information gained through implementation of jail diversion programs into tools for policy analysis and policy development.
- (7) Continue database development for an inclusive set of three projects that CMHS has supported on jail diversion: (1) Jail Diversion Knowledge Development and Application (1997-2001); (2)

Round One Targeted Capacity Expansion awards for adult jail diversion (2001-2002); (3) and the Capacity Expansion Site awards covered in this GFA. The database for each project will be put into archival form, accompanied by a user's guide as a public resource for further analyses.

(8) Develop criteria for identifying "best practices" that are used by site grantees, synthesize this information with what has been learned from other projects, and develop a guide for describing "best practices" from the funded sites and from the previously CMHS-funded jail diversion sites.

## Who Can Apply?

As specified by the Public Health Service Act 520 G, eligibility to apply for **Capacity Expansion Site Awards** will be limited to the chief executive of a State, political subdivisions of States, Indian tribes, and tribal organizations, acting through agreements with other public and nonprofit entities to develop and implement programs to divert individuals with a mental illness from the criminal justice system to community-based services. Thus, all applications must be signed by the chief executive of their State, political subdivision of State, Indian tribe, or tribal organization.

Eligibility to apply for the **TAPA Center Award** includes States, political subdivisions of States, Indian tribes, and tribal organizations. In addition, the following entities are eligible:

- Ⓒ Public or private universities.
- Ⓒ Nonprofit agencies.

Interested parties who do not meet these criteria, including faith-based organizations, consumer organizations, consumer supporter organizations, and organizations representing people of color, are encouraged to partner with other agencies that are involved in preparation of the application.

Additional requirements for the Capacity Expansion Site and TAPA Center awards are listed below.

### **Capacity Expansion Site**

Capacity Expansion Site applicants must contain the following assurances (**See Appendix A of this packet for the assurance form that must be included in your application as Appendix 4**):

- Ⓒ Community-based mental health services will be available for individuals who are diverted from the criminal justice system.
- Ⓒ Services offered in the community will be based on the "best known practices," which reflect current research findings and include case management, assertive community treatment, medication management and access, integrated mental health and co-occurring substance abuse treatment, and psychiatric rehabilitation.

- C Services, as listed in the previous bullet, will be integrated with social services including life skills training, housing placement, vocational training, education job placement, and health care.
- C There will be relevant interagency collaboration between the appropriate criminal justice, mental health, and substance abuse systems.
- C The Federal support provided through this grant award will be used to supplement, and not supplant, State, local, Indian tribe, or tribal organization sources of funding that would otherwise be available.

### **TAPA Center**

To apply for the TAPA Center award, applicants must demonstrate at least 2 years of experience in providing technical assistance and policy analysis in jail diversion. **Please attach the following materials to Appendix 5 of your application:**

- (1) One document that illustrates the types of materials that you have distributed to organizations, communities, or States for whom you have provided technical assistance for jail diversion programs.
- (2) One document that illustrates the types of materials that you have provided to organizations, communities, or States for policy analysis/policy development initiatives for planning and implementing jail diversion programs.
- (3) A list of “best practices” for jail diversion programs that you have provided technical assistance to organizations, communities, and States to adopt. Include evaluation results from an assessment of the impact of these activities.

## **Application Kit**

SAMHSA application kits include the two-part grant announcement (also called the Guidance for Applicants, or GFA) and the blank forms (SF 424 and PHS-5161, revised July 2000) needed to apply for a grant.

The GFA has two parts:

Part I - Provides information specific to the grant or cooperative agreement. It is different for each GFA. **This document is Part I.**

Part II - Has general policies and procedures that apply to **all** SAMHSA grants.

**You will need to use both Part I and**

**Part II to apply for a SAMHSA grant or cooperative agreement.**

**To get a complete application kit, including Parts I and II, you can:**

- C Contact the CMHS Knowledge Exchange Network (KEN) at:  
Voice: 1-800-789-2647  
Monday through Friday,  
8:30 A.M. to 5:00 P.M. ET  
TDD: 301-443-9006  
FAX: 301-984-8796  
P.O. Box 42490  
Washington, D.C. 20015  
Website: <http://www.mentalhealth.org>

**or**

- C Download the application kit from the SAMHSA web site at [www.SAMHSA.gov](http://www.SAMHSA.gov). Click on the “grant opportunities” link. Be sure to download both parts of the GFA.

## **Where to Send the Application**

Send the original and two copies of your grant application to:

**SAMHSA Programs**  
Center for Scientific Review  
National Institutes of Health  
Suite 1040  
6701 Rockledge Drive MSC-7710  
Bethesda, MD 20892-7710\*

\*Change the zip code to 20817 if you use express mail or courier service.

**Please note:**

- , Be sure to type: “ SM 02-010, Jail Diversion Programs” in Item Number 10 on the face page of the application form. Applicants can apply under only one group of grants as described above.
- , Be sure to indicate whether you are applying for a Site Award or for the TAPA Center Award.
- , If you require a phone number for delivery, you may use (301) 435-0715.
- , All applications MUST be sent via a recognized commercial or governmental carrier. Hand-

carried applications will not be accepted.

## Application Dates

Your application must be received by June 19, 2002, to qualify for FY 2002 funding and by September 10, 2002, to qualify for FY 2003 funding. Applications received after these dates must have a proof-of-mailing date from the carrier before June 12, 2002, or September 3, 2002, respectively.

Private metered postmarks are not acceptable as proof of timely mailing. Late applications will be returned without review.

Applications for the September 10, 2002, application date will be funded through FY 2003 funds. It is important to note that this program is being announced prior to the annual appropriation for FY 2003 for SAMHSA programs. Applications are invited based on the assumption that sufficient funds will be appropriated for FY 2003 to permit funding of a reasonable number of applications. However, we cannot guarantee sufficient funds will be appropriated to permit SAMHSA to fund any applications. Questions regarding the status of the appropriation of funds should be directed to the Program Contact listed under the “How to Get Help” section in this announcement.

## How to Get Help

**For questions on *program issues*, contact:**

Susan Salasin  
Room 11C-22  
5600 Fishers Lane  
Rockville, MD 20857  
(301) 443-3653  
E-mail: [ssalasin@samhsa.gov](mailto:ssalasin@samhsa.gov)

**For questions on *grants management issues*, contact:**

Steve Hudak  
Division of Grants Management  
Substance Abuse and Mental Health Services Administration  
5600 Fishers Lane 13-103  
Rockville, MD 20857  
(301) 443-9666  
E-mail: [shudak@samhsa.gov](mailto:shudak@samhsa.gov)

# Funding Criteria

Funding decisions under this announcement will be based upon:

- (1) The overall strengths and weaknesses of the application as determined by the Peer Review Committee and approved by SAMHSA's CMHS Advisory Council.
- (2) The equitable distribution among the geographical regions of the United States and between urban and rural populations.
- (3) Availability of funds.

# Post-award Requirements

All grantees must:

- (1) Comply with the GFA requirements and the Terms and Conditions of Awards.
- (2) Provide financial status reports as required in the Public Health Service Grants Policy Statement.
- (3) Submit an **annual report** summarizing:
  - < Project progress.
  - < Changes in key personnel.
  - < Problems incurred and how they were addressed.
  - < Alterations in approaches utilized.
  - < Actual expenditures for the year.
  - < Proposed program plans for the next budget period.
  - < A proposed budget and budget justification for the next budget year.
  - < Outcomes from 12-month evaluation.
- (4) Submit a **final report** at the end of federal grant funding summarizing:
  - < Project findings.
  - < Lessons learned.
  - < Manuals, protocols, or other tools developed as implementation guides.
  - < Final results of the process and outcomes evaluation.
  - < Plans for sustaining services developed during the grant period.
- (5) In addition, Capacity Expansion Site grantees must provide the following information for their site, and the TAPA Center must provide it in a pooled format:

- < Data required for the *Government Performance and Results Act* (GPRA; see Appendix B).

(6) Support the travel expenses to Washington, DC, for a 2½-day conference. The TAPA Center will organize this conference as an opportunity for representatives from all the Capacity Expansion Sites to exchange “lessons learned,” receive targeted technical assistance, and formulate common themes for evaluation purposes. Each of the Capacity Expansion Sites should plan to annually support travel for three project representatives (the project director, evaluator, and consumer representative) for this conference.

## Use of Funds

Federal funds can be used to supplement, but not supplant, State, local, Indian tribe, or tribal organization sources of funding that would otherwise be available.

Federal funds may be used for any of the activities required within this grant funding announcement. This includes, but is not limited to:

- < Convening stakeholders meetings.
- < Evaluation activities.
- < Database management.
- < Provision of mental health services and support.
- < Staff training.
- < Identification of policy and funding barriers.
- < Publication costs for technical assistance reports, best practices guides, evaluation reports, etc.
- < Multimedia project costs, such as videos, website management, teleconferences, etc.
- < Costs for the support of travel for three project representatives—the Project Director, Evaluator, and Consumer Representative—for an annual meeting of 2½ days for all projects.
- < Resources for consumer support for other forms of participation in the project.
- < Consultant fees.

## Grants and Cooperative Agreements

The **Capacity Expansion Site** funds will be awarded as grants. The **TAPA Center** award will be awarded as a cooperative agreement because it requires substantial ongoing participation on the part of the Government Project Officer (GPO) for this program. The TAPA Center is expected to work closely with the GPOs and the sites to ensure the success of this new program.

## Role of the Capacity Expansion Site Awardees in This Grant

- c Comply with all aspects of the Terms and Conditions of the grant.
- c Consult with the GPO and obtain prior written approval from the GPO on significant modifications or adaptations of the project plan.
- c Attend an annual 2½-day national meeting of sites to be held in Washington, DC (travel expenses for the Program Director, Evaluator, and Consumer Representative must be included in the budget).
- c Use the technical assistance that will be provided by SAMHSA/CMHS staff and the TAPA Center in post-award activities, including the evaluation activities.
- c Facilitate and implement the meaningful participation of consumers and family members in the planning and implementation of the project.
- c Disseminate information about the activities and evaluation findings of the program through publications, presentations at conferences, collaboration with other sites, and other efforts to make the findings available to the field.
- c Provide SAMHSA and the TAPA Center with data required for the Government Performance and Results Act (GPRA; see Appendix V).
- c Participate in grantee teleconferences to be called by the GPO and/or TAPA Center representatives on an as-needed basis.
- c Comply with direction from SAMHSA and its partners designated by the GPO regarding model development, evaluation, site visits, and acceptance of technical assistance.
- c Cooperate with SAMHSA and its partners designated by the GPO in responding to requests for information relevant to the grant.

### **Role of the TAPA Center Awardee in This Cooperative Agreement**

- c Consult with the GPO and obtain prior approval on significant modifications or adaptations of the project plan.
- c At the outset of the project, engage in joint planning with DOJ-funded Technical Assistance Center(s), who will be working with DOJ Mental Health Courts grantees.
- c Plan and coordinate an annual 2½-day national meeting of Capacity Expansion Sites to be held in Washington, DC. Note that a minimum of three participants will attend from each Capacity

## Expansion Site.

- C Facilitate the meaningful participation of consumers and/or representatives of the target population in the planning and implementation of the TAPA Center activities. Undertake a systematic examination of innovative practices in this regard. Examples of such practices are: pre-or post-meeting session for consumers only, providing for a “consumer voice and vote” from each site, and mini-training sessions to translate and familiarize consumers with project methods. Recommend to sites those innovations that appear to best suit their programs.
- C Present the findings across the Capacity Expansion Sites in a manner that is appropriate to various stakeholders. This may be done through publications, presentations at conferences, collaboration with the program sites, Internet resources, video, multimedia initiatives, and other efforts. Provide a resource to continually update and review these findings.
- C Provide technical assistance to Capacity Expansion Sites for collecting, analyzing, and reporting data required for the Government Performance and Results Act (GPRA; see Appendix B). Develop a format for displaying GPRA data from each site in a pooled format that summarizes overall program accomplishments in this area.
- C Establish parameters and methods for collecting and archiving “cleaned” jail diversion data from the three CMHS projects that have or are in the process of collecting data on jail diversion models. Develop a user’s guide for working with the overall database.
- C Coordinate and participate in awardee teleconferences to be called by federal representatives on an “as-needed” basis.
- C Cooperate with SAMHSA and its partners in responding to requests for information relevant to the cooperative agreement.

## **Role of Federal Staff in the Capacity Expansion Site Grant and the TAPA Center Cooperative Agreement**

- C Provide the federal interpretation on the provisions of the GFA.
- C Monitor the overall progress of the TAPA Center, with sustained attention to the appropriateness of the joint agenda developed with the Department of Justice for cross-agency technical assistance totaling up to 25 percent of the budget of each agency’s technical assistance providers.
- C Provide consultation on the design and implementation of the TAPA Center products, such as implementation recommendations, policy development reports, and evaluation oversight plans.
- C Provide guidelines for submission of annual and final financial and other required reports.

- Ⓒ Provide consultation on the development of tools and other products accruing from the projects.
- Ⓒ Advise and accompany TAPA Center staff on site visits to Capacity Expansion Sites to monitor the implementation of the program plans and evaluation activities.
- Ⓒ Work with the TAPA Center to help set the agenda for annual national meetings with the Capacity Expansion Site grantees.
- Ⓒ Collaborate with the TAPA Center in interpreting the results of the evaluations and the publications of program findings and other program products.

## **Program Overview**

The goals of this program are to: (1) support community-based mental health services for individuals who have a mental illness or a co-occurring disorder who are diverted from the criminal justice system; (2) assure that jail diversion programs are based on the best known practices and reflect current research findings; (3) form and support interagency collaboration between the appropriate criminal justice, mental health, and substance abuse systems; (4) engage in policy analysis and development activities at a local level to promote implementation and sustenance of diversion activities; and (5) use federal funds to supplement, and not supplant, State, local, Indian tribe, or tribal organization sources of funding that would otherwise be available.

## **Program Objectives for Capacity Expansion Site Awards**

Under this initiative, **Capacity Expansion Site** applicants may plan programs for one or more points on the criminal justice processing spectrum (see Appendix C for a schematic outline of this spectrum). These include the initial point of police contact, pre-booking, post-booking, and arraignment. All funded diversion programs must refer the person to mental health community-based treatment providers. After initial referral to a mental health care provider, and subsequent to community-based screening and assessment by the provider, persons may be referred to other needed community-based services as specified in the section 520G of the Public Health Service Act, 2002.

A Resource Guide for implementing jail diversion programs is provided in Appendix I, entitled “Adults in Contact with the Criminal Justice System, Co-occurring Disorders and Jail Diversion Programs.”

- C Applicants are required to incorporate diversion programs with an existing system of care for those with mental illness. That is, communities should have a pre-existing system of care prior to applying.
- C Mental health court diversion programs will not be funded through this GFA, and potential grantees interested in receiving funding for mental health courts are referred to the Department of Justice solicitation, “Mental Health Court Grants Program,” authorized in P.L. 106-515, Part V, Section 2201.

Applicants must build service capacity using four activity areas known to yield sustainable results:

(1) **Expand the capacity** to implement evidence-based services. Activities that are required include:

- C Case management.
- C Assertive community treatment.
- C Medication management and access.
- C Integrated mental health and co-occurring substance abuse treatment.
- C Psychiatric rehabilitation.
- C Life skills training.
- C Housing placement.
- C Vocational training.
- C Educational job placement.
- C Health care.
- C Gender-based services for women.
- C Trauma-specific services.

Included in this goal is the establishment of appropriate training for service providers to implement evidence-based practices. Also included in this goal is the expansion of services to improve access and quality of treatment to persons in racial/ethnic minority populations, as well as to persons in rural settings. Further, cultural competence among program providers should be fostered.

(2) **Create service linkages** between individuals and groups that serve the targeted population (e.g., mental health providers and criminal justice system personnel). The building of service networks will ensure that assessment and/or treatment will take place within the target service systems or via linkages to specialty mental health services. Required activities include:

- C Development of partnerships and coalitions among the mental health, substance abuse, and criminal justice systems to ensure greater services integration.

- c Specific linkages among key personnel in the mental health, criminal justice, and criminal justice systems who will promote the changing of environments of institutions and service systems to foster mental health.

(3) **Undertake community outreach** to communicate to the larger community the importance of mental health and the capacity of a well-executed criminal justice diversion program to serve persons with a mental illness. Required activities include:

- c Consensus-building among stake-holders and potential stake-holders for the adoption of evidence-based jail diversion services. The goal is to engage stakeholders and potential stakeholders in the development and implementation of coordinated services.
- c Ensure that services are accessible to the target population and that the community accepts the use of the services as beneficial.

(4) **Engage in program evaluation and dissemination** to demonstrate program outcomes and the quality and completeness of services implementation. In addition, Capacity Expansion Sites must supply data that comply with GPRA requirements for core client outcome measures (Appendix B). These data are to be collected at baseline and in years 1, 2, and 3 of the grant period. At minimum, an 80 percent response rate is expected at each data collection point. Funds may be used to purchase appropriate software and training for data collection, management, and analysis for program providers and the TAPA Center. Another important activity is the dissemination of program findings.

## Program Objectives for TAPA Center

The role of the TAPA Center is to work with the Capacity Expansion Site grantees, grantees from the Department of Justice Mental Health Court program, and other interested communities in planning, implementing, and evaluating individual jail diversion programs. Due to the technical sophistication required to coordinate and advise Capacity Expansion Sites, the TAPA Center must demonstrate at least 2 years of experience in providing technical assistance and conducting policy analysis in communities implementing jail diversion programs.

The objectives of the TAPA center are as follows:

- (1) Develop a framework for planning and implementing diversion programs in a manner that leads to the production of practical technical assistance technology that may aid future users in the field.
- (2) Develop plans for reactive technical assistance based on potential users' requests, and proactively identify and consult with those who may become technical assistance users.
- (3) Develop a joint technical assistance agenda in collaboration with the DOJ-designated Technical Assistance Center(s). Up to 25 percent of the overall TAPA Center budget will be dedicated to

serving DOJ Mental Health Court grantees and constituencies. The TAPA Center must also cooperate with DOJ Technical Assistance Center(s) in developing their technical assistance abilities for serving Capacity Expansion Site grantees and mental health constituents.

(4) Determine which types of knowledge application methodologies should be used to best serve the Capacity Expansion Sites, and with the range of other potential users in the field.

(5) Develop an analytic framework for conducting meta-analyses of planned evaluations by each site, and synthesize information regarding “best practices” and “lessons learned.”

(6) Plan and coordinate at least one annual meeting for diversion award sites for the purposes of planning, policy development, and technical assistance. Develop a role in this meeting for DOJ-funded Mental Health Court Technical Assistance Center(s).

(7) Collaborate with the Capacity Expansion Sites on policy analysis methodology to be used in determining necessary local policy change for implementation and sustenance of diversion programs.

(8) Provide guidelines for translating information gained through implementation of jail diversion programs into tools for policy development by potential users.

(9) Plan and develop an overall archival database containing the data from the three CMHS projects that are completed or are in the process of collecting data on jail diversion programs. Develop a guide for users who want to work with this database for further analyses.

(10) Develop plans for helping sites collect GPRA data in a manner that is likely to yield at least an 80% response rate. Develop a pooled format for summarizing the GPRA site data in terms of key variables from overall program results.

## **Detailed Information on What to Include in Your Application**

In order for your application to be complete and eligible, it must include the following in the order listed. Check off areas as you complete them for your application.

### **1. FACE PAGE**

Use Standard Form 424, which is part of the PHS 5161-1 (revised July 2000). See Appendix A in Part II of the GFA for instructions. In signing the face page of the application, you are agreeing that the information is accurate and complete. Be sure to specify whether you are applying for a *Capacity Expansion Site Award* or a *TAPA Center Award*.

## **2. ABSTRACT**

Your total abstract should be no longer than 35 lines. In the first five lines or less of your abstract, write a summary of your project that can be used in publications, reporting to Congress, or press releases, if your project is funded.

## **3. TABLE OF CONTENTS**

Include page numbers for each major section of your application and for each appendix.

## **4. BUDGET FORM**

Use Standard Form 424A, which is part of the PHS 5161-1 (revised July 2000). Fill out sections B, C, and E of the Standard Form 424A, which is part of the PHS 5161-1 (revised July 2000). Follow instructions in Appendix B of Part II of the GFA.

## **5. PROJECT NARRATIVE AND SUPPORTING DOCUMENTATION**

The **Project Narrative** describes your project. It consists of Sections A through E. These sections may not be longer than 30 pages total. More detailed information about Sections A through E follows #10 of this checklist.

- < **Section A** - Need for the Program
- < **Section B** - Implementation Plan
- < **Section C** - Evaluation Plan, Data Collection, and Analysis
- < **Section D** - Dissemination and Knowledge Use Plan
- < **Section E** - Project Management and Staffing Plan

**Supporting documentation** for your application should be provided in sections F through I. There are no page limits for these sections, except for Section G, the Biographical Sketches/Job Descriptions.

- < **Section F** - References. This section must contain complete citations, including titles and all authors, for any literature you cite in your application.
- < **Section G** - 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.

**NOTE:** Capacity Expansion Site applicants should include description of how the 25 percent non-federal share of funds will be used for service expansion.

< **Section H - Biographical Sketches and Job Descriptions**

C Include a biographical sketch for the project director and for other key positions. Each sketch should be no longer than **two pages**. If the person has not been hired, include a letter of commitment from him/her with the sketch.

C Include job descriptions for key personnel. They should be no longer than **one page**. *Sample sketches and job descriptions are listed in Item 6 in the Program Narrative section of the PHS 5161-1.*

< **Section I - Confidentiality and SAMHSA Participant Protection (SPP).** The seven areas you need to address in this section are outlined after the Project Narrative description in this document.

**6. APPENDICES 1 THROUGH 6**

< Use only the appendices listed below.

< Do not use appendices to extend or replace any of the sections of the Program Narrative unless specifically required in this GFA (reviewers will not consider them if you do).

< Do not use more than **30 pages** (plus all instruments) for the appendices.

**Appendix 1:** Letters or documentation of Coordination and Support of target program and program goals.

**Appendix 2:** Copy of letter(s) to the Single State Agencies (SSAs). Please refer to Part II.

**Appendix 3:** Attach a copy of any informed consent forms or informational script that will be read to individuals who will be included in any evaluation component of your grant. Consent forms should comply with instructions listed in the Section “Confidential and SAMHSA participant protection.”

**Appendix 4:** Applicants for the Capacity Expansion Site Awards must complete the Assurance form (see Appendix A of this application), as required by 520G of the Public Health Legislation. This form must be signed by the chief executive of a State, political subdivisions of States, Indian tribes, and tribal organizations.

**Appendix 5:** Applicants for the TAPA Center Award must provide documentation of at least 2 years of technical assistance and policy analysis experience (see “Who Can Apply” Section for details).

**Appendix 6:** Provide evidence of the capability, experience, and commitment of proposed consultants and subcontractors, including letters of commitment.

### **7. ASSURANCES**

Non- Construction Programs. Use Standard form 424B found in PHS 5161-1 (revised July 2000).

### **8. CERTIFICATIONS**

See Part II of the GFA for instructions.

### **9. DISCLOSURE OF LOBBYING ACTIVITIES**

Please see Part II of the GFA for lobbying prohibitions.

### **10. CHECKLIST**

See Appendix C in Part II of the GFA for instructions.

## **Project Narrative Review Criteria Instructions**

Sections A through E are the required components of the Project Narrative section of your application. They describe what you intend to do with your project. Below you will find detailed information on how to respond to sections A through E. Sections A through E may not be longer than 30 pages total.

Each of these sections has a point value attached to it.

- Ⓒ Your application will be reviewed against the requirements described in sections A through E.
- Ⓒ A peer review committee will assign a point value to your application based on how well you address each of these sections.
- Ⓒ The number of points after each main heading shows the maximum number of points a review committee may assign to that category.
- Ⓒ Bullet statements do not have points assigned to them; they are provided to invite attention to important areas within the criterion.

- C Reviewers will also be looking for evidence of *cultural competence*. SAMHSA defines cultural competence as a set of behaviors, skills, attitudes, and policies that promote awareness, acceptance, and respect for differences among people (see Appendix H for resources).

## **Project Narrative**

### **Review Criteria for Capacity Expansion Site Awards**

#### **Section A: Need for the Program (15 points)**

In this section, applicants should document the need for a jail diversion targeted capacity expansion grant by providing adequate information on the following:

- , Provide a rationale for implementing a jail diversion program within your community. Be sure to describe:
  - < Your community's existing program or system of care for addressing the needs of persons with a mental illness or co-occurring disorder who become involved with the criminal justice system.
  - < The inability of your community to fund a diversion program adequately without federal assistance.
  - < The unmet needs and service system gaps in the current system in your community.
  - < The potential adverse consequences of not implementing a jail diversion program.
- , Describe the target population for your program in terms of:
  - < Sociodemographic characteristics, including racial/ethnic minority composition.
  - < Population size and geographic distribution.
  - < Estimated number to be served by your proposed program.
- , Describe your organization's approach to addressing individuals from different age groups, sexual orientations, genders, cultural backgrounds, and languages.

#### **Section B: Implementation Plan (35 points)**

Applicants should describe the jail diversion that they will be implementing in their communities and provide information regarding the evidence supporting implementation of specific components of their program. Jail diversion programs should address the three activities that are required in a Targeted Capacity Expansion Grant: (1) expand the capacity, (2) create service linkages, and (3) undertake community outreach.

(1) Describe how a jail diversion program will **expand the capacity** to implement evidence-based services in your community.

, Describe the overall model of the diversion program you will be implementing using a logic model or flow chart for program activities (see Appendix C).

, Briefly describe the jail diversion program that you intend to initiate. Be sure to:

- < Describe approaches to jail diversion that have been documented as appropriate to your target population.
- < Provide the evidence base and rationale for the program that you propose to implement, including relevant literature citations.
- < Describe how the array of required treatment and social services (as outlined in the section labeled “Program Objectives for Capacity Expansion Site Awards”) will be integrated into your model.
- < Indicate the likely impact of the proposed program on the existing system. Be sure to include beneficial outcomes at both the individual and system level and any adverse effects that you may have to address.
- < Describe how your proposed program will increase access to mental health services to the target population.
- < Describe how the proposed program will address reductions of disparities in mental health services among racial/ethnic minorities.
- < Describe how your proposed program will address the needs of women through gender-specific services (see Appendix E).
- < Describe how your proposed program will integrate trauma-specific interventions (see Appendix F).
- < Provide a timeline for implementation of program services.

< Provide a plan for continuing the program activities after cessation of grant funds.

(2) Describe how a jail diversion program will **create service linkages** among individuals and groups that serve the targeted population (e.g., mental health providers, substance abuse providers, and criminal justice personnel).

, Describe how the mental health care, substance abuse treatment, and components of the criminal justice system will be integrated:

< Describe any strategic planning activities that will take place prior to integration.

< Describe social service partnerships and types of coalitions that will be fostered.

< Outline the responsibilities that different organizations involved in the program will take as they collaborate (e.g., linkages, shared activities, sole responsibilities, how individuals in each organization will work to collaborate with other agencies).

(3) Describe how your organization will undertake **community outreach and crisis intervention activities** to communicate to the larger community the importance of mental health and the capacity of well-executed jail diversion program.

, Describe planned community outreach activities, such as plans to increase community awareness of the need for the program and availability of new services.

, Describe plans to ensure that services are accessible to the target population:

< Describe how the target population will be identified, including eligibility criteria, screening tools, assessment measures, and outreach activities.

< Include plans for ensuring cultural appropriateness of the program, including measures taken towards trust-building for ethnic minorities and participation of culturally appropriate consumers and family representatives.

< Describe in detail how consumers will be included in the implementation and ongoing activities of your project (See Appendix G).

## **Section C: Evaluation Plan, Data Collection, and Analysis** **(15 points)**

In this section, applicants should provide a plan for conducting a process and outcomes evaluation of the implementation of their proposed programs and measuring client and systems level outcomes using data such as services use and GPRA core client outcome measures (see Appendix B). A report describing project outcomes is required for each year of Federal funding.

- , Summarize the plan for evaluating the proposed program. Identify outcome variables.
- , Provide specific evaluation questions to be examined and hypotheses to be tested if appropriate.
- , Describe the data collection plan, including:
  - < Sources of data.
  - < Data management and quality control.
  - < Training of records reviewers, as appropriate.
- , Discuss how service data and SAMHSA/CMHS GPRA core client outcomes (Appendix B) will be used to measure program outcomes. Examples of service data can include:
  - < Services provided.
  - < Clients served.
  - < Who provided services.
  - < Where services were provided.
  - < Plans to measure outcomes in the future (e.g., longitudinal data).
- , Describe the analytic methods to be used.
- , Indicate whether and/or how qualitative methods will be used.
- , Describe plans for monitoring and ensuring the fidelity of the implementation of the intervention.
- , Discuss how the target population and their families will participate and contribute to the data collection efforts and interpretation and dissemination of the findings.
- , Provide evidence that the proposed evaluation plan is sensitive to age, gender, sexual orientation, race/ethnicity, and other cultural factors related to the target population and, as appropriate, to the community to be served.

## **Section D: Dissemination and Knowledge Use Plan (15 points)**

Applicants should discuss their plans to disseminate the findings of their process and outcome evaluations of their proposed programs.

- , Describe plans to provide feedback to community stakeholders and constituencies on the process and outcome of the implementation of the program in a manner targeted to each constituency.
- , Describe plans for preparing interim and final reports, conference presentations, publications, and other means of disseminating the program findings.

- , Describe plans for collaborating with other sites with similar target populations or jail diversion program models.
- , Describe how representatives of the target population and their families will participate and contribute to the interpretation and dissemination of the findings.
- , Describe plans to disseminate findings to the appropriate source, which could be a financial partner in future years.

## **Section E: Project Management and Staffing Plan (20 points)**

Applicants must demonstrate their ability to carry out the proposed program activities in terms of staffing and management plans by providing the following:

- , Describe the qualifications and experience of the key personnel, including:
  - < Project director.
  - < Service providers.
  - < Evaluation personnel.
  - < Analytic and data management staff.
  - < Interviewers.
  - < Other key personnel.
- , Document the capability and experience of the applicant organization with similar projects and populations. Include a description of the project director's and key service providers' experience with implementing an integrated community-based system.
- , Provide evidence of the capability, experience, and commitment of proposed consultants and subcontractors, including letters of commitment (attach as Appendix 4).
- , Discuss how professional staff, target population, and family representatives will be recruited and trained as well as what strategies have been developed for retaining staff in programs. Describe in-service training for staff and consumer/family development.
- , Assign responsibility for specific tasks described in the evaluation plan for identified staff.
- , Demonstrate that the staff is reflective of or sensitive to the diversity of the target population; sensitive to age, gender, sexual orientation, race/ethnicity, and other cultural factors related to the target population; and, as appropriate, to the community to be served, including issues such as:

- < Proficiency of staff at all levels of the organization in the languages and cultures of the target population.
- < Provision of cultural competence training specific to the target community.
- < Availability of interpreters and translators trained in mental health prevention/treatment issues and terminology.

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

## **Project Narrative**

### **Review Criteria for TAPA Center**

#### **Section A: Need for the Program (15 points)**

In this section, applicants should document the need for a Technical Assistance and Policy Analysis (TAPA) Center.

- , What do you envision as the role of the TAPA Center for guiding jail diversion program sites? For guiding and working with other potential users?
  - < Document unmet needs and service system gaps that have been generated through statistical studies and reports on this topic, and “snowball needs” assessment.
  - < Include a review of communities that have tried to implement jail diversion programs, and whether they have been successful. Identify the elements of “success.”
- , Describe what knowledge may be gained from funding targeted capacity expansion sites for jail diversion.
  - < What types of policy developments may occur or may need to be addressed as a result of implementing a jail diversion program?
  - < Describe the potential adverse consequences of not implementing jail diversion programs.
  - < Indicate the likely impact of the activities of the TAPA Center on existing jail diversion services, policy changes, and the development of new diversion programs.

- < Discuss the technical assistance needs that you can identify as expressed by communities, organizations developing jail diversion programs, and needs that may arise when developing a new jail diversion program.

, Document that your organization has experience with providing technical assistance in jail diversion.

- < Describe your organization's experience in providing technical assistance and policy analysis to communities implementing jail diversion programs.
- < Describe the number of communities or organizations you have served.
- < Describe the types of technical assistance that you have provided, including consultations, written materials, site visits, and Web-based services, if applicable.
- < Describe the outcome evaluation of the technical assistance that you have provided (i.e., what was the impact on the program for which you were providing technical assistance).

## **Section B: Implementation Plan** **(35 points)**

Applicants should demonstrate the viability of their proposed program and the adequacy of their implementation plans by addressing the following:

- , Describe what types of technical assistance and policy analysis you will provide to Capacity Expansion Sites and other stakeholders.
  - < Provide the evidence base for technical assistance and policy analysis tools to be employed, including relevant literature citations.
  - < Describe how technical assistance will be designed to address the activities required by law for Capacity Expansion Sites (i.e., case management, assertive community treatment, vocational rehabilitation, etc.), including gender-specific services and trauma-specific services.
  - < Include rationale for decisions about the appropriateness of tools to the target population of stakeholders and potential stakeholders.
  - < Describe how the proposed program will address reduction of disparities in mental health services that now exist for racial/ethnic minorities.

- < Describe special steps to be taken by the TAPA Center to help communities address the needs of women through gender-specific services (see Appendix E).
  - < Describe how the proposed TAPA Center will help sites integrate trauma-specific services (see Appendix F) into the overall array of required services.
  - < Describe how the TAPA Center can help Capacity Expansion Sites develop plans to continue program activities after the termination of the grant.
- , Describe the type of agenda you will establish for the annual meeting that the TAPA Center will convene with the Capacity Expansion Sites.
- , Describe how you will establish a joint agenda with the Department of Justice Technical Assistance Center to serve Mental Health Court DOJ grantees.
- , Describe any community outreach activities that the TAPA Center may engage in, such as:
- < Plans to increase community awareness of the need for diversion programs and availability of new services.
  - < Plans to ensure that TAPA Center services are available to target stakeholders in mental health care.
  - < Public education programs to ensure community acceptance of Capacity Expansion Site programs.
  - < Plans to engage stakeholders.
  - < Development of a coalition.
- , Describe how linkages between the mental health care, substance abuse treatment, and criminal justice systems will be fostered through materials and training from the TAPA Center.
- , Provide a timeline for implementation of program services.
- , Describe plans for ensuring how stakeholders, including racial/ethnic groups and consumers, will be involved in designing the entire project process across the timeline (see Appendix G).

**Section C: Evaluation Plan, Data Collection, and Analysis  
(15 points)**

In this section, applicants should provide a plan for conducting a process evaluation of the implementation of their proposed program and provide a framework for coordinating the outcomes evaluation from the Capacity Expansion Site grants.

- , Summarize the plan for evaluating progress made by the TAPA Center, and describe how a TAPA Center “outcomes–related report” will be generated and available every 12 months.
- , Provide examples of specific evaluation questions to be examined across the Capacity Expansion Sites.
- , Describe the data collection plan for GPRA data and for other evaluation data that are site-specific, including:
  - < Sources of data.
  - < Data management and quality control.
  - < Training of records reviewers, as appropriate.
- , Describe the analytic methods to be used.
- , Indicate whether and/or how qualitative methods will be used.
- , Discuss how the persons from the target population and their families will participate and contribute to the data collection efforts, as well as interpretation and dissemination of the findings.
- , Provide evidence that the proposed evaluation plan is sensitive to age, gender, histories of trauma or physical and sexual abuse, sexual orientation, race/ethnicity, and other cultural factors related to the target population and to the community to be served.

## **Section D: Dissemination and Knowledge Use Plan (15 points)**

TAPA Center applicants should discuss how they will present their findings from process and outcome evaluations. Further, they should discuss how these findings may impact policy development activities and technical assistance activities.

- , Describe plans to provide feedback to community stakeholders on the process and outcomes of the implementation of the program in a manner targeted to each stakeholder.
- , Describe plans for preparing interim and final reports, conference presentations, publications, and other means of disseminating the program findings.
- , Describe plans to disseminate findings to the appropriate source (some of which could be financial partners for Capacity Expansion Sites in future years).

## **Section E: Project Management and Staffing Plan (20 points)**

Applicants must demonstrate their ability to carry out the proposed program activities in terms of staffing and management plans by providing the following:

- , Describe the qualifications and experience of the key personnel, including:
  - < Project director.
  - < Service providers.
  - < Evaluation personnel
  - < Analytic and data management staff.
  - < Interviewers.
  - < Other key personnel, such as consumers.
  
- , Document the capability and experience of the applicant organization with similar projects and populations. Include a description of the project director's and key service providers' experience with implementing an integrated community-based system.
  
- , Provide evidence of the capability, experience, and commitment of proposed consultants and subcontractors, including letters of commitment (attach as Appendix 6).
  
- , Describe the extent to which the staffing and management plans, project organization, and other resources are appropriate to carrying out all aspects of the proposed project.
  - < Be sure to address the adequacy of available resources (e.g., staffing and collaborating agencies, facilities, equipment)
  
- , Demonstrate that the staff is representative of, or sensitive to, the diversity of the target population; and sensitive to age, gender, sexual orientation, race/ethnicity, consumer representation, and other cultural factors related to the target population and, as appropriate, to the community.
  
- , Address personnel qualifications regarding the following factors, as appropriate:
  - < Proficiency of staff at all levels of the organization in the languages and cultures of the target population.
  - < Provision of cultural competence training specific to the target community.
  - < Availability of interpreters and translators trained in mental health prevention/treatment issues and terminology.
  - < Appropriate consumer staff.

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

## SAMHSA Participant Protection

You must address seven areas regarding SAMHSA participant protection in your supporting documentation. If one or all of the seven areas are not relevant to your technical assistance activities, you must document the reasons. No points will be assigned to this section.

This information will:

- 1) Reveal if the protection of participants is adequate or if more protection is needed.
- 2) Be considered when making funding decisions.

, Participants include consumers, consumer supporters, and other individuals or organizations that request technical assistance.

, Information collected as part of assessing or providing phone or on-site technical assistance should be addressed in this section. This includes issues of ensuring confidentiality of persons seeking technical assistance who may reveal personal information or facts about their organization while seeking advice. In addition, any information collected as part of the Evaluation Section of your grant application (Narrative Section E) should be addressed in this section.

Some projects may expose people to risks in many different ways. In completing this section of your application, you will need to:

- c Report any possible risks for participants in your technical assistance activities.
- c State how you plan to protect them from those risks.
- c Discuss how each type of risk will be dealt with, or why it does not apply to the technical assistance grant.

The following seven issues *must be discussed*:

1. Protection of Clients and Staff from Potential Risks

- c Identify and describe any foreseeable physical, medical, psychological, social, legal, or other risks or adverse affects.

- Ⓒ Discuss risks that are due to participation in the technical assistance activities.
- Ⓒ Describe the procedures that will be followed to minimize effects of or protect participants against potential risks, including risks to confidentiality.
- Ⓒ Give plans to provide help if there are adverse effects on participants.
- Ⓒ Where applicable, describe the referral processes used when callers (either individuals or organizations) request or seek advice on treatment, both in emergency and non-emergency situations, or advice on other sensitive situations.

## 2. Fair Selection of Participants

- Ⓒ Describe the target population(s) for the proposed technical assistance activities. Include age, gender, racial/ethnic background, or other special population groups.
- Ⓒ Explain the reasons for using special types of participants, such as people with mental disabilities, people in institutions, or others.
- Ⓒ Explain the reasons for including or excluding participants in your evaluation or when providing technical assistance.

## 3. Absence of Coercion

- Ⓒ Explain if participation in the technical assistance activities, including the evaluation, is voluntary or required.
- Ⓒ State how volunteer participants will be told that they may receive assistance even if they do not wish to participate in the evaluation.
- Ⓒ Further, state how participants will be told that they will be allowed to discontinue receiving technical assistance without repercussions.

## 4. Data Collection

- Ⓒ Identify from whom you will collect data (e.g., consumers, consumer supporters, consumer organizations, consumer supporter organizations, and individuals who call your TA Center). Explain how you will collect data. For example, will you use a brief survey for phone and on-site technical assistance, or use other sources?

## 5. Privacy and Confidentiality

C List how you will ensure privacy and confidentiality related to technical assistance activities, as well as any information shared by telephone callers, such as personal information or facts about their organization, while seeking advice. Include who will collect data and how it will be collected.

C Describe:

- < Where data will be stored.
- < Who will or will not have access to information.
- < How the identity of participants will be kept private (e.g., by using a coding system on data records, limiting access to records, or storing identifiers separately from data).

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

## 6. Adequate Consent Procedures

- < List what information will be given to people who participate in data collection for the project. Include the type and purpose of their participation. Include how the data will be used and how you will keep the data private.

NOTE: If the technical assistance activities pose potential physical, medical, psychological, legal, social, or other risks, you should get written, informed consent.

- < Indicate whether you will get informed consent from participants (or, as applicable, their legal guardian.) Describe how the consent will be documented. For example: Will you read the consent forms? Will you ask prospective participants questions to be sure they understand the forms? Will you give them copies of what they sign?
- < Include sample consent forms in the Participant Protection Section of your application, titled "Sample Consent Forms." If needed, give English translations.

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

## 7. Risk/Benefit Discussion

Discuss why the risks are reasonable when compared with expected benefits and importance of the knowledge from the technical assistance activities.