

**Department of Health and Human Services**  
**Substance Abuse and Mental Health Services**  
**Administration**  
**Grants to Develop and Expand Behavioral Health**  
**Treatment Court Collaboratives**  
**(Short Title: Adult Treatment Court Collaboratives)**  
**(Initial Announcement)**

**Request for Applications (RFA) No. SM-14-009**

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

**Key Dates:**

<b>Application Deadline</b>	<b>Applications are due by April 18, 2014.</b>
<b>Intergovernmental Review (E.O. 12372)</b>	<b>Applicants must comply with E.O. 12372 if their state(s) participates. Review process recommendations from the State Single Point of Contact (SPOC) are due no later than 60 days after application deadline.</b>
<b>Public Health System Impact Statement (PHSIS)/Single State Agency Coordination</b>	<b>Applicants must send the PHSIS to appropriate state and local health agencies by application deadline. Comments from Single State Agency are due no later than 60 days after application deadline.</b>

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## EXECUTIVE SUMMARY

The Substance Abuse and Mental Health Services Administration (SAMHSA), Center for Substance Abuse Treatment (CSAT) and Center for Mental Health Services (CMHS) are accepting applications for fiscal year (FY) 2014 grants to Develop and Expand Behavioral Health Treatment Court Collaboratives (BHTCC). The purpose of this program is to allow local courts more flexibility to collaborate with multiple criminal justice system components and local community treatment and recovery providers to address the behavioral health needs of adults who are involved with the criminal justice system and provide the opportunity to divert them from the criminal justice system. The collaborative will allow eligible individuals to receive treatment and recovery support services as part of a court collaborative. This program will focus on connecting with individuals early in their involvement with the criminal justice system and prioritize the participation of municipal and misdemeanor courts in the collaborative.

<b>Funding Opportunity Title:</b>	Grants to Develop and Expand Behavioral Health Treatment Court Collaborative
<b>Funding Opportunity Number:</b>	SM-14-009
<b>Due Date for Applications:</b>	April 18, 2014
<b>Anticipated Total Available Funding:</b>	Approximately \$4,874,000 (50% from CMHS and 50% from CSAT)
<b>Estimated Number of Awards:</b>	Up to 14 awards
<b>Estimated Award Amount:</b>	Approximately \$348,142 total per award (50% from CMHS and 50% from CSAT)
<b>Cost Sharing/Match Required</b>	No
<b>Length of Project Period:</b>	Up to 4 years
<b>Eligible Applicants:</b>	Operational individual adult criminal courts, municipal court, or their Tribal/State or local governmental proxies who may apply on their behalf [See <u>Section III-1</u> of this RFA for complete eligibility information.]

# **I. FUNDING OPPORTUNITY DESCRIPTION**

## **1. PURPOSE**

The Substance Abuse and Mental Health Services Administration (SAMHSA), Center for Substance Abuse Treatment (CSAT) and Center for Mental Health Services (CMHS) are accepting applications for fiscal year (FY) 2014 grants to Develop and Expand Behavioral Health Treatment Court Collaboratives (BHTCC). The purpose of this program is to allow local courts more flexibility to collaborate with multiple criminal justice system components and local community treatment and recovery providers to address the behavioral health needs of adults who are involved with the criminal justice system and provide the opportunity to divert them from the criminal justice system. The collaborative will allow eligible individuals to receive treatment and recovery support services as part of a court collaborative. This program will focus on connecting with individuals early in their involvement with the criminal justice system and prioritize the participation of municipal and misdemeanor courts in the collaborative.

SAMHSA's vision of BHTCC in the justice system is one that supports treatment and recovery support for people with behavioral health conditions and that improves public health and public safety. Many communities have specialized court programs that serve one subset or another of behavioral health conditions. There are an estimated 2400 drug courts, 300 mental health courts, and 100 veterans treatment courts operating in the United States that engage individuals with various behavioral health conditions. Some of these courts serve people with co-occurring disorders while others do not. Drug courts have standardized guidelines and in some states, required protocols and sanctions. Mental health courts on the other hand, are unique and sanctions are applied more flexibly. Recognizing that different approaches work best with different populations, a collaborative, coordinated system is necessary to ensure people with behavioral health needs involved in the justice system are identified and best served.

SAMHSA recognizes that individuals with behavioral health conditions (e.g., serious mental illnesses (SMI), substance use and co-occurring mental and substance use disorders) who are involved with the criminal justice system face many obstacles obtaining quality behavioral health services in the community. Often, these disorders are first identified and addressed in justice settings where limited resources are available to address them. The interface between justice systems and community behavioral health care is often disjointed, allowing service gaps and fragmented care to disrupt the individual's transition from incarceration to the community and threatens their recovery.

SAMHSA believes that substance use and mental disorders should be seen in a larger behavioral health context, and therefore seeks to promote transformation in service systems that will change how individuals with behavioral health conditions are identified, screened, adjudicated, and referred for treatment. These changes require significant infrastructure and service system change in which all relevant services, essential to succeed in the community are addressed. As in all behavioral health settings, services that include health, housing, employment, treatment and recovery support must be consumer centered, recovery focused, evidence based and quality driven approaches.

The BHTCC grant program provides opportunities for courts to build collaborations with other existing criminal courts, court diversion programs, and/or alternatives to incarceration programs in order to facilitate the transformation of the State and local behavioral health delivery system. By leveraging a spectrum of community based services, the courts can facilitate the expansion and enhancement of treatment and recovery support services for adults with behavioral health conditions.

The collaborative allows for the coordination of judicial activities and for screening, referral, adjudication, monitoring and treatment of adults with behavioral health conditions. Services to eligible adults with behavioral health conditions will be consumer centered, recovery oriented, evidence-based, quality driven, and trauma informed. In alignment with the goals of SAMHSA's Trauma and Justice Strategic Initiative, this grant program will help reduce the pervasive, harmful, and costly health impact of violence and trauma by integrating trauma-informed approaches throughout systems. The BHTCC seeks to address behavioral health disparities among racial and ethnic minorities through this program by encouraging the implementation of strategies to decrease the differences in access, service use, and outcomes among these subpopulations in this program. ([See Appendix J: Addressing Behavioral Health Disparities](#)).

The population of focus for BHTCC grantees are adults identified by the court or community as having a behavioral health condition **and** who have been charged with a criminal offense and transferred to a local criminal court for trial/adjudication of that offense, diverted from the justice system through judicial screening, and/or sentenced to incarceration in jail or prison and returning to the community under some form of judicial supervision.

The BHTCC program provides joint funding from CSAT and CMHS to allow collaborating courts to address the behavioral health needs of individuals in the criminal justice or court continuum, including those who are reentering society after being re-incarcerated and under post-incarceration judicial supervision. By jointly funding grant awards, SAMHSA expects BHTCC grantees to reach a wider population of court-

involved adults with behavioral health conditions who need treatment and recovery support services.

**[Note:** Applicants should refer to Section 2: Expectations, Funding Allocation for guidance on the joint funding, funding constraints, reporting and accounting, and budget submission requirements.]

The BHTCC is one of SAMHSA's services grant programs. SAMHSA intends that its services grants result in the delivery of services as soon as possible after award. Service delivery should begin by the 6<sup>th</sup> month of the project at the latest.

BHTCC grants are authorized under Sections 509 of the Public Health Service Act, as amended for CSAT funds, and under Section 520A of the Public Health Service Act, as amended for CMHS funds. Jointly funding this program will allow grantees to reach a wider population of court-involved adults with behavioral health conditions (e.g., substance abuse disorders, serious mental illnesses, and co-occurring mental and substance use disorders) who need treatment and recovery support services.

This announcement addresses Healthy People 2020 Mental Health and Mental Disorders Topic Area HP 2020-MHMD and Substance Abuse Topic Area HP 2020-SA. Examples of various scenarios for which communities may use BHTCC funding are included in [Appendix K- Background Information](#).

## 2. EXPECTATIONS

**BHTCC requires the inclusion of a municipal court among the courts that will participate in the collaboration.** The participating municipal court must provide the opportunity to divert adults from the criminal justice system. As the field seeks to identify earlier opportunities for diversion, municipal courts provide a rich opportunity to identify and engage adults with behavioral health conditions in treatment and prevent further penetration into the criminal justice system. The initiative will focus on strengthening collaboration between all stakeholders, building judicial and peer leadership and enhancing cross-system training on recovery supports and trauma informed care. **In addition, applicants for funding under this announcement must use grant funds to address the behavioral health needs of veterans and military members who become involved in the criminal court system.**

Grant funds will support units of state, tribal, and local governments to establish a coordinated system of judicial intervention combined with community-based screening, assessment, referral, monitoring, and treatment of persons with behavioral health conditions in districts that have an established and operating, municipal court, criminal court to address substance use disorders, and at least one problem-solving court (e.g.

Drug court, DWI/DUI Court, Reentry Court, Veterans Treatment Court, Co-Occurring Court among others) or other justice system based diversion process (e.g., mental health court) that addresses the needs of persons with mental disorders, substance use disorders, and co-occurring mental and substance use disorders.

Grantees must provide services that address the needs of persons with SMI, substance use disorders, and co-occurring mental and substance use disorders and may not discriminate against or deny services to persons presenting with solely a substance use condition or mental health condition. For example, a drug court participating in the proposed collaboration may not restrict services to only those defendants presenting with a substance use condition thereby denying services to defendants who present with a mental health condition or a co-occurring condition.

Applicants must include municipal courts that provide the opportunity to divert from the criminal justice system within their court collaborative. In addition, applicants must outline plans to increase veteran specific interventions within the collaborative. These plans may include veteran's courts<sup>1</sup>, specialized dockets, enhanced detection and screening for referral, and/or any intervention designed to divert veterans from incarceration to community based treatment services.

Applicants should include a plan for a behavioral health treatment court collaboration that includes a partnership of a criminal municipal court dealing with adults with behavioral health service needs that will partner with community-based service providers to provide treatment and recovery support services to these court clients.

Partners involved in the collaboratives will be expected to work together to give adults in need the opportunity to thrive and become contributing members of their communities. The initiative will focus on strengthening collaboration between all stakeholders, building judicial and peer leadership and enhancing cross-system training on recovery supports and trauma informed care.

### **Required Activities**

BHTCC will assist in the development of infrastructure or expand and enhance existing infrastructure. Grantees will also be expected to establish and maintain collaborative partnerships in order to provide a path to diversion from the justice system or as an alternative to incarceration, as appropriate. In addition to expanding and/or enhancing

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<sup>1</sup> Veteran Courts are problem solving courts specifically designed for veterans. For more information, please see <http://www.justiceforvets.org/> and U.S. Veteran Affairs' Veteran Justice Outreach <http://www.va.gov/homeless/vjo.asp> for more information.

behavioral health outreach, treatment and recovery support services, the applicant must include a municipal court within the collaborative. The following are examples of services expansion and services enhancement as envisioned in this collaborative initiative:

**Services Expansion:** An applicant may propose to increase access and availability of services to a larger number of clients. Applications proposing expansion should propose to increase the number of adults receiving services as a result of the award. For example, if a treatment facility currently serves 50 persons per year and has a waiting list of 50 persons (but no funding to serve those persons) the applicant may propose to expand service capacity to be able to admit some or all of those persons on the waiting list. **Applicants must clearly state in the application abstract and the project narrative the number of additional clients to be served for each year of the proposed grant.**

**Services Enhancement:** An applicant may propose to improve the quality and/or intensity of services, for instance, by adding state of the art treatment approaches, or adding a new service to address emerging trends or unmet needs. For example, a substance abuse or mental health treatment provider may propose to add one or more treatment interventions (e.g., trauma-specific care, HIV screening and counseling, family-centered models, outpatient, Sequential Intercept Model) to the current treatment protocol for a population being served by the program. **Applicants proposing to enhance services must clearly indicate in the application abstract and the project narrative the number of clients who will receive the new enhancement services for each year of the proposed grant.** Furthermore, applicants proposing to enhance services must clearly indicate in the application how the enhancement is to be achieved (e.g., reduction in waiting lists, partnering with a new agency to provide the specific services enhancement).

Given the disproportionate contact with people of color in the justice system, applicants are expected to develop a strategy for tracking race, ethnicity, age, socioeconomic status, and geography of the population(s) of focus in your application to assure that the proposed services reach disadvantaged adults in need, including those at risk for disparities in access, use and outcomes of behavioral health treatment. Applicants must demonstrate that services provided to the population(s) of focus are culturally and linguistically appropriate.

During the first six months of the program applicants grantees will organize and develop infrastructure and establish and maintain collaborative partnerships in order to expand and/or enhance behavioral health outreach, treatment and recovery support services. In Phase II, applicants will implement and sustain coordination and service delivery to persons with behavioral health conditions in the justice system.

## Phase I: Planning, Infrastructure Development, and Collaborative Team Building

Applicants must support courts and communities in their development of a comprehensive, multi-agency, systems transformation approach to expanding and/or enhancing behavioral health treatment and recovery support services to the identified adults and their families. Applicants are expected to demonstrate a collaborative partnership among the problem solving court(s), diversion programs for persons with behavioral health conditions, other court or community alternative program partners, and community-based service organizations.

Applicants must:

Convene a BHTCC workgroup consisting of the participating judges/courts; representation from the governmental departments of corrections, local jails, parole/probation offices, law enforcement, mental health, substance abuse, rehabilitation, parole and probation; peer support and recovery organizations; peers/individuals for whom services are to be provided, provider organizations; and the project evaluator. The BHTCC must assure relevant interagency collaboration, oversee the project's evaluations and develop and implement plans for long term sustainment of integrated and collaborative processes. The BHTCC may be a new entity or may be an offshoot of existing inter-agency partnerships as long as it consists of the indicated governmental departments, provider organizations, and evaluator.

- Develop a written plan for an integrated strategy to implement a BHTCC project.
- Begin the project evaluation.
- Provide staff training on trauma informed care and ensuring that persons in need receive trauma specific treatment services.

Applicants may use up to 30 percent of the total grant award for infrastructure development during the first year and 15 percent during the second, third, and fourth years of the project period. Infrastructure activities include planning and implementing system linkages for court-community collaboration.

## Phase II: Coordination and Delivery of Services

- Beginning no later than six months after award, applicants will begin screening, assessment, referral, adjudication, monitoring, and treatment of persons with behavioral health conditions and use the information obtained from screening and assessment to develop appropriate treatment approaches. [For more information on the process of selecting screening instruments to identify co-

occurring substance use and mental disorders, go to [http://www.coce.samhsa.gov/products/cod\\_presentations.aspx](http://www.coce.samhsa.gov/products/cod_presentations.aspx).]

- Provide or purchase comprehensive substance abuse and/or mental health treatment that are evidence-based practices. Comprehensive treatment will include trauma specific treatment and recovery support.
- Applicants must continue to convene the BHTCC throughout the period of the project to oversee service implementation, coordination, and sustainability.
- Applicants must ensure that court and service personnel receive training in trauma informed care and recovery support services. Grant funds may be used for such training and additional training may be provided by SAMHSA technical assistance as appropriate.
- Applicants must use the data collected from the project evaluation to improve process and outcome.
- Applicants must provide a detailed description of the methods and approaches that will be used to reach the specified population(s) of focus.
- Applicants must also provide evidence that the proposed expansion and/or enhancement will address the overall goals and objectives of the project within the 4-year grant period.

**Allowable Infrastructure Activities:**

- Developing partnerships with other service providers for the delivery of services;
- Adopting and/or enhancing your computer system, management information system (MIS), electronic health records (EHRs), etc. to document and manage client needs, care process, integration with related support services, and outcomes;
- Training/workforce development to help court/judicial staff and/or other court partners as well as providers in the community identify mental health or substance abuse issues to provide effective services consistent with the purpose of the grant program;
- Cross-disciplinary training for both court and community services providers to increase effectiveness in working with both the behavioral health needs of the

adults, recovery, peer support, and to address the criminogenic/criminalist aspects of the adults' involvement with the justice system;

- Assistance in paying for Department of Labor Bonding for employment of the substance-abusing offender.

**Allowable Direct Services Activities:**

- Services to improve family functioning;
- Employment support services;
- Addressing criminogenic factors leading to recidivism (for example, training in reducing “criminal thinking” and life style);
- Case management models such as wrap around services, team approaches that include adult criminal court supervising authorities, and existing treatment alternatives organizations such as TASC or similar treatment referral and case management models;
- Drug testing for illicit substances required for supervision, treatment compliance, and therapeutic intervention;
- Education support for program participants;
- Relapse prevention and long-term management;
- Medication-Assisted Treatment (MAT) (e.g., Naltrexone, Disulfiram, Acamprosate Calcium, Buprenorphine for substance abuse needs);
- HIV testing conducted in accordance with state and local requirements. No more than 5 percent of grant funds may be used for HIV rapid testing<sup>2</sup>;

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<sup>2</sup> All clients who have a preliminary positive HIV test result must be administered a confirmatory HIV test result. Post award, applicants must develop a plan for medical case management of all clients who have a preliminary positive HIV and confirmatory HIV test result. Grantees will be required to report the number of HIV tests and counseling sessions purchased with CSAT grant funds; data on rapid and confirmatory test results; and risk behaviors and other data that may be required by CSAT. All data will be collected using a standardized CSAT-approved instrument and reported to a CSAT web-based data collection site. As appropriate, post award, SAMHSA will provide technical assistance to: train grantee staff in HIV rapid testing; obtain required State certification to conduct on-site testing; develop, as may be

- Support in finding housing (Note: funds cannot pay for housing);
- Peer support services; and
- Recovery-oriented systems of care support services, including transportation, life skills, employment services and job training, peer-to-peer services, mentoring, relapse prevention, and coaching services.

The following projected milestones illustrate how the BHTCC is expected to be developed over the 48 month funding period.

- 2 months: BHTCC Workgroup has convened. The RFA and Application are reviewed by the workgroup. Evaluation plans are submitted to IRC for review as appropriate. Necessary Memoranda of Understanding or other statements documenting support, service delivery, and coordination are developed and shared with the GPO at SAMHSA. Consensus on project goals, objectives and strategies developed.
- 4 Months BHTCC Workgroup achieves consensus on project goals, objectives, and strategies to implement project.
- 6 months: Staff hired, court personnel receive trauma informed care training; IRB approval received. Persons in the court system with mental illness, substance abuse and co-occurring disorders are screened, evaluated and enrolled in program. Peer recovery and support is integrated into service system. Services have begun to be provided to the identified adults in need.
- 12 months: Trauma Informed Care and Recovery Support training continues. Evaluation provides initial information on process and outcomes. BHTCC Workgroup reviews data and makes recommendations to improve or enhance system efficiencies and effectiveness. Data is now organized and arranged to articulate BHTCC model.

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required, agreements with State and local health departments regarding HIV testing activities; and develop a case management system for monitoring and tracking.

- 24 months: More robust results of evaluation prompt practice adaptations for better fit to settings and populations. Data provides evidence of effectiveness of the model. Sustainability plan is developed and implemented.
- 36 months: BHTCC Workgroup begins implementing policy and funding approaches to sustain practices. The intention is that grantees design and implement their project in such a way as to ensure the sustainability of efforts initiated under this grant when Federal grant funds end.
- 48 months: SAMHSA grant funding ends. At the end of the grant funding period, the grantee will have successfully diverted and treated the number of persons identified in its grant application; demonstrated the effectiveness of its court collaboration model; participated in and contributed to the cross-site evaluation; engaged municipal courts within the collaboration; involved peers in planning, service delivery and evaluation; actively engaged the municipal court in the collaboration; changed the way that the local court system identifies and processes individuals with mental illness, substance use and co-occurring disorders; and sustained practices and programs that were generated with grant funds.

If your application is funded, you will be expected to: 1) develop a health disparities impact statement. This statement should utilize grantee data to identify subpopulations (i.e., racial, ethnic, sexual/gender minority groups) vulnerable to health disparities; and (2) develop a plan to decrease the differences in **access, service use** and **outcomes** among those subpopulations. This plan should include use of the National Standards for Culturally and Linguistically Appropriate Services (CLAS) in Health and Health Care. (See Appendix J: Addressing Behavioral Health Disparities.)

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

Grantees must utilize third party and other revenue realized from provision of services to the extent possible and use SAMHSA grant funds only for services to individuals who are ineligible for public or commercial health insurance programs, individuals for whom coverage has been formally determined to be unaffordable, or for services that are not sufficiently covered by an individual's health insurance plan (co-pay or other cost sharing requirements are an acceptable use of SAMHSA grant funds). Grantees are also expected to facilitate the health insurance application and enrollment process for eligible uninsured clients. Grantees should also consider other systems from which a potential service recipient may be eligible for services (for example, the Veterans

Administration or senior services) if appropriate for and desired by that individual to meet his/her needs. In addition, grantees are required to implement policies and procedures that ensure other sources of funding are secured first when available for that individual.

Recovery from mental disorders and/or substance use disorders has been identified as a primary goal for behavioral health care. SAMHSA's Recovery Support Strategic Initiative is leading efforts to advance the understanding of recovery and ensure that vital recovery supports and services are available and accessible to all who need and want them. Building on research, practice, and the lived experiences of individuals in recovery from mental and/or substance use disorders, SAMHSA has developed the following working definition of recovery: *A process of change through which individuals improve their health and wellness, live a self-directed life, and strive to reach their full potential.* See <http://store.samhsa.gov/product/SAMHSA-s-Working-Definition-of-Recovery/PEP12-RECDEF> for further information, including the four dimensions of recovery, and 10 guiding principles. Programs and services that incorporate a recovery approach fully involve people with lived experience (including consumers/peers/people in recovery, youth, and family members) in program/service design, development, implementation, and evaluation.

SAMHSA's standard, unified working definition is intended to advance recovery opportunities for all Americans, particularly in the context of health reform, and to help clarify these concepts for peers/persons in recovery, families, funders, providers and others. The definition is to be used to assist in the planning, delivery, financing, and evaluation of behavioral health services. SAMHSA grantees are expected to integrate the definition and principles of recovery into their programs to the greatest extent possible.

Over 2 million men and women have been deployed to serve in support of overseas contingency operations, including Operation Enduring Freedom, Operation Iraqi Freedom, and Operation New Dawn. Individuals returning from Iraq and Afghanistan are at increased risk for suffering post-traumatic stress and other related disorders. Experts estimate that up to one-third of returning veterans will need mental health and/or substance abuse treatment and related services. In addition, the family members of returning veterans have an increased need for related support services. To address these concerns, SAMHSA strongly encourages all applicants to consider the unique needs of returning veterans and their families in developing their proposed project and consider prioritizing this population for services where appropriate.

The Affordable Care Act and the Health Information Technology for Economic and Clinical Health (HITECH) Act place strong emphasis on the widespread adoption and implementation of electronic health record (EHR) technology. Accordingly, all SAMHSA

grantees that provide services to individuals are encouraged to demonstrate ongoing clinical use of a certified electronic health record (EHR) system in each year of their SAMHSA grant. A certified EHR is an electronic health record system that has been tested and certified by an approved Office of National Coordinator's (ONC) certifying body.

In Section F: Electronic Health Record Technology (EHR), of the Project Narrative, applicants are asked either to:

- Indicate that this section is not-applicable if no clinical services will be provided through these grant funds.
- Identify the certified, EHR system that you, or the primary provider of clinical services associated with the grant (i.e., the grantee, sub-awardees or sub-contractor that is expected to deliver clinical services to the most patients during the term of the grant), have adopted to manage client-level clinical information (include a copy of your signed, executed EHR vendor contract in Attachment 6 of your application); *or*
- Describe the plan for the primary provider of clinical services to acquire a certified EHR system. This plan should include staffing, training, budget requirements and a timeline for implementation. Alternatively, if you have an EHR system that is not currently certified by an ONC approved certifying body; you may include a letter of commitment from your vendor and associated plan to achieve certification. This should include a timeline.

For more information and resources on EHRs, see [Appendix L](#).

Applicants may use up to 30 percent of the total grant award for infrastructure development during the first year and 15 percent during the second, third, and fourth years of the project period. Both CMHS and CSAT funding may be used to support infrastructure development.

## **2.1 Using Evidence-Based Practices**

SAMHSA's services grants are intended to fund services or practices that have a demonstrated evidence base and that are appropriate for the population(s) of focus. An evidence-based practice (EBP) refers to approaches to prevention or treatment that are validated by some form of documented research evidence. In [Section B](#) of your project narrative, you will need to:

- Identify the evidence-based practice(s) you propose to implement for the specific population(s) of focus.

- Identify and discuss the evidence that shows that the practice(s) is (are) effective for the specific population(s) of focus.
- If you are proposing to use more than one evidence-based practice, provide a justification for doing so and clearly identify which service modality and population of focus each practice will support.
- Discuss the population(s) for which the practice(s) has (have) been shown to be effective and show that it (they) is (are) appropriate for your population(s) of focus.

[Note: Please see [Appendix F](#), Funding Restrictions, regarding allowable costs for EBPs.]

SAMHSA recognizes that EBPs have not been developed for all populations and/or service settings. See [Appendix C](#) for additional information about using EBPs.

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

All SAMHSA grantees are required to collect and report certain data so that SAMHSA can meet its obligations under the Government Performance and Results (GPRA) Modernization Act of 2010. You must document your ability to collect and report the required data in “[Section E: Data Collection and Performance Measurement](#)” of your application. Grantees will be required to report performance on the following measures such as abstinence from substance use, employment, housing stability, criminal justice involvement, and social connectedness using the Adult National Outcome Measures (NOMs) Client-Level Measures, which can be found <http://www.samhsa.gov/grants/tools.aspx> along with instructions for completing it.

Data will be entered into CSAT’s GPRA Services Accountability Improvement System. GPRA data are to be entered into CSAT’s GPRA Services Accountability Improvement System via the Internet within 7 business days of the forms being completed. Data will be collected at baseline (i.e., the client’s entry into the project), discharge, and 6 months post baseline. In addition grantees are required to achieve 80 percent follow-up rates at 6 months post baseline. Training and technical assistance on data collection, tracking, and follow-up, as well as data entry, will be provided by CSAT. Applicants should be aware that CSAT’s GPRA Services Accountability Improvement System will migrate into the Common Data Platform during the life of the grant.

The collection of these data will enable CMHS and CSAT to report on the NOMs, which have been defined by SAMHSA as key priority areas relating to mental health and substance use. In addition to the National Outcome Measures (NOMs), data collected

by grantees will be used to demonstrate how SAMHSA's grant programs are reducing disparities in access, service use, and outcomes nationwide. If you have an electronic health records (EHR) system to collect and manage most or all client-level clinical information, you should use the EHR to automate GPRA reporting.

In addition to these measures, grantees will be expected to collect and report on their progress towards program goals on a quarterly basis. Grantees must monitor and report on jointly funded expenditures on an annual basis. In addition, grantees must comply with the reporting requirements listed on the SAMHSA website at <http://beta.samhsa.gov/grants/appling>. Guidance for quarterly reporting will be provided to grantees after award.

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

### **2.3 Local Performance Assessment**

Grantees must periodically review the performance data they report to SAMHSA (as required above) and assess their progress and use this information to improve management of their grant projects. The assessment should be designed to help you determine whether you are achieving the goals, objectives and outcomes you intend to achieve and whether adjustments need to be made to your project. Performance assessments also should be used to determine whether your project is having /will have the intended impact on behavioral health disparities. You will be required to report on your progress achieved, barriers encountered, and efforts to overcome these barriers in a performance assessment report to be submitted at least annually. At a minimum, your performance assessment should include the required performance measures identified above. Local data may be requested to assist with the cross site evaluation. You may also consider outcome and process questions, such as the following:

#### *Outcome Questions:*

- What was the effect of the intervention on key outcome goals?
- What program/contextual factors were associated with outcomes?
- What individual factors were associated with outcomes, including race/ethnicity/sexual identity (sexual orientation/gender identity)?
- How durable were the effects?

- Was the intervention effective in maintaining the project outcomes at 6-month follow-up?
- What is the prevalence of trauma among individuals who participate in the BHTCC?

As appropriate, describe how the data, including outcome data, will be analyzed by racial/ethnic group or other demographic factors to assure that appropriate populations are being served and that disparities in services and outcomes are minimized.

*Process Questions:*

- Is the program being delivered as intended?
- What types of changes were made to address disparities in access, service use, and outcomes across subpopulations, including the use of the CLAS standards ([See Appendix J](#))?
- How did the collaboration across courts improve client's access to services?
- What evidence based practices were implemented and what adaptations were made to accommodate the target population?
- Who provided (program staff) what services (modality, type, intensity, duration), to whom (individual characteristics), in what context (system, community) and at what costs (facilities)?

**Periodicity of completion and submission of the performance assessment will be determined during the start up phase of the project. No more than 20 percent of the total grant award may be used for data collection, performance measurement, and performance assessment, e.g., activities required in Sections I-[2.2](#) and [2.3](#) above.**

## **2.5 Grantee Meetings**

Grantees must plan to send a minimum of four people including the Project Director, evaluator, clinical supervisor, and one person in recovery (i.e., person with behavioral health condition and experience in the justice system who is involved in planning the project) to at least one joint grantee meeting in the first (FY 2015) and the last year (FY 2017) of the grant period. You must include a detailed budget and narrative for this travel in your budget. A virtual meeting will be held during the second year (FY 2016).

At these meetings, grantees will present the results of their projects and Federal staff will provide technical assistance. In person meetings will be 3 days. These meetings are usually held in the Washington D.C. area.

## II. AWARD INFORMATION

**Proposed budgets cannot exceed \$348,142 total costs (direct and indirect) in any year of the proposed project. Up to 50 percent is available from CMHS and 50 percent from CSAT per award for each year of the grant.** Annual continuation awards will depend on the availability of funds, grantee progress in meeting project goals and objectives, timely submission of required data and reports, and compliance with all terms and conditions of award.

These awards will be made as grants.

### **Funding Allocation**

SAMHSA's Center for Substance Abuse Treatment (CSAT) and Center for Mental Health Services (CMHS) are jointly funding awards in this funding announcement to allow successful applicants to provide both infrastructure development and services delivery in order to improve local behavioral health systems transformation within the local criminal court systems and community-based service providers. Joint funding allows grantees to use funds to provide services for individuals involved with the criminal justice system that have behavioral health needs including SMI, substance use, and co-occurring substance use and mental disorders.

Although CSAT and CMHS funds are funding a spectrum of infrastructure, treatment and recovery support services, applicants must track and report the use of funds separately.

Funds may be used for infrastructure development, evaluation, diversion and system linkage, screening and assessment, and the treatment and support of individuals diagnosed with co-occurring mental and substance use disorders.

Only CMHS funds can be used to pay for treatment and recovery support services for individuals who have a mental disorder. CMHS funds **cannot** be used to pay for treatment and recovery support services for individuals with **only** a substance use disorder.

Only CSAT funds can be used to pay for treatment and recovery support services for individuals who have a substance use disorder. CSAT funds **cannot** be used to pay for treatment and recovery support service for individuals with **only** a mental disorder.

Applicants must delineate the CMHS and CSAT funds by submitting one budget that includes a column for CMHS requested funds and a column for CSAT requested funds. ([See Appendix H – Sample Budget and Justification](#)).

### III. ELIGIBILITY INFORMATION

#### 1. ELIGIBLE APPLICANTS

SAMHSA is restricting eligibility to operational individual misdemeanor or felony adult criminal courts, municipal courts, or tribal/state or local governmental proxies who may apply on their behalf. Therefore, units of tribal/state/local government such as the Tribal Court Administrator, the Administrative Office of the Courts, the Single State Agency for Alcohol and Drug Abuse, the State Mental Health Agency, the designated State Drug Court Coordinator, or local governmental unit such as the county or city agency with direct involvement with the identified adult criminal court may apply on behalf of the collaborative. When the state, tribal, or local unit of government is the applicant, all awarded grant funds must be dedicated to the local BHTCC with the exception of a small set aside, not to exceed two percent of the total award, that is permissible to cover the costs of administration and oversight of the grant.

**The BHTCC must contain an operational municipal court. The applicant must include a letter from the presiding judicial officer of the Municipal Court indicating their agreement to participate in the collaborative. If this letter is not included in Attachment 6 your application will be screened out and not submitted for review.**

“Operational” is defined as a judge designated to a court with a docket of specific cases and seeing defendants on a regular and recurring basis for at least one year prior to the submission of the grant application. By signing the application form SF-424 the applicant certifies that the applicant court meets the definition of an “operational” court.

This grant program is intended to link existing courts and community entities for a BHTCC. Funds can not be used for start of new courts or the operation and maintenance of existing courts.

If the Collaborative includes other courts, court diversion processes, or justice programs that are planned but not already in place, include **in Attachment 6 of your application** documentation that funding has been secured for the this program.

SAMHSA is limiting eligibility to best enable diversion from the criminal justice system for those individuals with behavioral health conditions. Through the collaborative supported by this program, these courts provide multiple entry points for this population.

These types of courts are best suited to develop networks to offer appropriate treatment to interrupt the cycle of incarceration and recidivism.

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

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

Cost sharing/match is not required in this program.

## **3. OTHER**

### **3.1 Additional Eligibility Requirements**

**You must comply with the following three requirements, or your application will be screened out and will not be reviewed:**

1. use of the SF-424 application form; Budget Information form SF-424A; Project/Performance Site Location(s) form; Disclosure of Lobbying Activities, if applicable; and Checklist.
2. application submission requirements in Section IV-3 of this document; and
3. Formatting requirements provided in Appendix A of this document.

### **3.2 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 required services quickly and effectively. You must meet three additional requirements related to the provision of services.

The three requirements are:

- A provider organization for direct client substance abuse treatment, substance abuse, and mental health services appropriate to the grant 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/substance abuse treatment provider organization must have at least 2 years experience (as of the due date of the application) providing relevant services in the geographic area(s) in which services are to

be provided (official documents must establish that the organization has provided relevant services for the last 2 years); and

- Each mental health/substance abuse 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.

**[Note: The above requirements apply to all service provider organizations. A license from an individual clinician will not be accepted in lieu of a provider organization's license. Eligible tribes and tribal organization mental health/substance abuse treatment providers must comply with all applicable tribal licensing, accreditation, and certification requirements, as of the due date of the application. See Appendix D, Statement of Assurance.]**

Following application review, if your application's score is within the funding range, the GPO may contact you to request that the following documentation be sent by overnight mail, or to verify that the documentation you submitted is complete:

- a letter of commitment from every mental health/substance abuse treatment provider organization that has agreed to participate in the project that specifies the nature of the participation and the service(s) that will be provided;
- official documentation that all mental health/substance abuse treatment provider organizations participating in the project have been providing relevant services for a minimum of 2 years prior to the date of the application in the area(s) in which the services are to be provided; and
- official documentation that all participating mental health/substance abuse treatment provider organizations: 1) comply with all applicable local (city, county) and state requirements for licensing, accreditation, and certification; **OR** 2) official documentation from the appropriate agency of the applicable state, county, or other governmental unit that licensing, accreditation, and certification requirements do not exist.<sup>3</sup>
- For tribes and tribal organizations only, official documentation that all participating mental health/substance abuse treatment provider organizations: 1) comply with all applicable tribal requirements for licensing, accreditation, and certification; **OR** 2) documentation from the tribe or other tribal governmental unit that licensing, accreditation, and certification requirements do not exist.

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<sup>3</sup> Tribes and tribal organizations are exempt from these requirements.

**If the GPO does not receive this documentation within the time specified, your application will not be considered for an award.**

## **IV. APPLICATION AND SUBMISSION INFORMATION**

### **1. CONTENT AND GRANT APPLICATION SUBMISSION**

You must go to both Grants.gov (<http://www.Grants.gov>) and the SAMHSA website (<http://beta.samhsa.gov/grants/applying>) to download the required documents you will need to apply for a SAMHSA grant.

#### **Grants.gov**

How to Download Forms from Grants.gov (see [Appendix B](#) for information on applying through Grants.gov)

To view and/or download the required application forms, you must first search for the appropriate funding announcement number (called the opportunity number).

On the Grants.gov site (<http://www.Grants.gov>), select the Apply for Grants option from the Applicants Tab at top of the screen. Under STEP 1, click on the red button labeled: 'Download a Grant Application Package'. Enter either the Funding Opportunity Number (SAMHSA's Funding Announcement #) or the Catalogue of Federal Domestic Assistance (CFDA) Number exactly as they appear on the cover page of this RFA, then click the Download Package button. In the Instructions column, click the Download link.

You can view, print or save all of these forms. You can complete the forms for electronic submission to Grants.gov. Completed forms can also be saved and printed for your records. These required forms include:

- Application for Federal Assistance (SF-424);
- Budget Information – Non-Construction Programs (SF-424A);
- Project/Performance Site Location(s) Form;
- Disclosure of Lobbying Activities;
- Checklist.

**Applications that do not include these required forms will be screened out and will not be reviewed.**

## **SAMHSA's Grants Website**

You will find additional materials you will need to complete your application on SAMHSA's website (<http://beta.samhsa.gov/grants/applying>). These include: Request for Applications (RFA) – Provides a description of the program, specific information about the availability of funds, and instructions for completing the grant application. This document is the RFA;

- Assurances – Non-Construction Programs;
- Certifications; and
- Charitable Choice Form SMA 170.

See Section IV-1.1-Assurances of this RFA to determine if you are required to submit Charitable Choice Form SMA 170. If you are, you can upload this form to Grants.gov when you submit your application.

**Be sure to check the SAMHSA website periodically for any updates on this program.**

### **1.1 Required Application Components**

Applications must include the following 12 required application components:

- **Application for Federal Assistance (SF-424)** – This form must be completed by applicants for all SAMHSA grants. [Note: Applicants must provide a Dun and Bradstreet (DUNS) number to apply for a grant or cooperative agreement from the federal government. SAMHSA applicants are required to provide their DUNS number on the first page of the application. Obtaining a DUNS number is easy and there is no charge. To obtain a DUNS number, access the Dun and Bradstreet website at <http://www.dnb.com> or call 1-866-705-5711. To expedite the process, let Dun and Bradstreet know that you are a public/private nonprofit organization getting ready to submit a federal grant application. In addition, you must be registered in the new System for Award Management (SAM). The former Central Contractor Registration (CCR) transitioned to the SAM on July 30, 2012. **SAM information must be updated at least every 12 months to remain active (for both grantees and sub-recipients).** Once you update your record in SAM, it will take 48 to 72 hours to complete the validation processes. **Grants.gov will reject submissions from applicants who are not registered in SAM or those with expired SAM registrations (Entity Registrations).** **The DUNS number you use on your application must be registered and active in the SAM. To create a user account,**

**Register/Update entity and/or Search Records from CCR, go to <https://www.sam.gov>.]**

- **Abstract** – Your total abstract must not be longer than 35 lines. It should include the project name, population(s) to be served (demographics and clinical characteristics), strategies/interventions, project goals and measurable objectives, including the number of people to be served annually and throughout the lifetime of the project, etc. In the first five lines or less of your abstract, write a summary of your project that can be used, if your project is funded, in publications, reports to Congress, or press releases.
- **Table of Contents** – Include page numbers for each of the major sections of your application and for each attachment.
- **Budget Information Form** – Use SF-424A. Fill out Sections B, C, and E of the SF-424A. A sample budget and justification is included in Appendix H of this document. Applicants must submit a single budget with separate columns requesting CMHS and CSAT funds.
- **Project Narrative and Supporting Documentation** – The Project Narrative describes your project. It consists of Sections A through F. Sections A-F together may not be longer than 30 pages. Remember that if your Project Narrative starts on page 5 and ends on page 35, it is 31 pages long, not 30 pages. More detailed instructions for completing each section of the Project Narrative are provided in “Section V – Application Review Information” of this document.

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

- **Attachments 1 through 5** – Use only the attachments listed below. If your application includes any attachments not required in this document, they will be disregarded. Do not use more than a total of 30 pages for Attachments 1, 3 and 4 combined. There are no page limitations for Attachments 2 and 5. Do not use attachments to extend or replace any of the sections of the Project Narrative. Reviewers will not consider them if you do. Please label the attachments as: Attachment 1, Attachment 2, etc.

**[Modify the following, if necessary, and change the text in the above paragraph accordingly. Remember to change the attachment #s throughout the text of the RFA and in the TOC if you change them below:]**

- **Attachment 1:** (1) Identification of at least one experienced, licensed mental health/substance abuse treatment provider organization; (2) a list of all direct service provider organizations that have agreed to participate in the proposed project, including the applicant agency, if it is a treatment or prevention service provider organization; (3) letters of commitment from these direct service provider organizations; (4) the Statement of Assurance (provided in Appendix D of this announcement) signed by the authorized representative of the applicant organization identified on the first page (SF-424) of the application, that assures SAMHSA that all listed providers meet the 2-year experience requirement, are appropriately licensed, accredited, and certified, and that if the application is within the funding range for an award, the applicant will send the GPO the required documentation within the specified time.
- **Attachment 2:** Data Collection Instruments/Interview Protocols – if you are using standardized data collection instruments/interview protocols, you do not need to include these in your application. Instead, provide a web link to the appropriate instrument/protocol. If the data collection instrument(s) or interview protocol(s) is/are not standardized, you must include a copy in Attachment 2.
- **Attachment 3:** Sample Consent Forms
- **Attachment 4:** Letter to the SSA (if applicable; see Section IV-4 of this document)
- **Attachment 5:** A copy of the state or county strategic plan, a state or county needs assessment, or a letter from the state or county indicating that the proposed project addresses a state- or county-identified priority. Tribal applicants must provide similar documentation relating to tribal priorities.
- **Attachment 6:** (1) A copy of the signed, executed EHR vendor contract, if you have an existing EHR system, (2) Letter from the presiding judicial officer of the Municipal Court indicating their agreement to participate in the collaborative and (3) If applicable, documentation that courts, court diversion processes, or justice programs planned but not already in place, have secured funding for the this program.

- **Project/Performance Site Location(s) Form** – The purpose of this form is to collect location information on the site(s) where work funded under this grant announcement will be performed. This form will be posted on SAMHSA’s website with the RFA.
- **Assurances** – Non-Construction Programs. You must read the list of assurances provided on the SAMHSA website and **check the box marked ‘I agree’** before signing the first page (SF-424) of the application. You are also required to complete the Assurance of Compliance with SAMHSA Charitable Choice Statutes and Regulations Form SMA 170. This form will be posted on SAMHSA’s website with the RFA and provided in the application package.
- **Certifications** – You must read the list of certifications provided on the SAMHSA website and **check the box marked ‘I agree’** before signing the first page (SF-424) of the application.
- **Disclosure of Lobbying Activities** – Federal law prohibits the use of appropriated funds for publicity or propaganda purposes or for the preparation, distribution, or use of the information designed to support or defeat legislation pending before the Congress or state legislatures. This includes “grass roots” lobbying, which consists of appeals to members of the public suggesting that they contact their elected representatives to indicate their support for or opposition to pending legislation or to urge those representatives to vote in a particular way. You must sign and submit this form, if applicable.
- **Checklist** – The Checklist ensures that you have obtained the proper signatures, assurances and certifications. **You must complete the entire form**, including the top portion, “Type of Application”, indicating if this is a new, noncompeting continuation, competing continuation or supplemental application, as well as Parts A through D.
- **Documentation of nonprofit status** as required in the Checklist.

## 1.2 Application Formatting Requirements

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

## 2. APPLICATION SUBMISSION REQUIREMENTS

Applications are due by **11:59 PM** (Eastern Time) on **April 18, 2014**.

Your application must be submitted through <http://www.Grants.gov>. Please refer to Appendix B, "Guidance for Electronic Submission of Applications."

## 3. INTERGOVERNMENTAL REVIEW (E.O. 12372) REQUIREMENTS

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

## 4. FUNDING LIMITATIONS/RESTRICTIONS

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

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

In addition, SAMHSA's BHTCC grant recipients must comply with the following funding restrictions:

- CSAT funds may be used to provide direct services including screening, assessment, and treatment and recovery support services as indicated in **Section 2. Expectations, Allowable Services** for adults with substance use/abuse conditions or co-occurring disorders of substance use/abuse and mental health conditions. CSAT funds cannot be used to provide direct services including screening, assessment, or providing treatment and recovery services for adults with mental health needs **only**, or pay for any medications for mental health needs;

- CMHS funds may be used to provide direct services including screening, assessment, and treatment and recovery support services as indicated in **Section 2. Expectations, Allowable Services** for adults with mental health conditions or co-occurring disorders of substance use/abuse and mental health conditions. CMHS funds cannot be used to provide direct services including screening, assessment, or providing treatment and recovery services for adults with substance use/abuse treatment needs **only**.
- Co-Occurring disorders of substance use/abuse and mental health needs: CSAT and/or CMHS funds may be used to provide services to meet the needs of adults presenting with co-occurring disorders of substance use/abuse and mental health conditions without restrictions.
- Although CSAT and/or CMHS funds may be used separately or pooled together for infrastructure development, no more than 30% of the total grant award in year one may be used for developing the infrastructure necessary to achieve the goals of this program;
- No more than 15% of the total grant award in years two, three and four may be used for developing the infrastructure necessary to achieve the goals of this program;
- No more than 20% of the total grant award may be used for data collection, performance measurement and performance assessment, including incentives for participating in the required data collection follow-up.

Be sure to identify these expenses in your proposed budget.

**SAMHSA grantees also must comply with SAMHSA’s standard funding restrictions, which are included in Appendix F.**

## **V. APPLICATION REVIEW INFORMATION**

### **1. EVALUATION CRITERIA**

**[Note: Adapt the sections of the Project Narrative as appropriate to your grant program. Please use the language provided for bullets in each section to the extent possible, in order to increase the consistency among SAMHSA grant announcements.]**

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

- In developing the Project Narrative section of your application, use these instructions, which have been tailored to this program.
- The Project Narrative (Sections A-F) together may be no longer than 30 pages.
- You must use the six sections/headings listed below in developing your Project Narrative. You must place the required information in the correct section, **or it will not be considered**. Your application will be scored according to how well you address the requirements for each section of the Project Narrative.
- The Budget Justification and Supporting Documentation you provide in Sections G-H and Attachments 1-6 will be considered by reviewers in assessing your response, along with the material in the Project Narrative.
- The number of points after each heading is the maximum number of points a review committee may assign to that section of your Project Narrative. Although scoring weights are not assigned to individual bullets, each bullet is assessed in deriving the overall Section score.

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

- Describe and justify your population(s) of focus. [Note: the population(s) of focus must include persons with SMI, substance abuse, and co-occurring mental and substance use disorders who are also involved with the criminal court system or a court diversion/alternative program.] Demographic information on the population(s) of focus, e.g., race, ethnicity, age, socioeconomic status, geography must be provided. Include demographic information on persons who have served in the military.
- Describe and justify the judicial district and/or geographic area to be served.
- Describe the nature of the problem and document the extent of the need (e.g., current prevalence rates or incidence data) for the population(s) of focus based on data. The statement of need should include a clearly established baseline for the project. Provide sufficient information on how the data were collected so reviewers can assess the reliability and validity of the data. Documentation of need may come from a variety of qualitative and quantitative sources. The quantitative data could come from local epidemiologic data, State data (e.g., from State Needs Assessments, SAMHSA's National Survey on Drug Use and Health), and/or national data (e.g., from SAMHSA's National Survey on Drug Use and Health or from National Center for Health Statistics/Centers for Disease Control reports).

- Discuss the relationship of your population of focus, including sub-populations to the overall population in your geographic catchment area and identify sub-population disparities, if any, relating to access/use/outcomes of your provided services citing relevant data. Demonstrate an understanding of these populations consistent with the purpose of your program and intent of the RFA.
- Explain how the breakdown of requested CSAT and CHMS funds will correspond to the identified mental health and substance abuse needs of the population(s) of focus.

**Section B: Proposed Evidence-Based Service/Practice (25 points)**

- Describe the purpose of the proposed project, including its goals and objectives. These must relate to the intent of the RFA and performance measures you identify in Section E: Data Collection and Performance Measurement. (Indicate if you are proposing a residential program.)
- Describe the Evidence-Based Practice (EBP) that will be used and justify its use for your population of focus, your proposed program, and the intent of this RFA. Describe how the proposed practice will address the following issues in the population(s) of focus, while retaining fidelity to the chosen practice: demographics (race, ethnicity, religion, gender, age, geography, and socioeconomic status); language and literacy; sexual identity (sexual orientation, gender identity); and disability. [See Appendix C: Using Evidence-Based Practices (EBPs).]
- Explain how your choice of an EBP will help you address disparities in subpopulations.
- Describe any modifications that will be made, the reasons the modifications are necessary, and the implications of these modifications to the fidelity of the EBP.
- If an EBP does not exist/apply for your program, fully describe the practice you plan to implement, explain why it is appropriate for the population of focus, and justify its use compared to an appropriate existing EBP.
- Provide a logic model that links need, any development of infrastructure, systems linkages among the courts and collaboration with the community providers, the services or practice to be implemented, and outcomes.

## Section C: Proposed Implementation Approach (30 points)

- Describe how the collaborative will implement Phase 1 of the project: Planning, Infrastructure Development, and Collaborative Team Building.
- Describe how achievement of the goals will produce meaningful and relevant results for your community (e.g., increase access, availability, prevention, outreach, pre-services, treatment, and/or intervention) and support SAMHSA's goals for the program.
- Provide a chart or graph depicting a realistic time line for the entire project period showing key activities, milestones, and responsible staff. These key activities should include the requirements outlined in [Section 1-2: Expectations](#). Be sure to show that the project can be implemented and service delivery can begin as soon as possible and no later than 6 months after grant award. [Note: The time line should be part of the Project Narrative. It should not be placed in an attachment.]
- If applicable, describe the funding the applicant court has secured for planned but not yet operational partnering courts or court diversion programs, and how the court programs are implemented and operational within six months of grant award.
- Describe how the collaborative will achieve a more equitable balance to reach and serve persons with mental illness, substance use and co-occurring disorders.
- Describe how achievement of the goals will produce meaningful and relevant results (e.g., increase diversion or alternatives to justice involvement, decrease incidents of criminal activity, increase access, availability, prevention, outreach, pre-services, treatment, and/or intervention) and support SAMHSA's Strategic Initiative "Trauma and Justice" goals for the program.
- Given the disproportionate overrepresentation of people of color in the justice system describe your strategy for tracking ethnicity, age, socioeconomic status, and geography of the population(s) of focus for your proposal to assure that the proposed services reach these individuals in need.

- Describe how you will identify, recruit and retain the population(s) of focus. Using your knowledge of the language, beliefs, norms, values and socioeconomic factors of the population(s) of focus, discuss how the proposed approach addresses these issues in outreaching, engaging and delivering programs to this population, e.g., using peer support. Include a discussion of how you will identify, recruit and retain persons who have served in the military.
- Describe how you will ensure the input of persons with lived experience (e.g., persons in recovery, consumers) in assessing, planning and implementing your project.
- Identify any other organizations that will participate in the proposed project. Refer to Section 2. Expectations; Required Activities; Phase 1 for a list of identified organizations required to participate in the Collaborative. Describe their roles and responsibilities and demonstrate their commitment to the project. Include letters of commitment and/or support from community organizations supporting the project in **Attachment 1**.
- State whether the program is a services expansion or services enhancement and the unduplicated number of individuals you propose to serve, including sub-populations, (annually and over the entire project period) with grant funds, including the types and numbers of services to be provided and anticipated outcomes. You are required to include the numbers to be served by race, ethnicity, and gender.

**Section D: Staff and Organizational Experience (10 points)**

- Discuss the capability and experience of the applicant organization and other participating organizations with similar projects and populations. Demonstrate that the applicant organization and other participating organizations have linkages to the population(s) of focus and ties to grassroots/community-based organizations that are rooted in the culture(s) and language(s) of the population(s) of focus.
- Provide a complete list of staff positions for the project, including the Project Director and other key personnel, showing the role of each and their level of effort and qualifications.

- Discuss how key staff has demonstrated experience and are qualified to serve the population(s) of focus and are familiar with their culture(s) and language(s).
- Describe how program continuity will be maintained when there is a change in the operational environment (e.g., staff turnover, change in project leadership) to ensure stability over time.

**Section E: Data Collection and Performance Measurement (20 points)**

- Document your ability to collect and report on the required performance measures as specified in [Section I-2.2](#) of this RFA. Describe your plan for data collection, management, analysis and reporting. Specify and justify any additional measures or instruments you plan to use for your grant project.
- Describe the data-driven quality improvement process by which sub-population disparities in access/use/outcomes will be tracked, assessed, and reduced.
- Describe your plan for conducting the local performance assessment as specified in Section I-2.3 of this RFA and document your ability to conduct the assessment.
- Describe your plan to use performance measurement to improve the quality of services that are being funded through this grant and how a data plan will be integrated into an overall strategy to continue the project after federal funding ends.

**Section F: Electronic Health Record (EHR) Technology (5 points)**

- If you currently have an existing EHR system, identify the EHR system that you, or the primary provider of clinical services associated with the grant (i.e., the grantee, sub-awardees or sub-contractor that is expected to deliver clinical services to the most patients during the term of the grant), have adopted to manage client-level clinical information for your proposed project. Include a copy of your EHR vendor contract in **Attachment 6** of your application.
- If you or the primary provider of clinical services does not currently have an existing EHR system, describe the plan to acquire an EHR system. This plan should include staffing, training, budget requirements (including additional resources for funding), and a time line for implementation. Be sure to include these costs in your budget. Alternatively, if you have an EHR system that is not currently certified by an ONC approved certifying body; you may include a letter

of commitment from your vendor and associated plan to achieve certification. This should include a time line.

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

### **Budget Justification, Existing Resources, Other Support (other federal and non-federal sources)**

You must provide a narrative justification of the items included in your proposed budget, as well as a description of existing resources and other support you expect to receive for the proposed project. 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. (This should correspond to Item #18 on your SF-424, Estimated Funding.) Other sources of funds may be used for unallowable costs, e.g., meals, sporting events, entertainment.

Be sure to show that no more than 30 percent of the total grant award will be used for infrastructure development in year one and no more than 15 percent in years two thru four, if necessary, and that no more than 20 percent of the total grant award will be used for data collection, performance measurement and performance assessment.

**Specifically identify the items associated with these costs in your budget.** An illustration of a budget and narrative justification is included in Appendix H, Sample Budget and Justification, of this document.

**The budget justification and narrative must be submitted as file BNF when you submit your application into Grants.gov. (See Appendix B, Guidance for Electronic Submission of Applications.)**

### **SUPPORTING DOCUMENTATION**

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

**Section H:** Biographical Sketches and Job Descriptions.

- Include position descriptions for the Project Director and all key personnel. Position descriptions should be no longer than 1 page each.

- For staff that has been identified, include a biographical sketch for the Project Director and other key positions. Each sketch should be 2 pages or less. Reviewers will not consider information past page 2.
- Information on what you should include in your biographical sketches and job descriptions can be found in [Appendix G](#) of this document.

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

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

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

Decisions to fund a grant are based on:

- the strengths and weaknesses of the application as identified by peer reviewers;
- When the individual award is over \$150,000, approval by the Center for Mental Health Services' National Advisory Council;
- availability of funds; and
- Equitable distribution of awards in terms of geography (including urban, rural and remote settings) and balance among populations of focus and program size.

## **VI. ADMINISTRATION INFORMATION**

### **1. AWARD NOTICES**

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

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

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

## 2. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS

- If your application is funded, you must comply with all terms and conditions of the grant award. SAMHSA's standard terms and conditions are available on the SAMHSA website at <http://www.samhsa.gov/grants/management.aspx>.
- If your application is funded, you must also comply with the administrative requirements outlined in 45 CFR Part 74 or 45 CFR Part 92, as appropriate. For more information see the SAMHSA website (<http://www.samhsa.gov/grants/management.aspx>).
- Depending on the nature of the specific funding opportunity and/or your proposed project as identified during review, SAMHSA may negotiate additional terms and conditions with you prior to grant award. These may include, for example:
  - actions required to be in compliance with confidentiality and participant protection/human subjects requirements;
  - requirements relating to additional data collection and reporting;
  - requirements relating to participation in a cross-site evaluation;
  - requirements to address problems identified in review of the application; or
  - Revised budget and narrative justification.
- If your application is funded, you will be held accountable for the information provided in the application relating to performance targets. SAMHSA program officials will consider your progress in meeting goals and objectives, as well as your failures and strategies for overcoming them, when making an annual recommendation to continue the grant and the amount of any continuation award. Failure to meet stated goals and objectives may result in suspension or termination of the grant award, or in reduction or withholding of continuation awards.
- If your application is funded, you must comply with Executive Order 13166, which requires that recipients of federal financial assistance provide meaningful access to limited English proficient (LEP) persons in their programs and activities. You may assess the extent to which language assistance services are necessary in your grant program by utilizing the HHS *Guidance to Federal*

*Financial Assistance Recipients Regarding Title VI Prohibition Against National Origin Discrimination Affecting Limited English Proficient Persons*, available at <http://www.hhs.gov/ocr/civilrights/resources/laws/revisedlep.html>.

- Grant funds cannot be used to supplant current funding of existing activities. “Supplant” is defined as replacing funding of a recipient’s existing program with funds from a federal grant.

### **3. REPORTING REQUIREMENTS**

In addition to the data reporting requirements listed in Section I-2.2, grantees must comply with the reporting requirements listed on the SAMHSA website at <http://beta.samhsa.gov/grants/applying/reporting-requirements>.

Grantees must separately track CMHS and CSAT expenditures in a formal accounting system as well as the expenditures for services that could have been funded by either Center. The grantee must report in annual and final Federal Financial Reports (SF 425), its total expenditures, CMHS expenditures, CSAT expenditures, and CMHS and CSAT expenditures that could have been funded by either Center.

## **VII. AGENCY CONTACTS**

For questions about program issues contact:

### **CMHS:**

Roxanne Castaneda  
Division of Service and Systems Improvement  
Substance Abuse and Mental Health Services Administration  
1 Choke Cherry Road, Room 6-1014  
240-276-1917  
[Roxanne.Castaneda@samhsa.hhs.gov](mailto:Roxanne.Castaneda@samhsa.hhs.gov)

### **CSAT:**

Kenneth W. Robertson  
Division of Services Improvement  
Center for Substance Abuse Treatment  
Substance Abuse and Mental Health Services Administration  
1 Choke Cherry Road, Room 5-1001  
240-276-1621  
[Kenneth.Robertson@samhsa.hhs.gov](mailto:Kenneth.Robertson@samhsa.hhs.gov)

For questions on grants management and budget issues contact:

**CMHS:**

Gwendolyn Simpson  
Office of Financial Resources, Division of Grants Management  
Substance Abuse and Mental Health Services Administration  
1 Choke Cherry Road  
Room 7-1091  
Rockville, Maryland 20857  
(240) 276-1408  
[gwendolyn.simpson@samhsa.hhs.gov](mailto:gwendolyn.simpson@samhsa.hhs.gov)

**CSAT:**

Eileen Bermudez  
Office of Financial Resources, Division of Grants Management  
Substance Abuse and Mental Health Services Administration  
1 Choke Cherry Road  
Room 7-1091  
Rockville, Maryland 20857  
(240) 276-1412  
[eileen.bermudez@samhsa.hhs.gov](mailto:eileen.bermudez@samhsa.hhs.gov)

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

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

- Use the SF-424 Application form; Budget Information for SF-424A; Project/Performance Site Location(s) form; Disclosure of Lobbying Activities, if applicable; and Checklist.
- Applications must be received by the application due date and time, as detailed in Section IV-3 of this grant announcement.
- You must be registered in the System Award Management (SAM) prior to submitting your application. The DUNS number used on your application must be registered and active in the SAM prior to submitting your application.
- Information provided must be sufficient for review.
- Text must be legible. Pages must be typed in black, single-spaced, using a font of Times New Roman 12, with all margins (left, right, top, bottom) at least one inch each. **You may use Times New Roman 10 only for charts or tables.** (See additional requirements in Appendix B, "Guidance for Electronic Submission of Applications.")
- To ensure equity among applications, page limits for the Project Narrative cannot be exceeded.

*To facilitate review of your application, follow these additional guidelines. Failure to adhere to the following guidelines will not, in itself, result in your application being screened out and returned without review. However, the information provided in your application must be sufficient for review. Following these guidelines will help ensure your application is complete, and will help reviewers to consider your application.*

- Applications should comply with the following requirements:
  - Provisions relating to confidentiality and participant protection/human subjects specified in Appendix I of this announcement

- Budgetary limitations as specified in Sections I, II, and IV-4 of this announcement
- Documentation of nonprofit status as required in the Checklist.
- Black print should be used throughout your application, including charts and graphs (no color). **Materials with printing on both sides will be excluded from the application and not sent to peer reviewers.**
- Pages should be numbered consecutively from beginning to end so that information can be located easily during review of the application. The abstract page should be page 1, the table of contents should be page 2, etc. The four pages of the SF-424 are not to be numbered. Attachments should be labeled and separated from the Project Narrative and budget section, and the pages should be numbered to continue the sequence.
- The page limits for Attachments stated in Section IV-1.1 of this announcement should not be exceeded.

## Appendix B – Guidance for Electronic Submission of Applications

SAMHSA discretionary grant applications must be submitted electronically through Grants.gov. **SAMHSA will not accept paper applications**, except when a waiver of this requirement is approved by SAMHSA. The process for applying for a waiver is described later in this appendix.

If this is the first time you have submitted an application through Grants.gov, you must complete **three separate registration processes** before you can submit your application. Allow at least two weeks (10 business days) for these registration processes, prior to submitting your application. The processes are:

1. DUNS Number registration:

**The DUNS number you use on your application must be registered and active in the SAM.**

2. System for Award Management (SAM) registration:

The **System for Award Management (SAM)** is a federal government owned and operated free website that replaces capabilities of the former Central Contractor Registry (CCR) system, as well as EPLS. Future phases of SAM will add the capabilities of other systems used in federal awards processes.

**SAM information must be updated at least every 12 months to remain active (for both grantees and sub-recipients).** Once you update your record in SAM, it will take 48 to 72 hours to complete the validation processes.

**Grants.gov will reject electronic submissions from applicants with expired registrations. To create a user account, Register/Update entity and/or Search Records from CCR, go to <https://www.sam.gov>.**

You will find a ***Quick Start Guide for Entities Interested in Being Eligible for Grants through SAM*** at

[https://www.sam.gov/sam/transcript/Quick\\_Guide\\_for\\_Grants\\_Registrations.pdf](https://www.sam.gov/sam/transcript/Quick_Guide_for_Grants_Registrations.pdf).

3. Grants.gov Registration (get username and password):

Be sure the person submitting your application is properly registered with Grants.gov as the Authorized Organization Representative (AOR) for the specific DUNS number cited on the SF-424 (first page). See the Organization

Registration User Guide for details at the following Grants.gov link:  
<http://www.grants.gov/web/grants/applicants/organization-registration.html>.

You can find additional information on the registration process at  
<http://www.grants.gov/web/grants/outreach/grantsgov-training.html>.

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

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

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

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

If you experience issues/problems with electronic submission of your application through Grants.gov, contact the Grants.gov helpdesk by email at [support@grants.gov](mailto:support@grants.gov) or by phone at 1-800-518-4726 (1-800-518-GRANTS). **Make sure you get a case/ticket/reference number that documents the issues/problems with**

**Grants.gov.** It is critical that you initiate electronic submission in sufficient time to resolve any issues/problems that may prevent the electronic submission of your application. Grants.gov will reject applications submitted after 11:59 PM on the application due date.

SAMHSA highly recommends that you submit your application 24-48 hours before the submission deadline. Many submission issues can be fixed within that time and you can attempt to re-submit. However, if you have not completed your Grants.gov, SAM, and DUNS registration at least 2 weeks prior to the submission deadline, it is highly unlikely that these issues will be resolved in time to successfully submit an electronic application.

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

The Abstract, Table of Contents, Project Narrative, Supporting Documentation, Budget Justification, and Attachments must be combined into 4 separate files in the electronic submission. **If the number of files exceeds 4, only the four files will be downloaded and considered in the peer review of applications.**

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

- Project Narrative File (PNF): The PNF consists of the Abstract, Table of Contents, and Project Narrative (Sections A-F) in this order and numbered consecutively.
- Budget Narrative File (BNF): The BNF consists of only the budget justification narrative.
- Other Attachment File 1: The first Other Attachment file will consist of the Supporting Documentation (Sections G-I) in this order and lettered consecutively.
- Other Attachment File 2: The second Other Attachment file will consist of the Attachments (Attachments 1-6) in this order and numbered consecutively.

If you have documentation that does not pertain to any of the 4 listed attachment files, include that documentation in Other Attachment File 2.

## **Other Grants.gov Requirements**

Applicants are limited to using the following characters in all attachment file names:

Valid file names may include only the following characters:

- A-Z
- a-z
- 0-9
- Underscore \_
- Hyphen –
- Space
- Period.

**If your application uses any other characters when naming your attachment files, your application will be rejected by Grants.gov.**

**Do not use special characters in file names, such as parenthesis ( ), #, ©, etc.**

Scanned images must be scanned at 150-200 dpi/ppi resolution and saved as a jpeg or pdf file. Using a higher resolution setting or different file type could result in rejection of your application.

## **Waiver Request Process**

Applicants may request a waiver of the requirement for electronic submission if they are unable to submit electronically through the Grants.gov portal because their physical location does not have adequate access to the Internet. Inadequate Internet access is defined as persistent and unavoidable access problems/issues that would make compliance with the electronic submission requirement a hardship. The process for applying for a waiver is described below. Questions on applying for a waiver may be directed to SAMHSA's Division of Grant Review, 240-276-1199.

**All applicants must register in the System for Award Management (SAM) and Grants.gov, even those who intend to request a waiver.** If you do not have an active SAM registration prior to submitting your paper application, it will be screened out and returned to you without review. Registration is necessary to ensure that information required for paper submission is available and that the applicant is ready to submit electronically if the waiver is denied. (See directions for registering in SAM and on Grants.gov above.)

A written waiver request must be received by SAMHSA at least 15 calendar days in advance of the application due date stated on the cover page of this RFA. The request must be either e-mailed to [DGR.Waivers@samhsa.hhs.gov](mailto:DGR.Waivers@samhsa.hhs.gov), or mailed to:

Diane Abbate, Director of Grant Review  
Office of Financial Resources  
Substance Abuse and Mental Health Services Administration  
Room 3-1044  
1 Choke Cherry Road  
Rockville, MD 20857

**Applicants are encouraged to request a waiver by e-mail, when possible.** When requesting a waiver, the following information must be included:

- SAMHSA RFA title and announcement number;
- Name, address, and telephone number of the applicant organization as they will appear in the application;
- Applicant organization's DUNS number;
- Authorized Organization Representative (AOR) for the named applicant;
- Name, telephone number, and e-mail of the applicant organization's Contact Person for the waiver; and
- Details of why the organization is unable to submit electronically through the Grants.gov portal, explaining why their physical location does not have adequate access to the Internet.

The Office of Grant Review will either e-mail (if the waiver request was received by e-mail) or express mail/deliver (if the waiver request was received by mail) the waiver decision to the Contact Person no later than seven calendar days prior to the application due date. If the waiver is approved, a paper application must be submitted. (See instructions for submitting a paper application below.) SAMHSA will not accept any applications that are sent by e-mail or facsimile or hand carried. If the waiver is disapproved, the applicant organization must be prepared to submit through Grants.gov or forfeit the opportunity to apply. The written approval must be included as the cover page of the paper application and the application must be received by the due date.

A waiver approval is valid for the remainder of the fiscal year and may be used for other SAMHSA discretionary grant applications during that fiscal year. When submitting a subsequent paper application within the same fiscal year, this waiver approval must be included as the cover page of each paper application. The organization and DUNS number named in the waiver and any subsequent application must be identical.

**A paper application will not be accepted without the waiver approval and will be returned to the applicant if it is not included. Paper applications received after the due date will not be accepted.**

**Instructions for Submitting a Paper Application with a Waiver**

Paper submissions are due by **5:00 PM** on the application due date stated on the cover page of this RFA. **Applications may be shipped using only Federal Express (FedEx), United Parcel Service (UPS), or the United States Postal Service (USPS).** You will be notified by postal mail that your application has been received.

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

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

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

Send applications to the address below:

**For United States Postal Service:**

Diane Abbate, Director of Grant Review  
Office of Financial Resources  
Substance Abuse and Mental Health Services Administration  
Room 3-1044  
1 Choke Cherry Road  
Rockville, MD **20857**

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

Do not send applications to other agency contacts, as this could delay receipt. Be sure to include "Adult Treatment Court Collaborative RFA # SM-14-009" in item number 12 on the first page (SF-424) of your paper application. If you require a phone number for delivery, you may use (240) 276-1199.

**Your application must be received by the application deadline or it will not be considered for review.** Please remember that mail sent to federal facilities undergoes

a security screening prior to delivery. You are responsible for ensuring that you submit your application so that it will arrive by the application due date and time.

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

If you are submitting a paper application, the application components required for SAMHSA applications should be submitted in the following order:

- Application for Federal Assistance (SF-424)
- Abstract
- Table of Contents
- Budget Information Form (SF-424A)
- Project Narrative and Supporting Documentation
- Attachments
- Project/Performance Site Location(s) Form
- Disclosure of Lobbying Activities (Standard Form LLL, if applicable)
- Checklist – the Checklist should be the last page of your application.
- Documentation of nonprofit status as required in the Checklist

Do not use heavy or lightweight paper or any material that cannot be copied using automatic copying machines. Odd-sized and oversized attachments, such as posters, will not be copied or sent to reviewers. Do not include videotapes, audiotapes, or CD-ROMs.

Black print should be used throughout your application, including charts and graphs (no color). Pages should be typed single-spaced with one column per page. Pages should not have printing on both sides. Pages with printing on both sides run the risk of an incomplete application going to peer reviewers, since scanning and copying may not duplicate the second side. **Materials with printing on both sides will be excluded from the application and not sent to peer reviewers.**

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

## Appendix C – Using Evidence-Based Practices (EBPs)

SAMHSA recognizes that EBPs have not been developed for all populations and/or service settings. For example, certain interventions for American Indians/Alaska Natives, rural or isolated communities, or recent immigrant communities may not have been formally evaluated and, therefore, have a limited or nonexistent evidence base. In addition, other interventions that have an established evidence base for certain populations or in certain settings may not have been formally evaluated with other subpopulations or within other settings. Applicants proposing to serve a population with an intervention that has not been formally evaluated with that population are required to provide other forms of evidence that the practice(s) they propose is appropriate for the population(s) of focus. Evidence for these practices may include unpublished studies, preliminary evaluation results, clinical (or other professional association) guidelines, findings from focus groups with community members, etc. You may describe your experience either with the population(s) of focus or in managing similar programs. Information in support of your proposed practice needs to be sufficient to demonstrate the appropriateness of your practice to the individuals reviewing your application.

- Document the evidence that the practice(s) you have chosen is appropriate for the outcomes you want to achieve.
- Explain how the practice you have chosen meets SAMHSA's goals for this grant program.
- Describe any modifications/adaptations you will need to make to your proposed practice(s) to meet the goals of your project and why you believe the changes will improve the outcomes. We expect that you will implement your evidence-based service(s)/practice(s) in a way that is as close as possible to the original service(s)/practice(s). However, SAMHSA understands that you may need to make minor changes to the service(s)/practice(s) to meet the needs of your population(s) of focus or your program, or to allow you to use resources more efficiently. You must describe any changes to the proposed service(s)/practice(s) that you believe are necessary for these purposes. You may describe your own experience either with the population(s) of focus or in managing similar programs. However, you will need to convince the people reviewing your application that the changes you propose are justified.
- Explain why you chose this evidence-based practice over other evidence-based practices.
- If applicable, justify the use of multiple evidence-based practices. Discuss how the use of multiple evidence-based practices will be integrated into the

program, while maintaining an appropriate level of fidelity for each practice. Describe how the effectiveness of each evidence-based practice will be quantified in the performance assessment of the project.

- Discuss training needs or plans for training to successfully implement the proposed evidence-based practice(s).

### **Resources for Evidence-Based Practices:**

You will find information on evidence-based practices in SAMHSA's *Guide to Evidence-Based Practices on the Web* at <http://www.samhsa.gov/ebpwebguide>. SAMHSA has developed this website to provide a simple and direct connection to websites with information about evidence-based interventions to prevent and/or treat mental and substance use disorders. The *Guide* provides a short description and a link to dozens of websites with relevant evidence-based practices information – either specific interventions or comprehensive reviews of research findings.

Please note that SAMHSA's *Guide to Evidence-Based Practices on the Web* also references another SAMHSA website, the National Registry of Evidence-Based Programs and Practices (NREPP). NREPP is a searchable database of interventions for the prevention and treatment of mental and substance use disorders. NREPP is intended to serve as a decision support tool, not as an authoritative list of effective interventions. *Being included in NREPP, or in any other resource listed in the Guide, does not mean an intervention is "recommended" or that it has been demonstrated to achieve positive results in all circumstances.* You must document that the selected practice is appropriate for the specific population(s) of focus and purposes of your project.

In addition to the website noted above, you may provide information on research studies to show that the services/practices you plan to implement are evidence-based. This information is usually published in research journals, including those that focus on minority populations. If this type of information is not available, you may provide information from other sources, such as unpublished studies or documents describing formal consensus among recognized experts.

[Note: Please see [Appendix F](#), Funding Restrictions, regarding allowable costs for EBPs.]

## Appendix D – Statement of Assurance

As the authorized representative of [*insert name of applicant organization*]  
\_\_\_\_\_, I assure SAMHSA that all participating service provider organizations listed in this application meet the two-year experience requirement and applicable licensing, accreditation, and certification requirements. If this application is within the funding range for a grant award, we will provide the SAMHSA Government Project Officer (GPO) with the following documents. I understand that if this documentation is not received by the GPO within the specified timeframe, the application will be removed from consideration for an award and the funds will be provided to another applicant meeting these requirements.

- a letter of commitment from every mental health/substance abuse treatment service provider organization listed in **Attachment 1** of the application that specifies the nature of the participation and the service(s) that will be provided;
- official documentation that all mental health/substance abuse treatment provider organizations participating in the project have been providing relevant services for a minimum of 2 years prior to the date of the application in the area(s) in which services are to be provided. Official documents must definitively establish that the organization has provided relevant services for the last 2 years; and
- Official documentation that all mental health/substance abuse treatment provider organizations: 1) comply with all local (city, county) and state requirements for licensing, accreditation, and certification; OR 2) official documentation from the appropriate agency of the applicable state, county, other governmental unit that licensing, accreditation, and certification requirements do not exist.<sup>4</sup> (Official documentation is a copy of each service provider organization's license, accreditation, and certification. Documentation of accreditation will not be accepted in lieu of an organization's license. A statement by, or letter from, the applicant organization or from a provider organization attesting to compliance with licensing, accreditation and certification or that no licensing, accreditation, certification requirements exist does not constitute adequate documentation.)

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<sup>4</sup> Tribes and tribal organizations are exempt from these requirements.

- For tribes and tribal organizations only, official documentation that all participating mental health/substance abuse treatment provider organizations: 1) comply with all applicable tribal requirements for licensing, accreditation, and certification; OR 2) documentation from the tribe or other tribal governmental unit that licensing, accreditation, and certification requirements do not exist.

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Signature of Authorized Representative

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Date

## Appendix E – Intergovernmental Review (E.O. 12372) Requirements

### States with SPOCs

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

- Check the list to determine whether your state participates in this program. You do not need to do this if you are an American Indian/Alaska Native tribe or tribal organization.
- If your state participates, contact your SPOC as early as possible to alert him/her to the prospective application(s) and to receive any necessary instructions on the state's review process.
- For proposed projects serving more than one state, you are advised to contact the SPOC of each affiliated state.
- The SPOC should send any state review process recommendations to the following address within 60 days of the application deadline. For United States Postal Service: Diane Abbate, Director of Grant Review, Office of Financial Resources, Substance Abuse and Mental Health Services Administration, Room 3-1044, 1 Choke Cherry Road, Rockville, MD 20857. ATTN: SPOC – Funding Announcement No. SM-14-009. Change the zip code to 20850 if you are using another delivery service.

### States without SPOCs

If your state does not have a SPOC and you are a community-based, non-governmental service provider, you must submit a Public Health System Impact Statement (PHSIS)<sup>5</sup> to

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<sup>5</sup> Approved by OMB under control no. 0920-0428; Public reporting burden for the Public Health System Reporting Requirement is estimated to average 10 minutes per response, including the time for copying the first page of SF-424 and the abstract and preparing the letter for mailing. An agency may not conduct

the head(s) of appropriate state and local health agencies in the area(s) to be affected no later than the application deadline. The PHSIS is intended to keep state and local health officials informed of proposed health services grant applications submitted by community-based, non-governmental organizations within their jurisdictions. If you are a state or local government or American Indian/Alaska Native tribe or tribal organization, you are not subject to these requirements.

The PHSIS consists of the following information:

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

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

If applicable, you must include a copy of a letter transmitting the PHSIS to the SSA in **Attachment 4, "Letter to the SSA."** The letter must notify the state that, if it wishes to comment on the proposal, its comments should be sent no later than 60 days after the application deadline to the following address. **For United States Postal Service:** Diane Abbate, Director of Grant Review, Office of Financial Resources, Substance Abuse and Mental Health Services Administration, Room 3-1044, 1 Choke Cherry Road, Rockville, MD **20857**. ATTN: SSA – Funding Announcement No. SM-14-009. Change the zip code to **20850** if you are using another delivery service.

In addition:

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or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. The OMB control number for this project is 0920-0428. Send comments regarding this burden to CDC Clearance Officer, 1600 Clifton Road, MS D-24, Atlanta, GA 30333, ATTN: PRA (0920-0428).

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

## Appendix F – Funding Restrictions

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

- Pay for any lease beyond the project period.
- Provide services to incarcerated populations (defined as those persons in jail, prison, detention facilities, or in custody where they are not free to move about in the community).
- Pay for the purchase or construction of any building or structure to house any part of the program. (Applicants may request up to \$75,000 for renovations and alterations of existing facilities, if necessary and appropriate to the project.)
- Provide residential or outpatient treatment services when the facility has not yet been acquired, sited, approved, and met all requirements for human habitation and services provision. (Expansion or enhancement of existing residential services is permissible.)
- Pay for housing other than residential mental health and/or substance abuse treatment.
- Provide inpatient treatment or hospital-based detoxification services. Residential services are not considered to be inpatient or hospital-based services.
- Only allowable costs associated with the use of federal funds are permitted to fund evidence-based practices (EBPs). Other sources of funds may be used for unallowable costs (e.g., meals, sporting events, entertainment). Other support is defined as funds or resources, whether federal, non-federal or institutional, in direct support of activities through fellowships, gifts, prizes, or in-kind contributions.
- Make direct payments to individuals to induce them to enter prevention or treatment services. However, SAMHSA discretionary grant funds may be used for non-clinical support services (e.g., bus tokens, child care) designed to improve access to and retention in prevention and treatment programs.
- Make direct payments to individuals to encourage attendance and/or attainment of prevention or treatment goals. However, SAMHSA discretionary grant funds may be used for non-cash incentives of up to \$30 to encourage attendance

and/or attainment of prevention or treatment goals when the incentives are built into the program design and when the incentives are the minimum amount that is deemed necessary to meet program goals. SAMHSA policy allows an individual participant to receive more than one incentive over the course of the program. However, non-cash incentives should be limited to the minimum number of times deemed necessary to achieve program outcomes. A grantee or treatment or prevention provider may also provide up to \$30 cash or equivalent (coupons, bus tokens, gifts, child care, and vouchers) to individuals as incentives to participate in required data collection follow up. This amount may be paid for participation in each required interview.

- Meals are generally unallowable unless they are an integral part of a conference grant or specifically stated as an allowable expense in the RFA. Grant funds may be used for light snacks, not to exceed \$2.50 per person.
- Funds may not be used to distribute sterile needles or syringes for the hypodermic injection of any illegal drug.
- Pay for pharmacology's for HIV antiretroviral therapy, sexually transmitted diseases (STD)/sexually transmitted illnesses (STI), TB, and hepatitis B and C, or for psychotropic drugs.

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

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

### **Biographical Sketch**

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

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

### **Job Description**

1. Title of position
2. Description of duties and responsibilities
3. Qualifications for position
4. Supervisory relationships
5. Skills and knowledge required
6. Personal qualities
7. Amount of travel and any other special conditions or requirements
8. Salary range
9. Hours per day or week

## Appendix H - Sample Budget and Justification

(No match required)

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

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

FEDERAL REQUEST Position	Name	Annual Salary/Rate	Level of Effort	CSAT Costs	CMHS Costs	Grand Total
(1) Project Director	John Doe	\$64,890	10%	\$6,489		
(2) Grant Coordinator	To be selected	\$46,276	100%	\$46,276		
(3) Clinical Director	Jane Doe	In-kind cost	20%	\$0		
(4) Peer Navigator	Jane Doe	\$25,000	100%		\$25,000	
(5) Peer Navigator	Jane Doe	\$25,000	100%		\$25,000	
			<b>TOTAL</b>	\$52,765	\$50,000	<b>\$102,765</b>

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

- (1) The Project Director will provide daily oversight of the grant and will be considered key staff.
- (2) The Coordinator will coordinate project services and project activities, including training, communication and information dissemination.
- (3) The Clinical Director will provide necessary medical direction and guidance to staff for 540 clients served under this project.
- (4) & (5) The Peer Navigator(s) will assist individuals with Co-Occurring substance use disorders with serious mental illness who are chronically homeless.

**Key staff positions require prior approval by the Grants Management Officer, after review of credentials of resume and job description.**

**FEDERAL REQUEST** (enter in Section B column 1 line 6a of form SF424A) **\$102,765**

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

**FEDERAL REQUEST**

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

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

**FEDERAL REQUEST** (enter in Section B column 1 line 6b of form SF424A) **\$10,896**

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

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

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

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

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

**FEDERAL REQUEST** (enter in Section B column 1 line 6c of form SF424A) **\$2,444**

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

**FEDERAL REQUEST** – (enter in Section B column 1 line 6d of form SF424A) **\$0**

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

**FEDERAL REQUEST**

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

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

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

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

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

**FEDERAL REQUEST** – (enter in Section B column 1 line 6e of form SF424A) **\$3,796**

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

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

**FEDERAL REQUEST**

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

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

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

- (1) Certified trainers are necessary to carry out the purpose of the Statewide Consumer Network by providing recovery and wellness training, preparing consumer leaders statewide, and educating the public on mental health recovery.
- (2) Treatment services for clients to be served based on organizational history of expenses.

- (3) Case manager is vital to client services related to the program and outcomes.
- (4) Evaluator is provided by an experienced individual (Ph.D. level) with expertise in substance abuse, research and evaluation and is knowledgeable about the target population of focus and will report GPRA data.
- (5) Marketing Coordinator will develop a plan to include public education and outreach efforts to engage clients of the community about grantee activities, and provision of presentations at public meetings and community events to stakeholders, community civic organizations, churches, agencies, family groups and schools.

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

**FEDERAL REQUEST** – (enter in Section B column 1 line 6f of form SF424A) **\$86,997**

**G. Construction:** **NOT ALLOWED** – Leave Section B columns 1& 2 line 6g on SF424A blank.

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

**FEDERAL REQUEST**

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

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

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

**\*If rent is requested (direct or indirect), provide the name of the owner(s) of the space/facility. If anyone related to the project owns the building which is less than an arms length arrangement, provide cost of ownership/use allowance**

**calculations. Additionally, the lease and floor plan (including common areas) is required for all projects allocating rent costs.**

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

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

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

**FEDERAL REQUEST – (enter in Section B column 1 line 6h of form SF424A) \$15,815**

**Indirect Cost Rate:** Indirect costs can be claimed if your organization has a negotiated indirect cost rate agreement. It is applied only to direct costs to the agency as allowed in the agreement. For information on applying for the indirect rate go to: <https://rates.psc.gov/fms/dca/map1.html>.

**FEDERAL REQUEST (enter in Section B column 1 line 6j of form SF424A)**

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

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**TOTAL DIRECT CHARGES:**

**FEDERAL REQUEST – (enter in Section B column 1 line 6i of form SF424A) \$222,713**

**INDIRECT CHARGES:**

**FEDERAL REQUEST – (enter in Section B column 1 line 6j of form SF424A) \$5,093**

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

**FEDERAL REQUEST – (enter in Section B column 1 line 6k of form SF424A) \$227,806**

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**UNDER THIS SECTION REFLECT OTHER NON-FEDERAL SOURCES OF FUNDING BY DOLLAR AMOUNT AND NAME OF FUNDER e.g., Applicant, State, Local, Other, Program Income, etc. Other support is defined as all funds or resources, whether Federal, Non-federal or institutional, in**

direct support of activities through fellowships, gifts, prizes, In-kind contributions or other Non-federal means.

Provide the total proposed Project Period and Federal funding as follows:

**Proposed Project Period**

a. Start Date:	<b>09/30/2014</b>	b. End Date:	<b>09/29/2018</b>
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BUDGET SUMMARY (should include future years and projected total)

Category	Year 1	Year 2*	Year 3*	Year 4*	Total Project Costs
<b>Personnel</b>	\$102,765	\$104,348	\$105,978	\$107,658	\$420,749
<b>Fringe</b>	\$10,896	\$11,223	\$11,559	\$11,906	\$45,584
<b>Travel</b>	\$2,444	\$2,444	\$2,444	\$2,444	\$9,776
<b>Equipment</b>	0	0	0	0	0
<b>Supplies</b>	\$3,796	\$3,796	\$3,796	\$3,796	\$15,184
<b>Contractual</b>	\$86,997	\$86,997	\$86,997	\$86,997	\$347,988
<b>Other</b>	\$15,815	\$13,752	\$11,629	\$9,440	\$50,636
<b>Total Direct Charges</b>	\$172,713	\$172,560	\$172,403	\$172,241	\$689,917
<b>Indirect Charges</b>	\$5,093	\$5,246	\$5,403	\$5,565	\$21,307
<b>Total Project Costs</b>	<b>\$400,519</b>	<b>\$400,366</b>	<b>\$400,209</b>	<b>\$400,047</b>	<b>\$1,601,141</b>

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

**FEDERAL REQUEST** (enter in Section B column 1 line 6k of form SF424A) **\$1,601,141**

**\*FOR REQUESTED FUTURE YEARS:**

1. Please justify and explain any changes to the budget that differs from the reflected amounts reported in the 01 Year Budget Summary.
2. If a cost of living adjustment (COLA) is included in future years, provide your organization's personnel policies and procedures that state all employees within the organization will receive a COLA.

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

## Confidentiality and Participant Protection:

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

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

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

### 2. Fair Selection of Participants

- Describe the population(s) of focus for the proposed project. Include age, gender, and racial/ethnic background and note if the population includes homeless youth, foster children, children of substance abusers, pregnant women, or other targeted groups.

- Explain the reasons for including groups of pregnant women, children, people with mental disabilities, and people in institutions, prisoners, and individuals who are likely to be particularly vulnerable to HIV/AIDS.
- Explain the reasons for including or excluding participants.
- Explain how you will recruit and select participants. Identify who will select participants.

### 3. Absence of Coercion

- Explain if participation in the project is voluntary or required. Identify possible reasons why participation is required, for example, court orders requiring people to participate in a program.
- If you plan to compensate participants, state how participants will be awarded incentives (e.g., money, gifts, etc.). Provide justification that the use of incentives is appropriate, judicious, and conservative and that incentives do not provide an “undue inducement” which removes the voluntary nature of participation. Incentives should be the minimum amount necessary to meet the programmatic and performance assessment goals of the grant. Applicants should determine the minimum amount that is proven effective by consulting with existing local programs and reviewing the relevant literature. In no case may the value if an incentive paid for with SAMHSA discretionary grant funds exceed \$30.
- State how volunteer participants will be told that they may receive services intervention even if they do not participate in or complete the data collection component of the project.

### 4. Data Collection

- Identify from whom you will collect data (e.g., from participants themselves, family members, teachers, others). Describe the data collection procedures and specify the sources for obtaining data (e.g., school records, interviews, psychological assessments, questionnaires, observation, or other sources). Where data are to be collected through observational techniques, questionnaires, interviews, or other direct means, describe the data collection setting.
- Identify what type of specimens (e.g., urine, blood) will be used, if any. State if the material will be used just for evaluation or if other use(s) will be made. Also, if needed, describe how the material will be monitored to ensure the safety of participants.

- Provide in **Attachment 2**, “Data Collection Instruments/Interview Protocols,” copies of all available data collection instruments and interview protocols that you plan to use.

#### 5. Privacy and Confidentiality

- Explain how you will ensure privacy and confidentiality. Include who will collect data and how it will be collected.
- 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**.

#### 6. Adequate Consent Procedures

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

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

- Indicate if you will obtain informed consent from participants or assent from minors along with consent 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?
- Include, as appropriate, sample consent forms that provide for: (1) informed consent for participation in service intervention; (2) informed consent for participation in the data collection component of the project; and (3) informed consent for the exchange (releasing or requesting) of confidential information. The sample forms must be included in **Attachment 3, “Sample Consent Forms”**, of your application. 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.

- Describe if separate consents will be obtained for different stages or parts of the project. For example, will they be needed for both participant protection in treatment intervention and for the collection and use of data?
- Additionally, if other consents (e.g., consents to release information to others or gather information from others) will be used in your project, provide a description of the consents. Will individuals who do not consent to having individually identifiable data collected for evaluation purposes be allowed to participate in the project?

## 7. Risk/Benefit Discussion

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

## **Protection of Human Subjects Regulations**

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

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

## Appendix J – Addressing Behavioral Health Disparities

In April 2011, the Department of Health and Human Services (HHS) released its *Action Plan to Reduce Racial and Ethnic Health Disparities*. This plan outlines goals and actions HHS agencies, including SAMHSA, will take to reduce health disparities among racial and ethnic minorities. Agencies are required to continuously assess the impact of their policies and programs on health disparities. The Action Plan is available at: [http://minorityhealth.hhs.gov/npa/files/Plans/HHS/HHS\\_Plan\\_complete.pdf](http://minorityhealth.hhs.gov/npa/files/Plans/HHS/HHS_Plan_complete.pdf).

The number one Secretarial priority in the Action Plan is to: “**Assess and heighten the impact of all HHS policies, programs, processes, and resource decisions to reduce health disparities.**” Grantees for this program will be required to submit a health disparities impact statement to identify subpopulations (i.e., racial, ethnic, sexual/gender minority groups) vulnerable to health disparities. This statement must outline the population/s of focus that will be involved in the project and the unduplicated number of individuals who are expected to receive services. It should be consistent with information in your application regarding access, service use and outcomes for the program. The disparities impact statement may be developed as a brief narrative or table (see “Sample Health Disparities Impact Statement” at the end of this appendix).

You also will be required to implement a data-driven quality improvement plan to decrease the differences in access, service use and outcomes among subpopulations that will be implemented throughout the project. This plan should include use of the National Standards for Culturally and Linguistically Appropriate Services (CLAS) in Health and Health Care.

### **Definition of Health Disparities:**

Healthy People 2020 defines a health disparity as a “particular type of health difference that is closely linked with social, economic, and/or environmental disadvantage. Health disparities adversely affect groups of people who have systematically experienced greater obstacles to health based on their racial or ethnic group; religion; socioeconomic status; gender; age; mental health; cognitive, sensory, or physical disability; sexual orientation or gender identity; geographic location; or other characteristics historically linked to discrimination or exclusion.”

### **Subpopulations**

SAMHSA grant applicants are routinely asked to define the population they intend to serve given the focus of a particular grant program (e.g., adults with serious mental illness [SMI] at risk for chronic health conditions; young adults engaged in underage drinking; populations at risk for contracting HIV/AIDS, etc.). Within these populations of focus are *subpopulations* that may have disparate access to, use of, or outcomes from provided services. These disparities may be the result of differences in language, beliefs, norms, values, and/or socioeconomic factors specific to that subpopulation. For instance, Latino adults with SMI may be at heightened risk for metabolic disorder due to

lack of appropriate in-language primary care services; Native American youth may have an increased incidence of underage drinking due to coping patterns related to historical trauma within the Native American community; and African American women may be at greater risk for contracting HIV/AIDS due to lack of access to education on risky sexual behaviors in urban low-income communities. While these factors might not be pervasive among the general population served by a grantee, they may be predominant among subpopulations or groups vulnerable to disparities. It is imperative that grantees understand who is being served within their community in order to provide care that will yield positive outcomes, per the focus of that grant. In order for organizations to attend to the potentially disparate impact of their grant efforts, applicants are asked to address access, use and outcomes for subpopulations, which can be defined by the following factors:

- By race
- By ethnicity
- By gender (including transgender), as appropriate
- By sexual orientation (i.e., lesbian, gay, bisexual), as appropriate

HHS published final standards for data collection on race, ethnicity, sex, primary language and disability status, as required by Section 4302 of the Affordable Care Act in October 2011,

<http://www.minorityhealth.hhs.gov/templates/browse.aspx?lvl=2&lvlid=208>.

The ability to address the quality of care provided to subpopulations served within SAMHSA's grant programs is enhanced by programmatic alignment with the federal CLAS standards.

### **National Standards for Culturally and Linguistically Appropriate Services (CLAS) in Health and Health Care**

The National CLAS standards were initially published in the Federal Register on December 22, 2000. Culturally and linguistically appropriate health care and services, broadly defined as care and services that are respectful of and responsive to the cultural and linguistic needs of all individuals, is increasingly seen as essential to reducing disparities and improving health care quality. The National CLAS Standards have served as catalyst and conduit for the evolution of the field of cultural and linguistic competency over the course of the last 12 years. In recognition of these changes in the field, the HHS Office of Minority Health undertook the National CLAS Standards Enhancement Initiative from 2010 to 2012.

The enhanced National CLAS Standards seek to set a new bar in improving the quality of health to our nation's ever diversifying communities. Enhancements to the National CLAS Standards include the broadening of the definitions of health and culture, as well as an increased focus on institutional governance and leadership. The enhanced National Standards for Culturally and Linguistically Appropriate Services in Health and

Health Care are comprised of 15 Standards that provide a blueprint for health and health care organizations to implement culturally and linguistically appropriate services that will advance health equity, improve quality, and help eliminate health care disparities.

You can learn more about the CLAS mandates, guidelines, and recommendations at: <http://www.ThinkCulturalHealth.hhs.gov>.

**Sample Health Disparities Impact Statement:**

1. Proposed number of individuals to be served by subpopulations in the geographic area

**Access:** The numbers in the chart below reflect the proposed number of individuals to be served during the grant period and all identified subpopulations in the geographic area. The disparate populations are highlighted in the narrative below.

	<b>FY 1</b>	<b>FY 2</b>	<b>FY 3</b>	<b>FY 4</b>	<b>Totals</b>
<b>Direct Services: Number to be served</b>	200	175	100	125	600
<b><i>By Race/Ethnicity</i></b>					
African American	10	9	5	6	30
American Indian/Alaska Native	1	1	0	1	3
Asian	2	2	1	1	6
White (non-Hispanic)	103	91	52	65	311
Hispanic or Latino (not including Salvadoran)	32	28	16	20	96
Salvadoran	44	37	22	28	130
Native Hawaiian/Other Pacific Islander	4	3	2	2	11
Two or more Races	4	4	2	3	13
<b><i>By Gender</i></b>					
Female	110	96	55	69	330
Male	89	79	44	56	268
Transgender	1	0	1	0	2
<b><i>By Sexual Orientation/Identity Status</i></b>					
Lesbian	2	2	1	1	6
Gay	8	6	4	5	23
Bisexual	1	1	0	1	3

The population of Middle Lake, Massachusetts is predominantly represented by first- and second-generation Latino immigrants, mainly from El Salvador. There has been a recent increase of the immigrant population in the city with individuals primarily

from Haiti and El Salvador. There is also a smaller Cambodian and African American population in the city. Nearly 40% of residents speak a language other than English in their homes, and a majority of those individuals are Spanish speakers. There is a high unemployment rate, low literacy rate and high level of poverty, in particular among the Salvadoran subpopulation, putting these individuals at greater risk for behavioral health issues when compared to national trends. However, our agency has served relatively low numbers of Salvadorans. Therefore, we have chosen to focus our efforts on the Salvadoran subpopulation.

## 2. A Quality Improvement Plan Using Our Data

**Use:** Services and activities will be designed and implemented in accordance with the cultural and linguistic needs of individuals in the community. The project team will collaborate with the community enrichment program and the county health specialist consortium in planning the design and implementation of program activities to ensure the cultural and linguistic needs of grant participants are effectively addressed, particularly the disparate population.

A continuous quality improvement approach will be used to analyze, assess and monitor key performance indicators as a mechanism to ensure high-quality and effective program operations. Program data will be used to monitor and manage program outcomes by race, ethnicity, and LGBT status within a quality improvement process. Programmatic adjustments will be made as indicated to address identified issues, including behavioral health disparities, across program domains.

A primary objective of the data collection and reporting will be to monitor/measure project activities in a manner that optimizes the usefulness of data for project staff and consumers; evaluation findings will be integrated into program planning and management on an ongoing basis (a “self-correcting” model of evaluation). For example, referral to enrollment, treatment completion and discharge data will be reported to staff on an ongoing basis, including analyses and discussions of who may be more or less likely to enroll and complete the program (and possible interventions). The Evaluator will meet on a bi-weekly basis with staff, providing an opportunity for staff to identify successes and barriers encountered in the process of project implementation. These meetings will be a forum for discussion of evaluation findings, allowing staff to adjust or modify project services to maximize project success.

**Outcomes** for all services and supports will be monitored across race and ethnicity to determine the grant’s impact on behavioral health disparities.

## 3. Adherence to the CLAS Standards

Our quality improvement plan will ensure adherence to the enhanced National Standards for Culturally and Linguistically Appropriate Services (CLAS Standards) in Health and Health Care. This will include attention to:

### Diverse cultural health beliefs and practices

Training and hiring protocols will be implemented to support the culture and language of all subpopulations, with a focus on the Salvadoran subpopulation.

### Preferred languages

Interpreters and translated materials will be used for non-English speaking clients as well as those who speak English, but prefer materials in their primary language. Key documents will be translated into Spanish.

Health literacy and other communication needs of all sub-populations identified in your proposal

All services programs will be tailored to include limited English proficient individuals. Staff will receive training to ensure capacity to provide services that are culturally and linguistically appropriate.

## Appendix K –Background Information

The following are examples of various scenarios for which communities may use the BHTCC funding:

### Scenario 1: Screening for behavioral health needs:

A courthouse in a medium size city has an established drug court and a veteran's treatment court and would like to establish a docket for persons with mental illness. A collaborative of court personnel and mental health and substance abuse providers is formed and meets to design a program that will identify, recruit, screen, and track and monitor persons who are adjudicated in problem solving courts. The collaborative includes stakeholders such as substance abuse and mental health treatment providers, public behavioral health administrators, police, persons with lived experience, public defenders, prosecutors, court administrators and judges. This applicant decides to request grant funds to hire a clinician who will screen people in jail awaiting trial for mental illness, substance abuse, co-occurring disorders and trauma related disorders and veteran status. The clinician refers and tracks individuals to the most appropriate court. This applicant requests funds to train staff in trauma informed care, to secure trauma specific treatment and recovery support, and to train peer counselors. CSAT and CMHS funds may be used for all non-services activities, but the grantee would breakdown CSAT and CMHS services-related activities by CSAT (substance abuse treatment and recovery related services) and CMHS (mental health treatment related services), and joint funding (CSAT and CMHS funds may be used for individuals with co-occurring substance abuse and mental health disorders).

### Scenario 2: Infrastructure to Strengthen Court Collaboration and Improve Treatment Options:

A large, metropolitan judicial circuit has a number of problem-solving courts including two adult drug courts, a veteran's treatment court, a mental health court, and a DUI/DWI court in the jurisdiction. These courts operate separately, and do not have a formal, established communication system, do not universally screen clients across the system for behavioral health conditions, do not have a coordinated system of standardized incentives and sanctions, and do not have an integrated system for identifying and utilizing community-based behavioral health treatment providers for court clients. This applicant requests funding to strength the infrastructure to formalize communication and coordination among the various problems solving courts, requests funds to buy limited IT software for various court communications, and requests funds to establish a circuit-wide system of provider identification, an inventory of treatment resources in the community, and a system of

referral to and purchase of treatment services. Both CMHS and CSAT funds may be used for any of these non-services, infrastructure, and systems transformation activities.

Scenario 3: Expanding Treatment Service by Adding a Mental Health Treatment Component:

A problem solving court has a large docket that addresses the needs of adult individuals charged with criminal offenses who also have substance abuse or substance abuse disorders. However, the court has been unable to meet the needs of persons with mental illness or mental health disorder. The drug court wants to establish a separate docket to meet the needs of persons with mental illness/health mental health disorders and provide treatment services to those individuals in order to address the overall behavioral health needs of its clients. The court uses their existing judicial funding and resources to establish a mental health court docket and assigns a judge to oversee this specialized court docket, but requests grant funds to support the screening, assessment, case management and treatment services for individuals with mental illness or mental health disorders. A combination of CSAT and CMHS funds could be used for infrastructure, administrative costs, evaluation, etc, but the applicant could use only CMHS funds to provide services for those individuals with mental health needs.

Scenario 4: Addressing the Needs of a Special Population within the Court System:

This city has an integrated problem solving criminal court system that meets the needs of individuals with behavioral health conditions, but recognizes that almost 20 percent of its court clients are military veterans who are increasingly resistant to the established approach of the problem solving courts. The applicant wishes to add to its problem solving court system a specialized track that is designed to meet the needs of military veterans in its court dockets. The applicant requests CSAT/CMHS funds for infrastructure planning and linkages that include a judicial –community provider steering committee that includes representatives from the area Veterans Administration and Veterans Affairs, the judiciary, local governmental representatives, and community-based treatment and recovery support providers among others. The intention is to provide a system to identify veterans, identify their behavioral health needs, establish veterans support groups, and to modify the current approach to providing them treatment and recovery support services. The applicant is requesting funding for planning, infrastructure development, and treatment services for veterans in the local criminal court system.

Scenario 5: Expanding Treatment Service by Adding a Reentry Treatment and Recovery Component:

A problem solving criminal court has a large docket that addresses the needs of adult individuals charged with criminal offenses who also have substance abuse or substance abuse disorders. The court has several dockets including a reentry court docket for individuals under court supervision upon release from prison/jail.

However, the court has been unable to adequately address the treatment needs of these persons returning from prison/jails with behavioral health conditions. The drug court wants to establish a community treatment component to provide services for adults with mental illness/health mental health disorders and provide treatment services to those individuals in order to address the overall behavioral health needs of its clients. The applicant requests CMHS grant funds to support the screening, assessment, case management and treatment services for individuals with mental illness or mental health disorders; since an equal amount of CSAT funds must be used the applicant may request CSAT funding for those individual who present with co-occurring substance abuse and mental disorders.

## Appendix L – Electronic Health Record (EHR) Resources

The following is a list of websites for EHR information:

For additional information on EHR implementation please visit:

<http://www.healthit.gov/providers-professionals>

For a comprehensive listing of Complete EHRs and EHR Modules that have been tested and certified under the Temporary Certification Program maintained by the Office of the National Coordinator for Health IT (ONC) please see: <http://onc-chpl.force.com/ehrcert>

For a listing of Regional Extension Centers (REC) for technical assistance, guidance, and information to support efforts to become a meaningful user of Electronic Health Records (EHRs), see: <http://www.healthit.gov/providers-professionals/regional-extension-centers-recs#listing>

Behavioral healthcare providers should also be aware of federal confidentiality regulations including HIPPA and 42CRF Part 2 (<http://www.samhsa.gov/HealthPrivacy/>). EHR implementation plans should address compliance with these regulations.

For questions on EHRs and HIT, contact:

[SAMHSA.HIT@samhsa.hhs.gov](mailto:SAMHSA.HIT@samhsa.hhs.gov).