

# Behavioral Health Partnership for Early Diversion of Adults and Youth

## Short Title: Early Diversion

### NOFO Number: SM-23-012

Presented by:

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<https://www.samhsa.gov/grants/grant-announcements/sm-23-012>

May 23, 2023



**SAMHSA**  
Substance Abuse and Mental Health  
Services Administration

# OBJECTIVES

1. Key Information
2. Purpose of Program
3. Program Objectives
4. Eligibility
5. Eligibility for Tribes or Tribal Organizations
6. Required Activities
7. Allowable Activities
8. Data Collection and Measurement
9. Project Performance Assessment
10. Application Requirements

# Key Info

- Released on SAMHSA's Website on April 10, 2023
- Applications due: June 9, 2023
- Anticipated Number of Awards: Up to 25
- Anticipated Award Amount: Up to \$330,000 per year
- Anticipated Award Date: August 31, 2023
- Anticipated Project Start Date: September 30, 2023
- Length of Project: Up to 5 years
- Cost Sharing/Match Required?: Yes

# Program Purpose

- The purpose of this program is to establish or expand programs that divert adults and/or youth with a mental or a co-occurring disorder (COD) from the criminal or juvenile justice system to community-based mental health and substance use disorder services (SUD) and other supports prior to arrest and booking.
- SAMHSA will give special consideration to applicants proposing to use funding to support early diversion services for veterans.

# Program Purpose

- This program aligns with Executive Order 14074, Advancing Effective, Accountable Policing and Criminal Justice Practices To Enhance Public Trust and Public Safety, which among other things promotes policies to support alternatives to arrest and incarceration, including policies that support effective alternative responses to substance use disorders and mental health needs.
- With this program, SAMHSA aims to reduce the number of youth and adults with mental illness or COD that are involved in the criminal justice system.

# Program Goals

- Build collaborative partnerships among relevant agencies:
- Build community capacity; and
- Divert adults or youth from juvenile justice or criminal justice systems to community-based mental health and SUD services and other support services in a culturally competent manner.

# Eligibility

Eligibility is statutorily limited to:

- states,
- political subdivisions of states (e.g., counties, cities),
- Indian tribes or tribal organizations (as defined in Section 4 of the Indian Self-Determination and Education Assistance Act),
- Public or non-profit entities.

# Eligibility for Tribes or Tribal Organizations

This means:

- *The recognized body of any AI/AN tribe;*
- *Any legally established organization of AI/ANs which is controlled, sanctioned, or chartered by such governing body, or which is democratically elected by the adult members of the Indian community to be served by such organization, and which includes the maximum participation of AI/ANs in all phases of its activities.*
- *Consortia of tribes or tribal organizations are eligible to apply, but each participating entity must indicate its approval. A single tribe in the consortium must be the legal applicant, the recipient of the award, and the entity legally responsible for satisfying the grant requirements.*



# Required Activities

- Convene a new or continue an existing interagency **Behavioral Health Partnership workgroup** that is committed to integrating the Early Diversion program into the existing system of care; and, designing, implementing, and overseeing a plan of comprehensive strategies to divert adults or youth with a mental illness or COD to community-based services prior to arrest or booking. **Letters of commitment** are required and must be included in Attachment 1 of your application.
- Within the first 4 months, conduct a **criminal/juvenile justice early diversion community system mapping** such as the Sequential Intercept Model (SIM) focusing on intercepts 0 and 1 to identify diversion opportunities, potential partners and desired outcomes.

# Required Activities (continued)

- Develop a **comprehensive plan** of evidence- and community- based mental health services using a multi-agency approach to divert adult or youth with a mental illness or COD prior to arrest or booking. This plan should include providing the following services within 6 month of award to the population of focus:
  - Case management;
  - Assertive community treatment;
  - Medication management and access;
  - Integrated mental health and co-occurring substance use disorder treatment;
  - Psychiatric rehabilitation;

# Required Activities (continued)

- Peer recovery support services;
- Life skills training;
- Housing placement;
- Vocational training;
- Educational or job placement;
- Primary healthcare;
- Psychiatric rehabilitation;

# Required Activities (continued)

- Screening protocols or procedures to identify the needs of adults or youth with a mental illness or COD being diverted;
- Procedures or protocols for coordination with law enforcement, local crisis, and 988 systems on diversion efforts to arrest and booking;
- Procedures or protocols for direct transfer/warm hand off to behavioral healthcare (e.g., law enforcement officer or civilian first responder conducts the outreach to the behavioral health worker to meet individuals in crisis at the scene, etc.); and
- Procedures or protocols for follow up and outreach to ensure adults or youth who are diverted are connected to transition planning and services.

# Required Activities (continue)

- **Expand and integrate** into the Early Diversion program existing mental health, substance use treatment, and recovery services.
- **Train** law enforcement officers, attorneys, judges, civilian first responders, paraprofessionals and other professionals on mental health and substance use awareness and identification, de-escalation, diversion, and crisis resolutions practices in a culturally-appropriate manner.
- By the end of Year 3, develop a plan for **sustainability** to continue the program following the conclusion of federal funding.

# Allowable Activities

Allowable activities are an allowable use of funds but are not required. Allowable activities may include:

- Develop policies and procedures that incorporate the National Standards for Culturally Linguistically Appropriate Services (CLAS) and Social Determinants of Health (SDOH).
- Provide activities that address behavioral health disparities and social determinants of health.
- Implement efforts aligned to the award that may expand diversity, equity, inclusion, and accessibility.

# Allowable Activities continued

- Use data to understand who is served and disproportionately served (e.g., overserved or underserved).
- Develop and implement new and/or existing outreach and referrals pathways that engage/target all demographic groups representative of your community.
- Provide services to adults and youth with mental illness and COD upon release.

# Data Collection/Performance Measurement

All SAMHSA recipients are required to collect and report certain data so that SAMHSA can meet its obligations under the Government Performance and Results (GPRA) Modernization Act of 2010. You must document your plan for data collection and reporting in your Project Narrative in response to Section E: Data Collection and Performance Measurement in Section V of this NOFO. Recipients are required to report performance on National Client Level Outcomes (NOMS) and Infrastructure Development, Prevention, and Mental Health Promotion (IPP) Indicators.



# Application Requirements

## Cost Sharing and Matching Requirements

- Cost sharing/match is required for this program under Section 520G of the Public Health Service Act, as amended. For each year of the project, recipients must provide matching funds (directly or through donations from public or private entities) from non-federal contributions in an amount not less than 25 percent of the total award.
- Applicants must itemize the match separately in the budget worksheet and explain the match separately in the budget notification.
- A letter certifying that matching funds must be included in Attachment 10 as the Non-Federal Match Certification letter. The non-Federal match letter must specify the following:
  - The names of the expected source(s) of funding;
  - The amount of matching funds from each funding source; and
  - The type of sources (e.g., juvenile justice, criminal justice)

# Application Requirements

The Project Narrative must not exceed **10 pages**. If the Project Narrative is over 10 pages, the application will not be considered for review.

- Evidence of Experience and Credentials
  - SAMHSA believes that only existing, experienced, and appropriately credentialed organizations with demonstrated infrastructure and expertise will be able to provide the required services quickly and effectively. Applicants must submit evidence under Attachment 1 of their application meeting three additional requirements related to the provision of services.
  - The three requirements are:
    - A provider organization for direct client mental health/co-occurring disorder services appropriate to the award must be involved in the proposed project. The provider may be the applicant, or another organization committed to the project. More than one provider organization may be involved.
    - Each mental health provider organization must have at least two years of experience (as of the due date of the application) providing relevant services (official documents must establish that the organization has provided relevant services for the last two years).
    - Each mental health/co-occurring disorder treatment provider organization must comply with all applicable local (city, county) and state licensing, accreditation, and certification requirements, as of the due date of the application.

# Confidentiality and Participant Protection

- All SAMHSA grantees are required to have safeguards protecting individuals from potential risks associated with their participation in SAMHSA projects, even if those projects are not focused on research
- All organizations that apply for SAMHSA grants must address all seven components of confidentiality and participant protection to ensure there are safeguards for participants and staff
- **If you are working with individuals, there are potential risks to both participants and staff.**

# 7 Components of Participant Protection:

1. Protect Clients and Staff from Potential Risks
2. Fair Selection of Participants
3. Absence of Coercion
4. Data Collection
5. Privacy and Confidentiality
6. Adequate Consent Procedures
7. Risk/Benefits Discussion

# Common Mistakes

- Not submitting a response to the participant protection guidelines with your application
- Stating that participant protection is not applicable since you are not conducting research
- Stating there are no foreseeable physical, medical, psychological, social, and legal risks or potential adverse effects as a result of the project. *If your project involves individuals, there will be some level of risk or potential adverse effects.*
- Only addressing participant protection as it relates to evaluation of the project.
- Not addressing all of the bulleted items within each of the seven components

Presented by: Darrell Russ, GMS

Division of Grants Management  
Substance Abuse and Mental Health  
Services Administration (SAMHSA)  
U.S. Department of Health and Human Services

<https://www.samhsa.gov/grants/grant-announcements/sm-23-012>

May 23, 2023

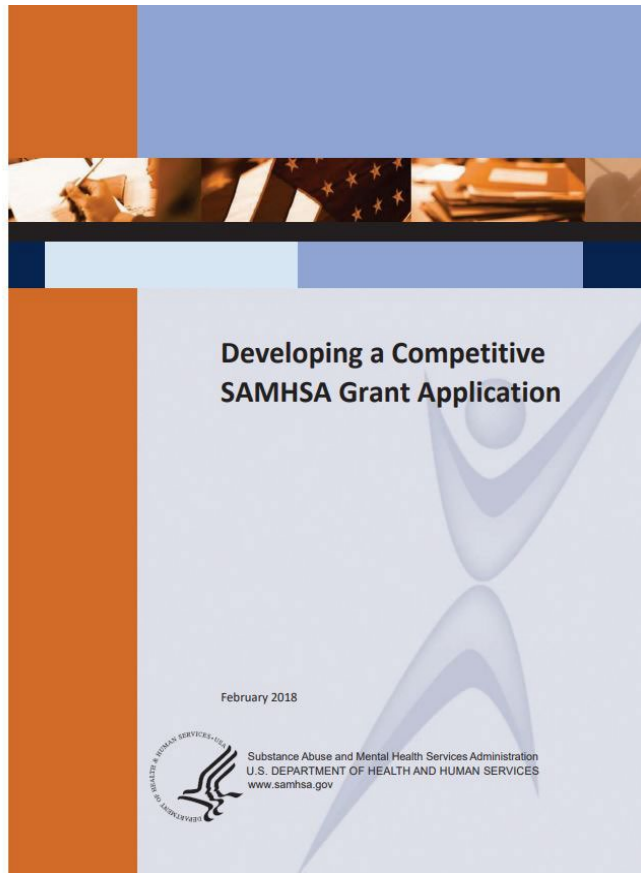


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# OBJECTIVES

1. Applying for a Grant - Available Resources
2. Applicable Policies & Regulations
3. Factors Affecting Allowability of Costs
4. Budget Narrative & Justification
5. Sample Budget Template
6. SF-424A
7. Key Personnel
8. Indirect Cost Rate
9. Funding Limitations/Restrictions
10. Questions/Technical Support

# APPLYING FOR A GRANT - AVAILABLE RESOURCES



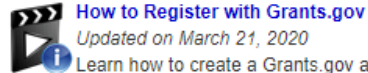
- A manual is available for applicants: [Developing a Competitive SAMHSA Grant Application \(PDF | 1 MB\)](#).
- This manual will provide applicants with valuable information about how to prepare a strong grant application.
- Additional information can be found on: <https://www.samhsa.gov/grants/grants-training-materials>



# APPLYING FOR A NEW SAMHSA GRANT - AVAILABLE RESOURCES (CONT'D.)

## Introduction to Grants.gov Video Series

The [Introduction to Grants.gov Video Series](#) covers the complete Grants.gov application process, from registering and creating a Grants.gov account to finding funding opportunities and completing an application package.



### [How to Register with Grants.gov](#)

Updated on March 21, 2020

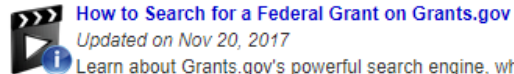
Learn how to create a Grants.gov account so you can subscribe to funding opportunity notifications and apply for federal grants using Grants.gov Workspace. This video also explains how to associate a DUNS number with an applicant account. (Note: This is an optional step).



### [Intro to Grants.gov User Roles](#)

Updated on April 20, 2018

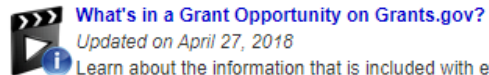
Learn about applicant user roles within the Grants.gov system and how these roles impact the application process.



### [How to Search for a Federal Grant on Grants.gov](#)

Updated on Nov 20, 2017

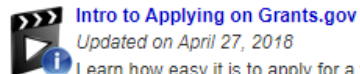
Learn about Grants.gov's powerful search engine, which allows users to find and apply for federal grants in a variety of ways. This video also shows how registered users can subscribe to opportunity notifications generated from saved search criteria.



### [What's in a Grant Opportunity on Grants.gov?](#)

Updated on April 27, 2018

Learn about the information that is included with every posting of a federal grant opportunity on Grants.gov.



### [Intro to Applying on Grants.gov](#)

Updated on April 27, 2018

Learn how easy it is to apply for a federal grant using Grants.gov Workspace. This video serves as an introduction to the apply process.

- Learn more about registering, searching, and applying for federal grant opportunities.
  - [Recording of the SAMHSA Applicant Webinar \(39 minutes\)](#)
  - [NOFO Applicant Webinar Presentation \(PDF | 7 MB\)](#)
  - [Grants.gov Video Series](#)
  - For more information refer to: <https://www.samhsa.gov/grants/applying>
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- **Note:** Effective April 4, 2022, the Data Universal Numbering System (DUNS) Number will be replaced by a Unique Entity Identifier (UEI) assigned by the System for Award Management (SAM.gov). For more information, please refer to <https://sam.gov/content/duns-uei>.

# APPLICABLE POLICIES & REGULATIONS

- **45 CFR Part 75 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards** - <https://www.ecfr.gov/current/title-45/subtitle-A/subchapter-A/part-75>
- **HHS Grants Policy Statement** <https://www.hhs.gov/sites/default/files/grants/grants/policies-regulations/hhsgps107.pdf> - the HHS Grants Policy Statement document contains important information on the general terms and conditions for discretionary grants and cooperative agreement awards.
- **Financial Management Requirements** - the financial management control areas provide recipients with guidance for ensuring their existing accounting and personnel policies and procedures (P&P) include the necessary controls. ***The guidance is also used by SAMHSA to complete Financial Capability Reviews (FCRs) of new and prospective grantees.*** Learn more about [grantee financial management requirements](#).
- **The Notice of Funding Opportunity (NOFO)**

# APPLICABLE POLICIES & REGULATIONS (CONT'D.)

- **45 CFR PART 75—UNIFORM ADMINISTRATIVE REQUIREMENTS, COST PRINCIPLES, AND AUDIT REQUIREMENTS FOR HHS AWARDS**

Recipient Type	Uniform Admin Requirements	Cost Principles	Audit Requirements
State & Local Governments	45 CFR Part 75, Subpart C and D	45 CFR Part 75, Subpart E	45 CFR Part 75 Subpart F
College & Universities	45 CFR Part 75, Subpart C and D	45 CFR Part 75, Subpart E	45 CFR Part 75 Subpart F
Non-Profits	45 CFR Part 75, Subpart C and D	45 CFR Part 75, Subpart E	45 CFR Part 75 Subpart F

# FACTORS AFFECTING ALLOWABILITY OF COSTS

Proposed budgets must contain allowable, reasonable, and allocable costs, as defined under [45 CFR 75.403](#), [75.404](#), and [75.405](#).

- **Allowable** costs, unless otherwise authorized by program statute are necessary and reasonable for award performance and allowable under the cost principles.
- **Reasonable** costs are not in excess of what would normally be incurred by a prudent person under the circumstances prevailing at the time the decision was made, given market rates, effort and the organization's documented policies.
- **Allocable** costs can be charged to a federal award if the goods or services are chargeable in accordance with relative benefits received.

# BUDGET NARRATIVE & JUSTIFICATION

- •All applications must include a detailed budget and narrative justification that explains the federal and the non-federal expenditures.
- •The detailed budget and narrative justification must be consistent with and support the Project Narrative.
- •You must provide a description of existing resources and other support you expect to receive for the proposed project.
- ✓ Other support is defined as funds or resources, whether federal, non-federal, or institutional, in direct support of activities through fellowships, gifts, prizes, in-kind contributions, or non-federal means.
- •The Budget Narrative and justification must be concrete and specific. It must provide a justification for the basis of each proposed cost in the budget and how that cost was calculated. Examples to consider when justifying the basis of your estimates can be ongoing activities, market rates, quotations received from vendors, or historical records.

# BUDGET NARRATIVE & JUSTIFICATION (CONT'D.)

- Detailed Breakdowns must be provided of the materials, quantities, number of persons, cost per unit/hour, number of hours/levels of effort, or other relevant basis to show how costs will be utilized towards achieving the grant's goals and objectives. This is to facilitate the determination of whether the proposed costs are allowable, reasonable, and allocable.
- The total for each budget category in your detailed budget with narrative justification must match the corresponding total of each Object Class Category on your SF-424A in Section B Budget Categories.
- Your detailed budget with narrative justification should reflect the project costs for the first year ONLY. In your budget summary table, you will show the amounts requested for future years and justify/explain any change in amounts requested for future years from what was requested in year 1.
- An illustration of a budget and narrative justification is included in Appendix L of the NOFO.

# SAMPLE BUDGET TEMPLATE

**To reduce errors and expedite the review of your budget, it is highly recommended you use the SAMHSA Budget Template** to complete the Detailed Budget and Narrative Justification required for submission with your application.

- Over the years, numerous recipients requested a template to present budget information. We heard you!!
- The budget template was created with extensive recipient consultation and input and designed to avoid all the common budget preparation pitfalls.
- The SAMHSA Budget Template includes a wealth of helpful tooltips and resources to assist and guide you with preparation of your budget.
- The budget template is available at: <https://www.samhsa.gov/grants/applying/forms-resources>

**Note:** For SAMHSA to view all your budget data, you must flatten/convert the PDF to a non-editable format by **PRINTING TO PDF** before submission.

The following resources provide guidance on use of the budget template:

- [Key Features of the Budget Template](#)
- [Budget Template Users Guide](#)
- [Budget Review Checklist](#) (For review of your Detailed Budget before submission)

# AVOIDING COMMON ISSUES WITH THE SF-424A

- **“SECTION D - FORECASTED CASH NEEDS”** column **“Total for 1st year”** line **“15. TOTAL”** **MUST EQUAL** **“SECTION A - BUDGET SUMMARY”** subsection **“New or Revised Budget”** column **“Total (g)”** line **“5. Totals”** amount.
- **“SECTION B – BUDGET CATEGORIES”** column **“Total (5)”** line **“K. TOTALS”** **MUST EQUAL** **“SECTION A - BUDGET SUMMARY”** subsection **“New or Revised Budget”** column **“Total (g)”** line **“5. Totals”** amount.
- The number of years indicated in **“SECTION E – BUDGET ESTIMATES OF FEDERAL FUNDS...”** subsection **“FUTURE FUNDING PERIODS (YEARS)”** **MUST** correlate with the number of years based on the **“Start Date”** and **“End Date”** in section **“17. Proposed Project”** on the SF 424. Enter data for the first budget period in Section D and enter future budget periods in Section E. Please refer to the Notice of Funding Opportunity (NOFO) for additional guidance.



# SAMPLE SF-424A (MATCH NOT REQUIRED)

Section	Direction for Completion
<b>Section A – Budget Summary</b>	On Row 1 input: “ <b>NOFO#-Federal</b> ” (e.g. XX-19-000-Federal)
	Under Catalog of Federal Domestic Assistance Number (b), Enter the <b>CFDA#</b> from the 1 <sup>st</sup> page of the NOFO
	Use the “ <b>New or Revised Budget</b> ” section for New Applications
	Complete only Column “ <b>Federal (e)</b> ” under the “ <b>New or Revised Budget</b> ” Header
	Totals in Section A: Column Total for Federal (e) and Total (g) <b>must match</b>
<b>Section B – Budget Categories</b>	Section A totals [Federal (e) and Total (g)] <b>must match</b> Section B total.

# SAMPLE SF-424A

Section	Direction for Completion
Section C – Non-Federal Resources	Section C is required \$1 for very \$4 Federal
Section D - Forecasted Cash Needs	Section D is for the 1 <sup>st</sup> Federal year of funding only . Show funds allocation PER Quarter
	All totals for Row 13 (Federal) and Row 15 [Total (sum of lines 13 and 14)] should match (this should also match sections A, B & D).
	Section D – Forecasted Cash Needs. Federal (line 13) amount must equal Section A Budget Summary and Section B Budget categories federal funding. Ensure that Section D “Total” amount = Section A and Section B Totals.
Section E - Budget Estimates of Federal Funds Needed For Balance of the Project	Section E is for the future budget period (year 2)
	Federal funds needed for 2nds budget period in column (b)First
	Federal funds needed for 3 <sup>rd</sup> budget period (c) Second
	Federal funds needed for 4 <sup>th</sup> budget period (d) Third
	Federal funds needed for 5 <sup>th</sup> budget period (e) Fourth

# KEY PERSONNEL

1. The Key Personnel are the Project Director (PD) at minimum 50% level of effort (LOE)/.50 FTE and the Evaluator with at least a 25% LOE (0.25 FTE).
  - a) List both positions in your detailed budget (even if funded in-kind).
  - b) Provide the PD & Evaluator resumes and job/position descriptions.
2. List the Principal Investigator (PI) or PD to be designated as “Contact” in section 8f and reflect their commons ID in Field #4 of the SF-424. Either the PI or the PD can be designated as “Contact” in eRA to take actions and receive notifications **but not both.**
3. If the PD position is being filled by a contractor/consultant, you must provide a copy of the formal written agreement tor that specifies the official relationship and addresses performance of all the required duties and responsibilities.

# INDIRECT COST RATE AGREEMENT OR COST ALLOCATION PLAN

- Ensure that you submit your organization's current negotiated Indirect Cost (IDC) rate agreement or cost allocation plan with HHS or any other federal agency which required to support the charge of indirect costs.
- If your organization is opting to use 10% of Modified Total Direct Costs (MTDC), then a clear statement must be made in your IDC narrative as follows: "XYZ Organization elects to use the de minimis rate of 10 percent of modified total direct costs (MTDC)".
- Ensure that you accurately calculate the MTDC base to which your IDC rate is applicable.
- Include calculations to show how you arrived at your IDC base and IDC total.

# FUNDING LIMITATIONS/RESTRICTIONS

Refer to the program specific Funding Restrictions/Limitations in section IV and the Standard Funding Restrictions in Appendix I of NOFO, as well as to [45 CFR Part 75](#), for applicable administrative requirements and cost principles.

## **The funding restrictions for this project are as follows:**

- No more than 20 percent of the total award for the budget period may be used for data collection, performance measurement, and performance assessment, including incentives for participating in any required data collection follow-up.

Your proposed budget must adhere to the funding limitations/restrictions specified in Section IV-5 of your NOFO. Include a narrative and separate budget for each year of the grant that shows the dollar amount and the percent of the total grant award that will be used in the area where there is a limitation. Refer to the sample in Appendix L (SAMHSA Budget Template -> Sample Budget – NON-MATCH) of your NOFO for an example of how this should be presented.

Recipients should maintain adequate documentation of which expenses correspond to the funding limitations/restrictions and the percent of the total grant award that will be used in each area where there is a limitation.

# Questions?

Program/eligibility questions?

Center for Mental Health Services (CMHS), SAMHSA,

Roxanne Castaneda

(240) 276-1917

[EarlyDiversioMailbox@samhsa.hhs.gov](mailto:EarlyDiversioMailbox@samhsa.hhs.gov)

Fiscal/budget related questions?

Office of Financial Resources, Division of Grants  
Management, SAMHSA

(240) 276-1400

Email: [FOACMHS@samhsa.hhs.gov](mailto:FOACMHS@samhsa.hhs.gov)

Review process/application status questions?

Office of Financial Resources, Division of Grant  
Review, SAMHSA

(240) 276-0135

Email: [Catherine.Naeger@samhsa.hhs.gov](mailto:Catherine.Naeger@samhsa.hhs.gov)

Problems submitting your application on grants.gov?

Contact the Grants.gov Helpdesk:

[support@grants.gov](mailto:support@grants.gov)

1-800-518-4726

eRA Commons Technical Questions?

Contact the eRA Service Desk

- Web: [eRA Service Desk Support](#)
- Toll-free: [1-866-504-9552](tel:1-866-504-9552)
- Phone: [301-402-7469](tel:301-402-7469) (press 4 for Grantees)
- Hours: Mon-Fri, 7 a.m. to 8 p.m. Eastern Time

# Thank You

SAMHSA's mission is to reduce the impact of substance abuse and mental illness on America's communities.

[www.samhsa.gov](http://www.samhsa.gov)

1-877-SAMHSA-7 (1-877-726-4727) • 1-800-487-4889 (TDD)