

**DEPARTMENT OF HEALTH AND HUMAN SERVICES**

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

**Guidance for Applicants (GFA) No. TI 02-006  
Part I - Programmatic Guidance**

**Development of Comprehensive Drug/Alcohol and Mental  
Health Treatment Systems for Persons Who Are Homeless**

**Short Title: Treatment for Homeless**

**Application Due Date:  
June 19, 2002**

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Date of Issuance: April 2002

Catalog of Federal Domestic Assistance (CFDA) No. 93.243  
Authority: Section 506 of the Public Health Service Act, as amended,  
and subject to the availability of funds

GRTHOM

## Table of Contents

**[Note to Applicants: To prepare a complete application, PART II - “General Policies and Procedures Applicable to all SAMHSA Applications for Discretionary Grants and Cooperative Agreements” (February 1999), must be used in conjunction with this document, PART I - “Programmatic Guidance.”]**

Agency .....	1
Action and Purpose .....	1
Who Can Apply .....	1
Application Kit .....	2
Where to Send the Application .....	2
Application Dates .....	3
How to Get Help .....	3
Background .....	3
Target Population .....	4
Developing Your Grant Application .....	5
Funding Restrictions .....	6
Funding Criteria .....	6
Reporting/Evaluation Requirements .....	7
Post Award Requirements .....	9
Detailed Information on What to Include in your Application .....	9
Project Narrative/Review Criteria - Sections A through E Highlighted .....	11
Confidentiality and SAMHSA Participant Protection .....	15
Special Considerations and Requirements .....	17
Appendices:	
Appendix A—Changing the Conversation: Improving Substance Abuse Treatment: The National Treatment Plan Initiative (NTP) .....	19
Appendix B—CSAT’s GPRA Strategy .....	20
Appendix C—CSAT’s Core Client Outcomes .....	28
Appendix D - Definitions .....	34

## Agency

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

## Action and Purpose

The Substance Abuse and Mental Health Services Administration (SAMHSA), Center for Substance Abuse Treatment (CSAT) announces the availability of fiscal year (FY) 2002 funds for grants to enable communities to expand and strengthen their treatment services for homeless individuals with substance abuse disorders, mental illness, or with co-occurring substance abuse disorders and mental illness.

Approximately \$9.0 million will be available to fund 15 to 17 grants. The average award is expected to range from \$450,000 to \$600,000 per year in total costs (direct and indirect). Grants will be awarded for a period of up to 3 years. Annual awards will be made subject to continued availability of funds and progress achieved by the grantee.

This is a reissuance with substantive modifications of SAMHSA/CSAT's FY 2001 Guidance for Applicants, No. TI 01-006 (*Cooperative Agreements for the Development of Comprehensive Drug and Alcohol Treatment Systems for Homeless Persons*; Short Title: *Addictions Treatment for Homeless*).

## Who Can Apply

Pursuant to Section 506 of the Public Health Service Act, eligible entities are community-based public and private nonprofit entities. Community-based public entities are those public entities located in the community and would include tribal and local governments that provide community-based services. Private nonprofit entities include community-based and faith-based organizations. States are not eligible to apply.

Applicants need not be direct providers of substance abuse treatment or mental health services. Eligible applicants also include providers of:

- c homeless services
- c primary health care
- c housing
- c other closely linked services for persons with substance abuse, mental illness, or co-occurring disorders

SAMHSA/CSAT believes that only existing, experienced providers with demonstrated infrastructure and expertise will be able to provide required services quickly and effectively.

The applicant agency and all direct providers of substance abuse and mental health services involved in the proposed system **must** be in compliance with all local, city, county and/or State requirements for licensing, accreditation, or certification.

The applicant, if a direct provider of substance abuse treatment or mental health services, and any direct providers of substance abuse

treatment or mental health services involved in the proposed system, **must** have been providing treatment services for a minimum of two years prior to the date of the application.

Two-year experience/licensure/accreditation/certification documentation as well as a list of all substance abuse treatment and mental health services providers included in the proposed project must be provided in Appendix 1 of the application. For **proof of two years experience and licensing**, you may include copies of **licenses** for this period or a copy of your **Articles of Incorporation**. (An example are copies of an organization's prior and current year operator's licenses, i.e., (1) Issue Date: 5/1/2000, Expiration Date: 4/30/2001, (2) Issue Date: 5/1/2001, Expiration Date: 4/30/2002.)

If the applicant is not a direct provider of substance abuse treatment or mental health services, the applicant must document a commitment from a substance abuse treatment or mental health provider to participate in the proposed project. This information must be put in Appendix 2 (Letter of Coordination and Support/ Memoranda of Understanding) of the application.

Applications will be screened by SAMHSA prior to review. Applicants that do not meet the above requirements will not be reviewed.

## **Application Kit**

SAMHSA application kits include the two-part grant announcement (also called the Guidance for Applicants or "GFA") and the blank application form (PHS 5161-1) needed to

apply for a grant.

The GFA has two parts:

Part I - provides information specific to the grant. 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.

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

- c Call the National Clearinghouse for Alcohol and Drug Information (NCADI) at 1-800-729-6686, or
- c Download the application kit from the SAMHSA web site at: [www.SAMHSA.gov](http://www.SAMHSA.gov). Be sure to download both parts of the GFA.

## **Where to Send the Application**

Send the original and 2 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:

- c Use application form PHS 5161-1. Be sure to type the following in item No. 10 on the face page of the application: TI 02-006 Treatment for Homeless.
- c If you require a phone number for delivery you may use (301) 435-0715.
- c Effective immediately, all applications **must** be sent via a recognized commercial or government carrier. Hand-carried applications will not be accepted.

## Application Dates

Your application must be received by June 19, 2002.

Applications received after June 19, 2002, will only be accepted if they have a proof-of-mailing date from the carrier before June 12, 2002. Private metered postmarks are not acceptable as proof of timely mailing. Late applications will be returned without review.

SAMHSA/CSAT anticipates making awards by September 30, 2002.

## How to Get Help

For questions on program issues, contact:

Joanne C. Gampel, M.A.  
CSAT/SAMHSA  
Rockwall II, 7<sup>th</sup> Floor

5600 Fishers Lane  
Rockville, MD 20857  
(301) 443-7945  
E-Mail: [jgampel@samhsa.gov](mailto:jgampel@samhsa.gov)

For questions on grants management issues, contact:

Steve Hudak  
Division of Grants Management  
OPS/SAMHSA  
Rockwall II, 6<sup>th</sup> floor  
5600 Fishers Lane  
Rockville, MD 20857  
(301) 443-9666  
E-Mail: [shudak@samhsa.gov](mailto:shudak@samhsa.gov)

## Background

Although current data provide varying estimates of the prevalence of substance abuse and mental illness among America's homeless, a reasonable estimate of the magnitude of the problem can be made.

- c On any given night, upwards of 600,000 persons are homeless.
- c As many as half of homeless adults have histories of alcohol abuse or dependence and one-third have histories of drug abuse.
- c Approximately 20-25 percent of homeless adults have lifetime histories of serious mental illness, and between 10-20 percent of these have a co-occurring substance abuse disorder.
- c Persons with substance abuse disorders have an elevated risk for homelessness and for being homeless for long periods.
- c Persons who are homeless have an elevated risk of infectious diseases associated with drug use, such as

HIV/AIDS and hepatitis.

The Treatment for Homeless program implements the Congressional directive in the FY 2002 Appropriations Conference Report language for grants to develop and expand mental health and substance abuse treatment services for homeless individuals as authorized by section 506 of the Public Health Service Act. The intent of this section is to permit grants to be made to projects which provide either mental health services, substance abuse services, or services in both fields.

Other SAMHSA activities related to this program include:

- c The Center for Mental Health Services (CMHS) Projects for Assistance in Transition from Homelessness (PATH). This is a formula grant program that supports service delivery to individuals with serious mental illnesses and/or co-occurring substance use disorders who are homeless or at risk of becoming homeless.
- c CMHS/CSAT's Homeless Families Program. The purpose of this program is to evaluate interventions that target homeless mothers with psychiatric, substance use, or co-occurring disorders, who are caring for their dependent children.

This program addresses two key elements of "Changing the Conversation: Improving Substance Abuse Treatment: The National Treatment Plan Initiative" (NTP), released by SAMHSA/CSAT on November 28, 2000. It addresses NTP Strategy "No Wrong Door" To Treatment by developing and implementing programs that support appropriate assessment,

referral, and treatment in all systems serving the homeless population with substance abuse and dependence problems. This program also addresses NTP Strategy "Build Partnerships" by promoting collaboration among disparate human services that focus on the homeless population with substance abuse and dependence problems.

For additional information about the NTP and how to obtain a copy, see Appendix A in this document.

## Target Population

To ensure that the program serves homeless people with critical needs, the target population is homeless persons who have a diagnosable substance abuse disorder, diagnosable mental illness, or a co-occurring substance abuse disorder and mental illness. This population includes single adults, families, veterans, and runaway and street youth with long or multiple episodes of homelessness.

For this program, "homeless" is defined as 1) literally homeless at the time of program admission, 2) history of homelessness (six months or longer over the past two years, or for shorter periods, three or more times over the past two years), or 3) at imminent risk of homelessness.

"Homeless" persons are those who lack a fixed, regular, and adequate nighttime residence, including persons whose primary nighttime residence is:

- c a supervised public or private shelter designed to provide temporary living accommodations,

- c a time-limited/nonpermanent transitional housing arrangement for individuals engaged in mental health and/or substance abuse treatment, or
- c a public or private facility not designed for, or ordinarily used as, a regular sleeping accommodation.

“Homeless” also includes “doubled-up” – a residential status that places individuals at imminent risk for becoming homeless – defined as sharing another person’s dwelling on a temporary basis where continued tenancy is contingent upon the hospitality of the primary leaseholder or owner and can be rescinded at any time without notice.

## **Developing Your Grant Application**

Applicants must demonstrate a thorough understanding of the current knowledge and practices in the identification and treatment of homeless people with substance abuse disorders, mental illness, and/or co-occurring substance abuse and mental disorders.

Applicants must state if their proposed intervention approach is an evidence-based practice, best practice, or promising practice (see Appendix D. Definitions). Applicants must also demonstrate that their proposed intervention is culturally competent. Proposed interventions should be supported by evidence from current research or from locally conducted evaluations. Proposed interventions building on the applicant’s currently provided services must be clearly supported by local evaluation data and based on sound theory regarding treatment for this population.

Funds must be used to provide substance abuse treatment and/or mental health services. Funds may also be used to promote entry to and maintenance in stable housing or educate the community about homelessness. Examples of allowable activities in each of these areas are provided below.

### **Substance Abuse Treatment and/or Mental Health Services Activities**

- c Strengthen or expand an existing substance abuse treatment and/or mental health services program to include persons who are homeless.
- c Provide substance abuse treatment and/or mental health services to persons participating in homeless programs.
- c Provide substance abuse treatment and/or mental health services and related supportive services to maintain persons in stable housing.
- c Develop referral linkages with community service providers to create a “no wrong door” approach for accessing substance abuse and mental health treatment and services for their clients.
- c Promote immediate entry to substance abuse treatment and/or mental health services by increasing treatment capacity where gaps exist.
- c Enable participation in substance abuse treatment and/or mental health services by providing wrap-around services such as transportation or child care.

### **Housing Access and Stability**

- C Link persons who are homeless with substance abuse and/or mental illness to housing and promote residential stability.
- C Build linkages among substance abuse treatment providers and/or mental health service providers, housing providers, and homeless service providers.
- C Purchase groceries or household supplies and pay utility bills, on an emergency or short term basis, that are necessary to enable a person to remain housed.

### **Education Activities**

- C Educate individuals on how to refer persons who are homeless to appropriate substance abuse treatment and/or mental health services.
- C Train direct care providers and others in the system serving the target population about provision of substance abuse treatment and/or mental health services to persons who are homeless.

Applicants should describe the treatment, services, and housing resources within the community where the proposed project will be conducted. They should also describe the roles of participating organizations, how they will support the proposed project, and include letters of commitment from participating and coordinating organizations. Examples of treatment, services, and support include, but are not limited to:

- C services that meet basic needs for food,

- shelter, and safety;
- C substance abuse treatment;
- C mental health services;
- C co-occurring disorders treatment;
- C street outreach and engagement;
- C systems integration activities;
- C primary health care;
- C case management and other services linking system components;
- C community focused educational and preventive efforts;
- C school-based activities such as School Based Health Care programs or Student Assistance Programs;
- C faith-based organizational support;
- C health education and risk reduction information;
- C access and referrals to STD and TB testing;
- C linkages with the justice system; and
- C linkages with recovery services.

### **Funding Restrictions**

Grant funds may not be used to:

- C Pay for housing (other than residential substance abuse treatment and/or residential mental health programs).
- C Carry out syringe exchange programs, such as the purchase and distribution of syringes and/or needles.
- C Pay for pharmacologies for HIV antiretroviral therapy, STDS, TB and hepatitis B and C.

### **Funding Criteria**

Decisions to fund a grant are based on:

1. The strengths and weaknesses of the application as judged by a peer review committee.
2. Concurrence of the CSAT National Advisory Council.
3. Availability of funds.
4. Geographic distribution. It is SAMHSA/CSAT's intent to ensure the broadest distribution of "Treatment for Homeless" funds across the United States as possible. Therefore, the number of awards to applicants from any one State may be limited in order to ensure that applicants from States with few or no grant awards will also have an opportunity to receive funding for proposed projects deemed worthy of funding via the peer and National Advisory Council review processes.
5. Evidence of non-supplantation of funds.
6. In compliance with the authority for this program, Sec. 506 of the Public Health Service Act, in making award decisions, SAMHSA will give preference to entities that provide integrated primary health, substance abuse, and mental health services to homeless individuals, and to entities that have experience in providing substance abuse and mental health services to homeless individuals.

## **Reporting/Evaluation Requirements**

There are two evaluation components for this announcement: GPRA and a local evaluation.

### **Government Performance and Results Act (GPRA)**

The Government Performance and Results Act (GPRA) mandates accountability and performance-based management by Federal agencies, focusing on results or outcomes in evaluating effectiveness of Federal activities and on measuring progress toward achieving national goals and objectives. Grantees must comply with GPRA data collection and reporting requirements, including the collection of CSAT Core Client Outcomes (see Appendix C). Appendix B contains a detailed description of CSAT's GPRA strategy.

CSAT GPRA requirements include data collection about service recipients at baseline/intake, six months after intake, and twelve months after intake. Grantees are expected to collect baseline GPRA data on all persons served through the grant, and six and twelve month data on a minimum of 80% of all clients in the intake sample. Applicants should consider this requirement when preparing the evaluation budget section of the application.

Applicant experience may indicate that the use of modest incentives will be necessary to achieve the required 80 percent response rate for each client follow-up interview. In such cases, the maximum allowable incentive is \$20 or equivalent (e.g., coupons, bus tokens, etc.) per follow-up interview.

CSAT's GPRA Core Client Outcome domains are:

**Ages 18 and above:** Percent of service recipients who: have no past month substance abuse; have no or reduced alcohol or illegal drug consequences; are permanently housed in the community; are employed; have no or reduced involvement with the criminal justice system; and have good or improved health and mental health status.

**Ages 17 and under:** Percent of service recipients who: have no past month use of alcohol or illegal drugs; have no or reduced alcohol or illegal drug consequences; are in stable living environments; are attending school; have no or reduced involvement in the juvenile justice system; and have good or improved health and mental health status.

Applicants must clearly state which service population they propose to address: Adults (18 years and older) or adolescents and children (17 years and younger), and express their understanding of the GPRA measures to be tracked and collected.

## Local Evaluation

In addition to GPRA requirements, grantees must conduct a local evaluation to determine the effectiveness of the project in meeting its specific goals and objectives. The local evaluation should be designed to provide regular feedback to the project to help the project improve services. The local evaluation must incorporate but should not be limited to GPRA requirements. Because different programs will differ in their target populations, services, systems linkages, and desired service outcomes, no single evaluation plan or design will apply to all applicants. Experimental or rigorous quasi-experimental evaluation designs

are NOT required. In general, the applicant's local evaluation plan should include three major components:

- c Implementation fidelity, addressing issues **such as:** How closely did implementation match the plan? What types of deviation from the plan occurred? What led to the deviations? What impact did the deviations have on planned intervention and evaluation?
- c Process, addressing issues **such as:** Who provided (program, staff) what services (modality, type, intensity, duration) to whom (client characteristics) in what context (system, community, political climate) at what cost (facilities, personnel, dollars)?
- c Outcome, addressing issues **such as:** What was the effect of treatment or services on the participants? What program/contextual factors were associated with outcomes? What client factors were associated with outcomes? How durable were the effects?

Longitudinal client level data to be gathered in the local evaluation should meet the same follow-up rate standard (minimum of 80%) required for GPRA.

The applicant's evaluation plan must describe approaches to comply with GPRA requirements and to conduct the local evaluation, and must contain an agreement to participate in all technical assistance and training activities designed to support GPRA and other evaluation requirements.

The evaluation plan should address the appropriateness of the evaluation approaches and instruments for the cultures, genders, and ages of the target population, and should include the integrated use of quantitative and qualitative data.

CSAT has developed a variety of evaluation tools and guidelines that may assist applicants in the design and implementation of the evaluation. These materials are available for free downloads from:  
<http://neds.calib.com>.

## **Reports**

Grantees must submit **quarterly progress reports** and a **final report**. CSAT program staff will use this information to determine progress of the grantees toward meeting their goals.

## **Post-Award Requirements**

SAMHSA/CSAT will provide post award support to grantees through technical assistance on clinical, programmatic, and evaluation issues; data collection, analysis, and interpretation; and development of reports, products, and publications.

Grantees will be required to attend (and, thus must budget for) two technical assistance meetings in the first year of the grant, and two meetings in each of the remaining years. Each meeting will be two days. A minimum of two persons (Program Director and Program Evaluator) are expected to attend. Consumers are encouraged to attend. These meetings will usually be held in the Baltimore/ Washington, DC, area.

Grantees will be responsible for ensuring that all direct providers of services involved in the proposed system are in compliance with all local, city, county, and/or State licensing, certification, or accreditation requirements.

The applicant must notify the Single State Agency within 30 days of receipt of an award.

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

For your application to be complete, 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. See Appendix A in Part II of the grant announcement for instructions. In signing the face page of the application, you are agreeing that the information is accurate and complete.

### **' 2. ABSTRACT**

Your total abstract may not be longer than 35 lines. In the first 5 or less lines of your abstract, write a summary of your project that can be used in publications, reporting to Congress, or press releases, if funded.

### **' 3. TABLE OF CONTENTS**

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

### **' 4. BUDGET FORM**

Fill out sections B, C, and E of the Standard

Form 424A which is part of the PHS 5161-1. See Appendix B in Part II of the grant announcement for instructions.

**5. PROJECT NARRATIVE/  
REVIEW CRITERIA AND  
SUPPORT DOCUMENTATION**

The Project Narrative/Review Criteria describes your project. It is made up of Sections A through E. More detailed information regarding A-E follows #10 of this checklist. Sections A-E may not be longer than 25 pages. **Applications exceeding 25 pages for Sections A-E will not be reviewed.**

**Section A - Project Narrative/  
Review Criteria:**  
Project Description/Justification of Need

**Section B - Project Narrative/  
Review Criteria:**  
Project Plan

**Section C - Project Narrative/  
Review Criteria:**  
Evaluation/Methodology

**Section D - Project  
Narrative/Review Criteria:**  
Project Management: Implementation Plan,  
Organization, Staff, Equipment/Facilities,  
and Other Support

**Section E - Project Narrative/  
Review Criteria:**  
Effectiveness and Experience

**The supporting documentation for your application is made up of the following sections F through I. There are no page limits for the Supporting Documentation sections, except for Section H, the Biographical Sketches/Job Descriptions.**

**Section F - Supporting  
Documentation:**  
Literature Citations

This section must contain complete citations, including titles and all authors, for any literature you cite in your application.

**Section G - Supporting  
Documentation:**

Budget Justification, Existing Resources, Other Support

You must provide a narrative justification for the items included in your proposed budget as well as a description of existing resources and other support you expect to receive for the proposed project.

### **Section H - Supporting**

#### **Documentation:**

Biographical Sketches and Job Descriptions

Include a biographical sketch for the project director and for other key positions. Each sketch should not be longer than 2 pages. If the person has not been hired, but has been identified, include a letter of commitment and biographical sketch from the individual.

Include job descriptions for key personnel. They should not be longer than 1 page each.

[Note: Sample sketches and job descriptions are listed in Item 6 in the Program Narrative section of the PHS 5161-1.]

### **Section I - Supporting**

#### **Documentation:**

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**

- c Use only the appendices listed below.
- c Don't use appendices to extend or replace any of the sections of the Project Narrative/Review Criteria.
- c **Don't** use more than **30 pages** (plus all instruments) for the appendices.

#### **Appendix 1:**

List of substance abuse treatment and mental health service providers participating in the project; evidence that providers have two years experience; and documentation of compliance with licensing, accreditation, and/or certification requirements.

#### **Appendix 2:**

Letters of Coordination and Support/  
Memoranda of Understanding

#### **Appendix 3:**

Non-supplantation of Funds Letter

#### **Appendix 4:**

Letters to Single State Agency (SSA)

#### **Appendix 5:**

Data Collection Instruments/Interview  
Protocols

#### **Appendix 6:**

Sample Consent Forms

#### **' 7. ASSURANCES**

Non-Construction Programs. Use Standard form 424B found in the PHS 5161-1.

#### **' 8. CERTIFICATIONS**

See PHS 5161-1 for instructions.

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

See Part II of the grant announcement for lobbying prohibitions.

‘ **10. CHECKLIST**

See Appendix C in Part II of the grant announcement for instructions.

## **Project Narrative/Review Criteria – Sections A Through E Highlighted**

Your application consists of sections A through I. Sections A through E, the project narrative/review criteria parts of your application, 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 25 pages. **Applications that exceed this limitation will not be reviewed.**
- / A peer review committee will assign a point value to your application based on how well you address these sections.
- / In the description below, the number of points after each section heading shows the maximum points a review committee may assign. For example, a perfect score for Section A will result in a rating of 15 points.
- / Bullet statements do not have points assigned to them; they are provided to draw attention to important areas within the criterion.
- / Reviewers will be instructed to review and evaluate each relevant criterion in relation to cultural competence. Points will be deducted from applications that do not adequately address the cultural aspects of the criteria. See Appendix D in Part II of the grant announcement for guidelines for

applicants and peer reviewers that will be used to assess cultural competence.

**Section A:  
Project Description and Justification  
of Need (15 points)**

- ' State the geographic area where services will be provided. Describe the local problem, identify gaps in the system that the proposal intends to address, and document the extent of the need. Documentation may come from a variety of qualitative and quantitative sources. The quantitative data could come from locally generated data or trend analyses, from State data such as that available through State Needs Assessments, and/or through national data such as that available from SAMHSA's National Household Survey on Drug Abuse (NHSDA), Drug Abuse Warning Network (DAWN), Drug and Alcohol Services Information System (DASIS) which includes the Treatment Episode Data Set (TEDS), Substance Abuse and Mental Health Statistics Source Book, or Health United States, 2000. Examples of qualitative data are: public testimony, newspaper articles, and interviews with stakeholders and consumers.
- ' Provide a thorough description of the community resources now in place to serve the target population. Describe how these resources are organized and coordinated. Also describe the availability and accessibility of substance abuse and mental health treatment services. Descriptions should include:

- c service linkages (e.g., primary care),

- c housing availability,
- c availability and accessibility of services, and
- c treatment and services gaps.

- ' Define the target population to be served, in terms of demographic characteristics, clinical characteristics, and homeless status. Describe how clients will be assessed to determine homelessness. If proposing to serve persons "at imminent risk" of homelessness, explain how risk will be defined and determined. Provide justification for any exclusions under SAMHSA's Population Inclusion Requirement (**see Part II of the grant announcement**).
- ' Clearly state the purpose of the proposed project. Provide quantifiable goals and objectives for services in terms of the numbers of individuals to be served, types and numbers of services to be provided, and outcomes to be achieved.
- ' Present a literature review and other information that demonstrates a thorough understanding of the current knowledge in serving persons in the proposed target population.

**Section B:  
Project Plan (35 points)**

- ' Describe the proposed project. Describe how funds will be used to improve, expand, coordinate, or develop substance abuse, mental health, and/or co-occurring treatment services for persons who are homeless.

' Document that the proposed intervention approach is **one** of the following:

C an evidence-based practice,

C a best practice, or

C a promising practice, and

is consistent with the purpose of this announcement. Provide literature support and other appropriate documentation (see Appendix D. Definitions).

' Document how persons receiving substance abuse, mental health, and/or co-occurring treatment services will receive appropriate assessment, determination of level-of-care, and effective treatment.

' Document how substance abuse, mental health, and/or co-occurring treatment services will be effectively linked with programs that provide transitional or permanent housing.

' Document how the basic needs of service recipients for shelter, food, and safety will be met.

' Where relevant, document the ability of the system to move clients from one treatment system component to another with no gap in service (e.g., from inpatient detox to outpatient).

' Discuss age, race/ethnic, cultural, language, sexual orientation, disability, literacy, and gender issues relative to the target population, and how the project will address these issues.

' Describe how client and program information will be coordinated and client

services will be tracked through the treatment and service network. Describe the current and proposed information systems and their compatibility for communication across sites and agencies.

' Describe the involvement of members of the target population and/or their advocates in the design and implementation of the proposed project.

### **Section C:**

#### **Evaluation/Methodology (15 points)**

' Describe plans to comply with GPRA requirements, including the collection of CSAT's GPRA Core Client Outcomes.

' Describe any prior experience in conducting follow-up client interviews, use and effect (if any) of incentives in the prior activities, and the specific methods (including incentives) to achieve an 80% response rate for the follow-up interviews.

' Describe the local evaluation plan, including plans to assess implementation fidelity, process, and client outcome, to ensure the cultural appropriateness of the evaluation, to integrate the local evaluation with GPRA requirements, and to meet the 80% follow-up requirement. Describe plans for data management, data processing and clean-up, quality control and data retention. Describe plans for data analysis and interpretation.

' Describe plans for using interim evaluation findings to improve the quality of services.

' Document the appropriateness of the proposed approaches to gathering

quantitative and qualitative data on the target population. Address not only reliability and validity but sensitivity to age, gender, language, sexual orientation, culture, literacy, disability and racial/ethnic characteristics of the target population.

- ' Describe plans for reporting and disseminating the project's findings.
- ' Describe plans for including members of the target population and/or their advocates in the design and implementation of the evaluation and in the interpretation of findings.
- ' State agreement to participate in all technical assistance and training activities designed to support GPRA and other evaluation requirements.

**Section D:  
Project Management: Implementation  
Plan, Organization, Staff,  
Equipment/Facilities, and Other  
Support (30 points)**

- ' Demonstrate the capability of the applicant organization, its commitment to serving the target population, and its experience with similar projects and populations, including current or past participation in homeless programs supported by foundations, Federal government, or other sources.
- ' Provide a staffing plan, including the level of effort and qualifications of the Project Director, Evaluator, and other key personnel.
- ' Present a management plan for the project,

including any sub-contractual arrangements proposed; describe the organizations that have committed to be involved in the project; present their roles in the project; and address their relevant experience.

[Letters of Coordination and Support/Memoranda of Understanding (outlining services to be provided, level and intensity of resources committed) from participating and coordinating organizations should be included in Appendix 2 of the application].

- ' Present a time line for implementing the project, and demonstrate that the project can be fully operational within four months.
- ' Describe the resources available (e.g., facilities, equipment); provide evidence that services will be provided in locations and facilities that are adequate, accessible, ADA compliant, and conducive to serving the target population.
- ' Provide evidence that the proposed staff has requisite training, experience, and cultural sensitivity to provide services to the target population. Show evidence of the appropriateness of the proposed staff to the language, age, gender, sexual orientation, disability, literacy, and ethnic, racial, and cultural factors of the target population.
- ' Provide evidence that required resources not included in the Federal budget request are adequate and accessible.
- ' Provide evidence that SAMHSA/CSAT funds will complement or leverage funds from other sources.

- ' Provide a plan to secure resources or obtain support to continue activities funded by this program at the end of the period of Federal funding.

**Section E:  
Effectiveness and Experience (5 points)**

Under Section 506(b) of the Public Health Service Act, the Secretary shall give preference to entities that demonstrate effectiveness in serving certain populations or experience in providing certain services.

- ' Present evidence that demonstrates your effectiveness in serving run-away, homeless, and street youth.
- ' Present evidence that demonstrates your effectiveness in serving homeless veterans.
- ' Describe your experience in providing housing for individuals in treatment for or in recovery from mental illness or substance abuse.

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

**Confidentiality and SAMHSA Participant Protection (SPP)**

The CSAT Director has determined that grants awarded under this announcement must meet SAMHSA Participant Protection requirements.

You must address 7 areas regarding confidentiality and participant protection in your supporting documentation. (**Note: Part II of the grant announcement provides additional information re confidentiality.**) There are no page limitations, and no points will be assigned to this section.

This information will:

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

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

- C Report any possible risks for people in your project.
- 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 project.**

The following 7 issues must be discussed:

- Ø Protect Clients and Staff from Potential Risks:
- C Identify and describe any foreseeable physical, medical, psychological, social, legal, or other risks or adverse effects.
- C Discuss risks which are due either to participation in the project itself, or to the evaluation activities.

c Describe the procedures that will be followed to minimize or protect participants against potential health or confidentiality risks. Make sure to list potential risks in addition to any confidentiality issues.

c Give plans to provide help if there are adverse effects to participants, if needed in the project.

c Where appropriate, describe alternative treatments and procedures that might be beneficial to the subjects.

c Provide reasons if you do not decide to use other beneficial treatments.

#### U Fair Selection of Participants:

c Describe the target population(s) for the proposed project. Include age, gender, racial/ethnic background. Address other important factors such as, foster children, children of substance abusers, or other special population groups.

c Explain the reasons for including or excluding special types of participants, such as pregnant women and teens, mentally or physically disabled homeless people, or others who are likely to be vulnerable.

c Explain how you will recruit and select participants. Identify who will select participants.

#### U Absence of Coercion:

c Explain if participation in the project is voluntary or required. Identify possible

reasons why it is required. For example, court orders requiring persons who are homeless to participate in a program.

c If you plan to pay participants, state how participants will be awarded money or gifts.

c State how volunteer participants will be told that they may receive services and incentives even if they do not complete the study.

#### U Data Collection:

c Identify from whom you will collect data. For example, participants themselves, family members, teachers, others. Explain how you will collect data and list the site. For example, will you use school records, interviews, psychological assessments, observation, questionnaires, or other sources?

c Identify what type of specimens (e.g., urine, blood) will be used, if any. State if the material will be used just for evaluation and research or if other use will be made. Also, if needed, describe how the material will be monitored to ensure the safety of participants.

c Provide in **Appendix No. 5**, "Data Collection Instruments/Interview Protocols," copies of all available data collection instruments and interview protocols that you plan to use.

#### U Privacy and Confidentiality:

c List how you will ensure privacy and confidentiality. Include who will collect data

and how it will be collected.

C Describe:

- How you will use data collection instruments.
- Where data will be stored.
- Who will or will not have access to information.
- How the identity of participants will be kept private. For example, through the use of 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.

Y Adequate Consent Procedures:

C List what information will be given to people who participate in 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.

C State:

- If their participation is voluntary.
- Their right to leave the project at any time without problems.
- Risks from the project.
- Plans to protect clients from these risks.

C Explain how you will get consent for homeless participants in general, and for the homeless and/or guardians with limited reading skills, and for the homeless and/or guardians who do not use English as their

first language.

Note: If the project poses potential physical, medical, psychological, legal, social, or other risks, you should get written informed consent.

C Indicate if you will get informed consent from participants or from their parents or legal guardians. 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?

C Include sample consent forms in your **Appendix 6**, 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 releases your project or its agents from liability for negligence.

C Describe if separate consents will be obtained for different stages or parts of the project. For example, will they be needed for both the treatment intervention and for the collection of data. Will individuals who do not consent to having individually identifiable data collected for evaluation purposes be allowed to participate in the project?

P Risk/Benefit Discussion:

C Discuss why the risks are reasonable compared to expected benefits and

importance of the knowledge from the project.

## **Special Considerations and Requirements**

SAMHSA's policies and special considerations and requirements can be found in **Part II of the grant announcement** in the sections by the same names. The policies, special considerations, and requirements related to this program are:

- C Population Inclusion Requirement
- C Government Performance Monitoring
- C Healthy People 2010 focus areas related this program are in Chapter 26: Substance Abuse and Chapter 18: Mental Health
  
- C Consumer Bill of Rights
- C Promoting Nonuse of Tobacco
- C Supplantation of Existing Funds (include documentation in **Appendix 3**)
- C Letter of Intent
- C Single State Agency Coordination (include documentation in **Appendix 4**)
- C Intergovernmental Review
- C Public Health System Reporting Requirements
- C Confidentiality/SAMHSA Participant Protection

## **APPENDIX A.**

### **The National Treatment Plan Initiative (NTP)**

The Substance Abuse and Mental Health Services Administration's (SAMHSA) Center for Substance Abuse Treatment (CSAT) initiated Changing the Conversation: Improving Substance Abuse Treatment: The National Treatment Plan Initiative (NTP) to build on recent advances in the field, to bring together the best ideas about improving treatment, and to identify action recommendations that could translate ideas into practice.

The NTP combines the recommendations of five Expert Panels, with input from six public hearings and solicitation of experience and ideas through written and online comments, into a five-point strategy: (1) Invest for Results; (2) No Wrong Door to Treatment; (3) Commit to Quality; (4) Change Attitudes; and (5) Build Partnerships. The recommendations represent the collective vision of the participants in the NTP "conversation." The goal of these recommendations is to ensure that an individual needing treatment—regardless of the door or system through which he or she enters—will be identified and assessed and will receive treatment either directly or through appropriate referral. Systems must make every door the right door.

The NTP is a document for the entire substance abuse treatment field, not just CSAT. Implementing the NTP's recommendations go beyond CSAT or the Federal Government and will require commitments of energy and resources by a broad range of partners including State and local governments, providers, persons in recovery, foundations, researchers, the academic community, etc.

Copies of the NTP may be downloaded from the SAMHSA web site—[www.samhsa.gov](http://www.samhsa.gov) (click on CSAT and then on NTP) or from the National Clearinghouse for Alcohol and Drug Information (NCADI) at 1-800-729-6686.

## APPENDIX B.

### CSAT's GPRA STRATEGY

#### Overview

The Government Performance and Results Act of 1993 (Public Law-103-62) requires all federal departments and agencies to develop strategic plans that specify what they will accomplish over a three to five year period, to annually set performance targets related to their strategic plan, and to annually report the degree to which the targets set in the previous year were met. In addition, agencies are expected to regularly conduct evaluations of their programs and to use the results of those evaluations to “explain” their success and failures based on the performance monitoring data. While the language of the statute talks about separate Annual Performance Plans and Annual Performance Reports, ASMB/HHS has chosen to incorporate the elements of the annual reports into the annual President’s Budget and supporting documents. The following provides an overview of how the Center for Substance Abuse Treatment, in conjunction with the Office of the Administrator/SAMHSA, CMHS, and CSAP, are addressing these statutory requirements.

Performance Monitoring	The ongoing measurement and reporting of program accomplishments, particularly progress towards preestablished goals. The monitoring can involve process, output, and outcome measures.
Evaluation	Individual systematic studies conducted periodically or “as needed” to assess how well a program is working and why particular outcomes have (or have not) been achieved.
Program	For GPRA reporting purposes, a set of activities that have a common purpose and for which targets can (will) be established. <sup>1</sup>
Activity	A group of grants, cooperative agreements, and contracts that together are directed toward a common objective.
Project	An individual grant, cooperative agreement, or contract.

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<sup>1</sup>GPRA gives agencies broad discretion with respect to how its statutory programs are aggregated or disaggregated for GPRA reporting purposes.

## CENTER (OR MISSION) GPRA OUTCOMES

The mission of the Center for Substance Abuse Treatment is to support and improve the effectiveness and efficiency of substance abuse treatment services throughout the United States. However, it is not the only agency in the Federal government that has substance abuse treatment as part of its mission. The Health Care Financing Administration, Department of Veterans Affairs, and the Department of Justice all provide considerable support to substance abuse treatment. It shares with these agencies responsibility for achieving the objectives and targets for Goal 3 of the Office of National Drug Control Policy's Performance Measures of Effectiveness:

### Reduce the Health and Social Costs Associated with Drug Use.

Objective 1 is to support and promote effective, efficient, and accessible drug treatment, ensuring the development of a system that is responsive to emerging trends in drug abuse. The individual target areas under this objective include reducing the treatment gap (Goal 3.1.1), demonstrating improved effectiveness for those completing treatment (Goal 3.1.2), reducing waiting time for treatment (Goal 3.1.3), implementing a national treatment outcome monitoring system (Goal 3.1.4), and disseminating treatment information (Goal 3.1.5). Objective 4 is to support and promote the education, training, and credentialing of professionals who work with substance abusers.

CSAT will be working closely with the OAS/SAMHSA, ONDCP, and other Federal demand reduction agencies to develop annual targets and to implement a data collection/information management strategy that will provide the necessary measures to report on an annual basis on progress toward the targets presented in the ONDCP plan. These performance measures will, at an aggregate level, provide a measure of the overall success of CSAT's activities. While it will be extremely difficult to attribute success or failure in meeting ONDCP's goals to individual programs or agencies, CSAT is committed to working with ONDCP on evaluations designed to attempt to disaggregate the effects. With regard to the data necessary to measure progress, the National Household Survey on Drug Abuse (conducted by SAMHSA) is the principal source of data on prevalence of drug abuse and on the treatment gap. Assessing progress on improving effectiveness for those completing treatment requires the implementation of a national treatment outcome monitoring system (Target 3.1.4). ONDCP is funding an effort to develop such a system and it is projected in Performance Measures of Effectiveness to be completed by FY 2002.

Until then, CSAT will rely on more limited data, generated within its own funded grant programs, to provide an indication of the impact that our efforts are having in these particular target areas. It will not be representative of the overall national treatment system, nor of all Federal activities that could affect these outcomes. For example, from its targeted capacity expansion program (funded at the end of FY 1998), CSAT will present baseline data on the numbers of individuals treated, percent completing treatment, percent not using illegal drugs, percent employed, and percent engaged in illegal activity (i.e., measures indicated in the ONDCP targets) in its FY 2001 report with targets for future years. As the

efforts to incorporate outcome indicators into the SAPT Block Grant are completed over the next several years, these will be added to the outcomes reported from the targeted capacity expansion program.

In addition to these “end” outcomes, it is suggested that CSAT consider a routine customer service survey to provide the broadest possible range of customers (and potential customers) with a means of providing feedback on our services and input into future efforts. We would propose an annual survey with a short, structured questionnaire that would also include an unstructured opportunity for respondents to provide additional input if they so choose.

**CSAT’s “PROGRAMS” FOR GPRA REPORTING PURPOSES**

All activities in SAMHSA (and, therefore, CSAT) have been divided into four broad areas or “programmatic goals” for GPRA reporting purposes:

- ! Goal 1: Assure services availability;
- ! Goal 2: Meet unmet and emerging needs;
- ! Goal 3: Bridge the gap between research and practice;
- ! Goal 4: and Enhance service system performance<sup>2</sup>

The following table provides the crosswalk between the budget/statutory authorities and the “programs”:

	KD&A	TCE	SAPT BG	N.C.
Goal 1			X	
Goal 2		X		
Goal 3	X			
Goal 4			X	X

KD - Knowledge Development

SAPT BG - Substance Abuse Prevention and Treatment Block Grant

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<sup>2</sup>Goal 4 activities are, essentially, those activities that are funded with Block Grant set-aside dollars for which SAMHSA seeks a distinction in the budget process (i.e., National Data Collection/Data Infrastructure).

For each GPRA [program] goal, a standard set of output and outcome measures across all SAMHSA activities is to be developed that will provide the basis for establishing targets and reporting performance. While some preliminary discussions have been held, at this time there are no agreed upon performance measures or methods for collecting and analyzing the data.<sup>3</sup> In the following sections, CSAT's performance monitoring plans for each of the programmatic areas are presented. It should be understood that they are subject to change as the OF and other Centers enter into discussion and negotiate final measures. In addition, at the end of the document, a preliminary plan for the use of evaluation in conjunction with performance monitoring is presented for discussion purposes.

## 1. ASSURE SERVICES AVAILABILITY

Into this program goal area fall the major services activities of CSAT: the Substance Abuse Prevention and Treatment Block Grant. In FY 2000 the Block grant application was revised and approved by the Office of Management and Budget to permit the voluntary collection of data from the States. More specifically:

- Number of clients served (unduplicated)
- Increase % of adults receiving services who:
  - (a) were currently employed or engaged in productive activities;
  - (b) had a permanent place to live in the community;
  - (c) had no/reduced involvement with the criminal justice system.
- Percent decrease in
  - (a) Alcohol use;
  - (b) Marijuana use;
  - (c) Cocaine use;
  - (d) Amphetamine use
  - (e) Opiate use

In addition, in the Fall of 1999 a customer satisfaction survey was designed and approved for collection from each state on the level of satisfaction with Technical Assistance and Needs Assessment Services provided to the States. More specifically:

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<sup>3</sup>Only measures of client outcomes have been developed and agreed to by each of the Centers. However, these measures are really only appropriate for "services" programs where the provision of treatment is the principal purpose of the activity (i.e., Goals 2 and 3). The client outcome measures will be presented under Goals 2 and 3.

- Increase % of States that express satisfaction with TA provided
- Increase % of TA events that result in systems, program or practice improvements

## **2. MEET UNMET OR EMERGING NEEDS**

Into this program goal area fall the major services activities of CSAT: Targeted Capacity Expansion Grants. Simplistically, the following questions need to be answered about these activities within a performance monitoring context:

- ! Were identified needs met?
- ! Was service availability improved?
- ! Are client outcomes good (e.g., better than benchmarks)?

The client outcome assessment strategy mentioned earlier will provide the data necessary for CSAT to address these questions. The strategy, developed and shared by the three Centers, involves requiring each SAMHSA project that involves services to individuals to collect a uniform set of data elements from each individual at admission to services and 6 and 12 months after admission. The outcomes (as appropriate) that will be tracked using this data are:

- ! Percent of adults receiving services increased who:
  - a) were currently employed or engaged in productive activities
  - b) had a permanent place to live in the community
  - c) had reduced involvement with the criminal justice system
  - d) had no past month use of illegal drugs or misuse of prescription drugs
  - e) experienced reduced alcohol or illegal drug related health, behavior, or social consequences, including the misuse of prescription drugs
- ! Percent of children/adolescents under age 18 receiving services who:
  - a) were attending school
  - b) were residing in a stable living environment
  - c) had no involvement in the juvenile justice system
  - d) had no past month use of alcohol or illegal drugs
  - e) experienced reduced substance abuse related health, behavior, or social consequences.

These data, combined with data taken from the initial grant applications, will enable CSAT to address each of the critical success questions.

## **3. BRIDGE THE GAP BETWEEN RESEARCH AND PRACTICE**

This “program” or goal covers that set of activities that are knowledge development/research activities. Initially funded in FY1996, CSAT’s portfolio in this area currently includes multi-site grant

and cooperative agreement programs, several of which are being conducted in collaboration with one or more of the other two Centers. These activities cover a broad range of substance abuse treatment issues including adult and adolescent treatment, treatments for marijuana and methamphetamine abuse, the impact of managed care on substance abuse treatment, and the persistence of treatment effects. In FY1999, a general program announcement to support knowledge development activity will be added to the CSAT portfolio.

The purpose of conducting knowledge development activities within CSAT is to provide answers to policy-relevant questions or develop cost-effective approaches to organizing or providing substance abuse treatment that can be used by the field. Simplistically then, there are two criteria of success for knowledge development activities:

- ! Knowledge was developed; and
- ! The knowledge is potentially useful to the field.

While progress toward these goals can be monitored during the conduct of the activity, only after the research data are collected, analyzed, and reported can judgments about success be made.

CSAT proposes to use a peer review process, conducted after a knowledge development activity has been completed, to generate data for GPRA reporting purposes. While the details remain to be worked out, the proposal would involve having someone (e.g., the Steering Committee in a multi-site study) prepare a document that describes the study, presents the results, and discusses their implications for substance abuse treatment. This document would be subjected to peer review (either a committee, as is done for grant application review or “field reviewers”, as is done for journal articles). The reviewers would be asked to provide ratings of the activity on several scales designed to represent the quality and outcomes of the work conducted (to be developed).<sup>4</sup> In addition, input on other topics (such as what additional work in the area may be needed, substantive and “KD process” lessons learned, suggestions for further dissemination) would be sought. The data would be aggregated across all activities completed (i.e., reviewed) during any given fiscal year and reported in the annual GPRA report.

### **3.1 PROMOTE THE ADOPTION OF BEST PRACTICES**

This “program” involves promoting the adoption of best practices and is synonymous currently with

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<sup>4</sup>The ratings would include constructs such as adherence to GFA requirements, use of reliable and valid methods, extent of dissemination activities, extent of generalizability, as well as the principal GPRA outcome constructs.

Knowledge Application.<sup>5</sup> Within CSAT, these activities currently include the Product Development and Targeted Dissemination contract (to include TIPS, TAPS, CSAT by Fax, and Substance Abuse in Brief), the Addiction Technology Transfer Centers, and the National Leadership Institute. In FY1999, the Community Action Grant program will be added and in FY2000, the Implementing Best Practices Grant program will be added.

Activities in this program have the purpose of moving “best practices”, as determined by research and other knowledge development activities, into routine use in the treatment system. Again simplistically, the immediate success of these activities can be measured by the extent to which they result in the adoption of a “best practice.”<sup>6</sup> In order to provide appropriate GPRA measures in this area, CSAT plans to require that all activities that contribute to this goal to collect information on the numbers and types of services rendered, the receipt of the service by the clients and their satisfaction with the services, and whether the services resulted in the adoption of a best practice related to the service rendered.

#### **4. ENHANCE SERVICE SYSTEM PERFORMANCE**

As described earlier, this programmatic goal is distinguished from “Promote the adoption of best practices” primarily by its reliance on the Block Grant set-aside for funding and the explicit emphasis on “systems” rather than more broadly on “services.” The CSAT activities that fall into this goal are the SNAP and TOPPS. While CSAT has established performance measures for these activities individually, it is waiting for SAMHSA to take the lead in developing SAMHSA-wide measures. In addition, CSAT continues to believe that this goal should be collapsed into the broader goal of “Promoting the adoption of best practices.”

#### **EVALUATIONS**

As defined earlier, evaluation refers to periodic efforts to validate performance monitoring data; to examine, in greater depth, the reasons why particular performance measures are changing (positively or

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<sup>5</sup>Most, if not all, of the activities conducted under the rubric of technical assistance and infrastructure development are appropriately classified as activities supporting this program goal. Technical assistance activities within GPRA have not been discussed within CSAT. Further, at this time, SAMHSA has a separate program goal for infrastructure development (see “Enhance Service System Performance,” below).

<sup>6</sup>Ultimately, the increased use of efficient and effective practices should increase the availability of services and effectiveness of the system in general. However, measures of treatment availability and effectiveness are not currently available. Within existing resources, it would not be feasible to consider developing a system of performance measurement for this purpose.

negatively); and to address specific questions posed by program managers about their programs. These types of evaluation are explicitly described, and expected, within the GPRA framework. In fact, on an annual basis, the results of evaluations are to be presented and future evaluations described.

To date, CSAT has not developed any evaluations explicitly within the GPRA framework. The initial requirements will, of necessity, involve examinations of the reliability and validity of the performance measures developed in each of the four program areas. At the same time, it is expected that CSAT managers will begin to ask questions about the meaning of the performance monitoring data as they begin to come in and be analyzed and reported. This will provide the opportunity to design and conduct evaluations that are tied to “real” management questions and, therefore, of greater potential usefulness to CSAT. CSAT will be developing a GPRA support contract that permits CSAT to respond flexibly to these situations as they arise.

On a rotating basis, program evaluations will be conducted to validate the performance monitoring data and to extend our understanding of the impacts of the activities on the adoption of best practices.

## **APPENDIX C.**

### **CSAT GPRA Client Outcome Measures for Discretionary Programs**

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Public reporting burden for this collection of information is estimated to average 20 minutes per response if all items are asked of a client; to the extent that providers already obtain much of this information as part of their ongoing client intake or followup, less time will be required. Send comments regarding this burden estimate or any other aspect of this collection of information to SAMHSA Reports Clearance Officer, Room 16-105, 5600 Fishers Lane, Rockville, MD 20857. 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 control number for this project is 0930-0208.

**A. RECORD MANAGEMENT**

Client ID

Contract/Grant ID

Grant Year   
Year

Interview Date  /  /

Interview Type 1. INTAKE 2. 6 month follow-up 3. 12 month follow-up

**B. DRUG AND ALCOHOL USE**

- |  |                       |
|--|-----------------------|
| <b>1. During the past 30 days how many days have you used the following:</b>   | <b>Number of Days</b> |
| a. Any Alcohol   | <input type="text"/>  |
| b. Alcohol to intoxication (5+drinks in one sitting)   | <input type="text"/>  |
| c. Illegal Drugs   | <input type="text"/>  |
| <b>2. During the past 30 days, how many days have you used any of the following:</b>   | <b>Number of Days</b> |
| a. Cocaine/Crack   | <input type="text"/>  |
| b. Marijuana/Hashish [Pot, Joints, Blunts, Chronic, Weed, Mary Jane]   | <input type="text"/>  |
| c. Heroin [Smack, H, Junk, Skag], or other opiates   | <input type="text"/>  |
| d. Non prescription methadone  | <input type="text"/>  |
| e. Hallucinogens/psychedelics, PCP [Angel Dust, Ozone, Wack, Rocket Fuel] MDMA [Ecstasy, XTC, X, Adam], LSD [Acid, Boomers, Yellow Sunshine], Mushrooms, Mescaline.....  | <input type="text"/>  |
| f. Methamphetamine or other amphetamines [Meth, Uppers, Speed, Ice, Chalk, Crystal, Glass, Fire, Crank]  | <input type="text"/>  |
| g. Benzodiazepines, barbiturates, other tranquilizers, Downers sedatives, or hypnotics, [GHB, Grievous Bodily Harm, Georgia Home Boy, G, Liquid Ecstasy; Ketamine, Special K, K, Vitamin K, Cat Valiums; Rohypnol, Roofies, Roche] | <input type="text"/>  |
| h. Inhalants, [poppers, snappers, rush, whippets]  | <input type="text"/>  |
| i. Other Illegal Drugs--Specify _____  | <input type="text"/>  |

3. In the past 30 days have you injected drugs?     Yes     No

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**C.    FAMILY AND LIVING CONDITIONS**

1.    **In the past 30 days, where have you been living most of the time?**
  - Shelter (Safe havens, TLC, low demand facilities, reception centers, Other temporary day or evening facility)
  - Street/outdoors (sidewalk, doorway, park, public or abandoned building)
  - Institution (hospital., nursing home, jail/prison)
  - Housed (Own, or someone else’s apartment, room, house halfway house, residential treatment)
  
2.    **During the past 30 days how stressful have things been for you because of your use of alcohol or other drugs?**
  - Not at all
  - Somewhat
  - Considerably
  - Extremely
  
3.    **During the past 30 days has your use of alcohol or other drugs caused you to reduce or give up important activities?**
  - Not at all
  - Somewhat
  - Considerably
  - Extremely
  
4.    **During the past 30 days has your use of alcohol and other drugs caused you to have emotional problems?**
  - Not at all
  - Somewhat
  - Considerably
  - Extremely

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**D.    EDUCATION, EMPLOYMENT, AND INCOME**

1.    **Are you currently enrolled in school or a job training program? [IF ENROLLED: Is that full time or part time?]**
  - Not enrolled
  - Enrolled, full time
  - Enrolled, part time
  - Other (specify)\_\_\_\_\_

2. **What is the highest level of education you have finished, whether or not you received a degree?** [01=1st grade, 12=12th grade, 13=college freshman, 16=college completion]

|\_\_|\_\_| level in years

2a. **If less than 12 years of education, do you have a GED (General Equivalency Development- Diploma)?**

- Yes       No

3. **Are you currently employed?** [Clarify by focusing on status during most of the previous week, determining whether client worked at all or had a regular job but was off work]

- Employed full time (35+ hours per week, or would have been )
- Employed part time
- Unemployed, looking for work
- Unemployed, disabled
- Unemployed, Volunteer work
- Unemployed, Retired
- Other Specify\_\_\_\_\_

4. **Approximately, how much money did YOU receive (pre-tax individual income) in the past 30 days from...**

		INCOME							
a. Wages	\$				,				.00
b. Public assistance . . . .	\$				,				.00
c. Retirement . . . . .	\$				,				.00
d. Disability . . . . .	\$				,				.00
e. Non-legal income	\$				,				.00
f. Other_____ (Specify)	\$				,				.00



**E. CRIME AND CRIMINAL JUSTICE STATUS**

- 1. **In the past 30 days, how many times have you been arrested?** |\_\_|\_\_| times
- 2. **In the past 30 days, how many times have you been arrested for drug-related offenses?** |\_\_|\_\_| times
- 3. **In the past 30 days, how many nights have you spent in jail/prison?** |\_\_|\_\_| nights

**F. MENTAL AND PHYSICAL HEALTH PROBLEMS AND TREATMENT**

1. How would you rate your overall health right now?

- Excellent
- Very good
- Good
- Fair
- Poor

2. During the past 30 days, did you receive

**a. Inpatient Treatment for:**

	No	Yes ±	If yes, altogether for how many nights (DK=98)
i. Physical complaint	/	/	_____
ii. Mental or emotional difficulties	/	/	_____
iii. Alcohol or substance abuse	/	/	_____

**b. Outpatient Treatment for:**

	No	Yes ±	If yes, altogether how many times (DK=98)
i. Physical complaint	/	/	_____
ii. Mental or emotional difficulties	/	/	_____
iii. Alcohol or substance abuse	/	/	_____

**c. Emergency Room Treatment for:**

	No	Yes ±	If yes, altogether for how many times (DK=98)
i. Physical complaint	/	/	_____
ii. Mental or emotional difficulties	/	/	_____
iii. Alcohol or substance abuse	/	/	_____

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**H. DEMOGRAPHICS (ASKED ONLY AT BASELINE)**

**1. Gender**

- Male
- Female
- Other (please specify) \_\_\_\_\_

**2. Are you Hispanic or Latino?**

- Yes
- No

**3. What is your race? (Select one or more)**

- Black or African American
- Asian
- American Indian
- Native Hawaiian or other Pacific Islander
- Alaska Native
- White
- Other (Specify) \_\_\_\_\_

**4. What is your date of birth?**

|\_|\_|\_| / |\_|\_|\_| / |\_|\_|\_|  
Month / Day / Year

## APPENDIX D.

### DEFINITIONS

Evidence-Based Practices (EBP): Interventions for which there is **consistent** scientific evidence that they improve client outcomes. The highest standard for EBP is several randomized clinical trials comparing the practice to alternative practices or to no intervention, considered together (i.e., meta-analysis), that support the superiority of the EBP to the alternatives (or no intervention).

Best Practices: Interventions based on clinical opinions or open clinical trials. These are practices for which either no randomized clinical trials have been conducted or there are insufficient numbers of studies to allow for a claim of **consistent** scientific evidence.

Promising Practices: Interventions based on clinical opinions or consensus opinion, for which there is a lack of research evidence. Many activities conducted in the treatment and service arena have not received research attention (e.g., discharge planning), yet providers are generally in agreement about what constitutes "desirable" practices.