

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

FY 2017 Program Supplements for Minority Fellowship
Program – Addiction Counselors

(Short Title: MFP-AC)

(Initial Announcement)

Funding Opportunity Announcement (FOA) No. TI-17-008

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

PART 1: Programmatic Guidance

Note to Applicants: This document MUST be used in conjunction with SAMHSA’s “Funding Opportunity Announcement (FOA) PART II: Administrative and Application Submission Requirements for Discretionary Grants and Cooperative Agreements”. PART I is individually tailored for each FOA. PART II includes requirements that are common to all SAMHSA FOAs. You MUST use both documents in preparing your application.

Key Dates:

| | |
|---|--|
| Application Deadline | Applications are due by April 17, 2017. |
| Intergovernmental Review (E.O. 12372) | 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. |
| Public Health System Impact Statement (PHSIS)/Single State Agency Coordination | 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. |

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EXECUTIVE SUMMARY

The Substance Abuse and Mental Health Services Administration (SAMHSA), Center for Substance Abuse Treatment (CSAT), announces the availability of one-year supplemental funding to enable grantees from the fiscal year (FY) 2014 Now is the Time: Minority Fellowship Program-Addiction Counselors (Short Title: NITT-MFP-AC) cohort to expand/enhance grant activities required under the FY 2014 Request for Applications (RFA), TI-14-010. Information on this program may be found in the original funding announcement, available on the SAMHSA website at <https://www.samhsa.gov/grants/grant-announcements/ti-14-010>.

| | |
|---|---|
| Funding Opportunity Title: | Program Supplements for Minority Fellowship Program - Addiction Counselors (Short Title: MFP-AC) |
| Funding Opportunity Number: | TI-17-008 |
| Due Date for Applications: | April 17, 2017 |
| Anticipated Total Available Funding: | \$971,000 |
| Estimated Number of Awards: | Up to two (2) awards |
| Estimated Award Amount: | Up to \$485,500 for one (1) year |
| Cost Sharing/Match Required | No |
| Length of Project Period: | Up to one (1) year |
| Eligible Applicants: | <p>Eligibility is limited to current SAMHSA FY 2014 Now is the Time: Minority Fellowship Program-Addiction Counselors (NITT-MFP-AC) grantees, specifically the Association for Addiction Professionals (NADAAC) and the National Board for Certified Counselors (NBCC)</p> <p>[See Section III-1 of this FOA for complete eligibility information.]</p> |

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

IMPORTANT: SAMHSA is transitioning to the National Institutes of Health (NIH)'s electronic Research Administration (eRA) grants system. Due to this transition, SAMHSA has made changes to the application registration, submission, and formatting requirements for all Funding Opportunity Announcements (FOAs). All applicants must register with NIH's **eRA Commons** in order to submit an application. Applicants also must register with the System for Award Management (SAM) and Grants.gov (see PART II: Section I-1 and Section II-1 for all registration requirements).

Due to the new registration and application requirements, it is strongly recommended that applicants start the registration process **six (6) weeks in advance** of the application due date.

I. FUNDING OPPORTUNITY DESCRIPTION

The Substance Abuse and Mental Health Services Administration (SAMHSA), Center for Substance Abuse Treatment (CSAT), announces the availability of one-year supplemental funding to enable grantees from the fiscal year (FY) 2014 Now is the Time: Minority Fellowship Program-Addiction Counselors (Short Title: NITT-MFP-AC) cohort to expand/enhance grant activities required under the FY 2014 Request for Applications (RFA), TI-14-010. Information on this program may be found in the original funding announcement, available on the SAMHSA website at <https://www.samhsa.gov/grants/grant-announcements/ti-14-010>.

The purpose of this program is to provide additional support to the broader objective of the FY 2014 NITT-MFP-AC grants. The NITT-MFP-AC grants reduce health disparities and improve health care outcomes for racially and ethnically diverse populations by increasing the number of culturally competent master's level addiction counselors available to underserved minority populations (e.g., Asian American, African American, American Indian/Alaska Native, Hispanic/Latino, and Native Hawaiian and other Pacific Islanders), with a specific focus on transition age youth (ages 16-25) with substance misuse/substance use disorders (SUDs), in public and private non-profit sectors. Historically, the mental health and substance use needs of racial and ethnic minority communities within the United States have been underserved, due to a limited number of trained practitioners sensitive to the cultural issues or equipped with the language skills that impact effective services delivery. The MFP-AC Program Supplements will provide specialized training of behavioral health professionals in psychiatry, psychology, nursing, social work, counseling, and marriage and family therapy. MFP-AC Supplement funds need to be tracked separately from original grant (TI-14-010) funds.

At a minimum the funds awarded will be used to conduct the following activities:

- Manage and distribute an expanded number of student stipends and other training related costs to students pursuing master's degrees in addiction/SUD

counseling as well as increasing the stipend amount designated in the original RFA, TI-14-010, from \$20,000 per Fellow to \$25,000 per Fellow.

- Expand stipend eligibility to also include students pursuing master's degrees in related educational tracks (social work, counseling, nursing, etc.) who are committed to serving minorities with SUDs. It is a requirement for the student's program to include training on addiction issues associated with transition age youth (ages 16-25). This criteria can be met through completing coursework, specialized training, or other educational opportunities that inform the student of substance use issues and vulnerabilities associated with transitional age youth.
- Collaborate with other professional organizations and educational institutions to support the expanded pool of qualified MFP-AC eligible students, and facilitate the dissemination of information concerning the program's goals and outcomes.

Per the original RFA, TI-14-010, grantees were required to submit a behavioral health disparities impact statement. Applicants will be required to submit an updated behavioral health disparities impact statement no later than 60 days after your award that includes the supplemental activities described in this announcement (See PART II: Appendix E, Addressing Behavioral Health Disparities).

MFP-AC grants are authorized under Section 509 of the Public Health Service Act, as amended. This announcement addresses Healthy People 2020 Substance Abuse Topic Area HP 2020-SA.

Although people with behavioral health conditions represent about 25 percent of the U.S. adult population, these individuals account for nearly 40 percent¹ of all cigarettes smoked and can experience serious health consequences². A growing body of research shows that quitting smoking can improve mental health and addiction recovery outcomes. Research shows that many smokers with behavioral health conditions want to quit, can quit, and benefit from proven smoking cessation treatments. SAMHSA strongly encourages all grantees to adopt a tobacco-free facility/grounds policy and to promote abstinence from all tobacco products (except in regard to accepted tribal traditions and practices).

¹ Substance Abuse and Mental Health Services Administration, Center for Behavioral Health Statistics and Quality. (March 20, 2013). *The NSDUH Report: Adults with Mental Illness or Substance Use Disorder Account for 40 Percent of All Cigarettes Smoked*. Rockville, MD.

<http://media.samhsa.gov/data/spotlight/spot104-cigarettes-mental-illness-substance-use-disorder.pdf>

² U.S. Department of Health and Human Services. *The Health Consequences of Smoking: 50 Years of Progress. A Report of the Surgeon General*. Atlanta, GA: U.S. Department of Health and Human Services, Centers for Disease Control and Prevention, National Center for Chronic Disease Prevention and Health Promotion, Office on Smoking and Health, 2014.

NOTE: In addition to the above, grantees must comply with all of the requirements/expectations of the original grant for this program, including Government Performance and Results (GPRA) Modernization Act of 2010 data collection.

II. AWARD INFORMATION

Funding Mechanism: Grant

Anticipated Total Available Funding: \$971,000

Estimated Number of Awards: Up to two (2) awards

Estimated Award Amount: Up to \$485,500 for one (1) year

Length of Project Period: Up to one (1) year

Proposed budgets cannot exceed the allowable amount.

Funding estimates for this announcement are based on an annualized Continuing Resolution and do not reflect the final FY 2017 appropriation. Applicants should be aware that funding amounts are subject to the availability of funds.

Role of Grantee:

Grantees are expected to participate and cooperate fully with CSAT staff and each other in the implementation of the program. Activities must include: (1) compliance with all terms and conditions of these grants; and (2) cooperation with CSAT staff in accepting guidance and responding to requests for information and data.

Role of SAMHSA Staff:

CSAT staff will actively participate in these grants. Staff involvement will include, but is not limited to, providing oversight and guidance regarding grantee progress.

III. ELIGIBILITY INFORMATION

1. ELIGIBLE APPLICANTS

Eligibility for this funding opportunity is limited to the current FY 2014 NITT-MFP-AC grantees, specifically the Association for Addiction Professionals (NADAAC) and the National Board for Certified Counselors (NBCC). Eligibility is limited to these grantees because they have the established infrastructure, partnerships, and necessary knowledge and skills to rapidly implement the program, including expanding the pool of qualified MFP-AC eligible applicants. They are also able to facilitate the dissemination of information concerning the program's goals and outcomes.

2. COST SHARING and MATCH REQUIREMENTS

Cost sharing/match is not required in this program.

IV. APPLICATION AND SUBMISSION INFORMATION

In addition to the application and submission language discussed in PART II: Section I, you must include the following in your application:

1. ADDITIONAL REQUIRED APPLICATION COMPONENTS

- **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 B](#) of this document. **It is highly recommended that you use the sample budget format in [Appendix B](#). This will expedite review of your application.**
- **Project Narrative and Supporting Documentation** – The Project Narrative describes your project. It consists of Sections A through D. Sections A-D together may not be longer than 25 pages. (Remember that if your Project Narrative starts on page 5 and ends on page 30, it is 26 pages long, not 25 pages.) More detailed instructions for completing each section of the Project Narrative are provided in [Section V – Application Review Information](#) of this document.

The Supporting Documentation provides additional information necessary for the review of your application. This supporting documentation must be attached to your application using the Other Attachments Form from the Grants.gov application package. Additional instructions for completing these sections and page limitations for Biographical Sketches/Position Descriptions are included in PART II: Section II-3.1, Required Application Components, and Appendix D, Biographical Sketches and Position Descriptions. Supporting documentation should be submitted in black and white (no color).

- **Budget Justification and Narrative** – The budget justification and narrative must be submitted as file BNF when you submit your application into Grants.gov. (See PART II: Section II-3.1, Required Application Components.)
- **Attachments 1 through 3** – Use only the attachments listed below. If your application includes any attachments not required in this document, they will be disregarded. 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. Use the Other Attachments Form from Grants.gov to upload the attachments.
 - **Attachment 1: 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 1.

- **Attachment 2:** Sample Consent Forms
- **Attachment 3:** Copy of letter to the SSA transmitting the Public Health System Impact Statement (if applicable; see PART II: Appendix B – Intergovernmental Review (E.O. 12372) Requirements).

2. APPLICATION SUBMISSION REQUIREMENTS

Applications are due by **11:59 PM** (Eastern Time) on **April 17, 2017**.

IMPORTANT: Due to SAMHSA's transition to NIH's eRA grants system, SAMHSA has made changes to the application registration, submission, and formatting requirements.

Please be sure to read PART II of this FOA very carefully to understand the requirements for SAMHSA's new grant system. Applicants will need to register with NIH'S eRA Commons in order to submit an application. Applicants also must register with the System for Award Management (SAM) and Grants.gov (see PART II: Section I-1 and Section II-1 for all registration requirements).

Due to the new registration and application requirements, it is strongly recommended that applicants start the registration process **six (6) weeks in advance** of the application due date.

3. FUNDING LIMITATIONS/RESTRICTIONS

- No more than 20 percent of the grant award may be used for administrative costs. Administrative costs include expenditures such as data collection, performance measurement, performance assessment infrastructure, and administration of the grant.

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 PART II: Appendix C, Standard Funding Restrictions.

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

All SAMHSA grant programs are covered under Executive Order (E.O.) 12372, as implemented through Department of Health and Human Services (HHS) 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 PART

II: Appendix B for additional information on these requirements as well as requirements for the Public Health System Impact Statement.

V. APPLICATION REVIEW INFORMATION

1. EVALUATION CRITERIA

Your application will be reviewed and scored against the requirements listed below for developing the Project Narrative (Sections A-D). Independent reviewers will review and score your application and report to SAMHSA on the quality of your response to the requirements listed below, on issues that may impede the effective implementation of your project, and on participant protection issues that may need to be addressed. Deficiencies in your application may delay or prevent grant award or lead to special terms and conditions being placed on your award. In Sections A-D of the Project Narrative, you must clearly describe how you intend to use grant funds. Sections A-D of your application may not exceed 25 pages.

- You must use the four sections/headings listed below in developing your Project Narrative. **You must indicate the Section letter and number in your response or it will not be considered, i.e., type “A-1”, “A-2”, etc., before your response to each question.** You may not combine two or more questions or refer to another section of the Project Narrative in your response, such as indicating that the response for B.2 is in C.7. **Only information included in the appropriate numbered question will be considered by reviewers.** Your application will be scored according to how well you address the requirements for each section of 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: Progress to Date (20 points)

1. Describe your organization’s experience with the existing grant program. Report on accomplishments to date. Discuss any obstacles/problems that have been encountered and actions taken towards their resolution.

Section B: Proposed Approach for Program Expansion/Enhancement (35 points)

1. Describe your plans to expand or enhance your existing program, and how your planned activities will meet the expected goals and objectives of the supplemental program.

2. Clearly describe all activities that will be supported with the supplemental grant funds. Discuss how the supplemental activities will be integrated into the ongoing project.
3. Describe the roles and responsibilities of collaborating organizations.
4. Demonstrate how the proposed approach appropriately addresses factors such as age, race, ethnicity, culture, language, sexual orientation, disability, literacy, and gender of the population of focus.
5. Describe your plan for recruitment and outreach efforts to populations that are underrepresented in the delivery of behavioral health services (e.g., Asian American, African American, American Indian/Alaska Native, Hispanic/Latino, and Native Hawaiian and other Pacific Islanders).
6. Discuss how you will identify the expanded pool of students including those pursuing master's degrees in related educational tracks (social work, counseling, nursing, etc.) who are committed to serving minorities with SUDs.
7. Describe how you will ensure the students' program includes training on addiction issues associated with transition age youth (ages 16-25).

Section C: Implementation Plan and Staffing (30 points)

1. Present your plan for implementing and managing the supplemental activities.
2. Include a timeline for implementation showing key activities, milestones, and responsible staff. These key activities should include the requirements outlined in [Section I](#).

Section D: Data Collection and Performance Measurement (15 points)

1. Provide an updated performance measurement plan that incorporates the new activities to be funded with supplemental funds. Identify data that will be collected to provide regular feedback to the project to determine if the goals of the supplemental program are being met. [NOTE: The performance measurement plan should include both process and outcome requirements. Include copies of the instruments and/or protocols you will use in **Attachment 1** of your application (if you are not providing a web link) and copies of consent forms in **Attachment 2**.]
2. Describe how you will incorporate individuals served as a result of the supplemental activities into your ongoing GPRA activities. Remember to include data collection and performance measurement costs in your requested budget.
3. Describe how data will be used to manage the project and assure that the goals and objectives at a systems level will be tracked and achieved. Goals and

objectives of the program should map onto any continuous quality improvement plan, including consideration of behavioral health disparities.

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.

An illustration of a budget and narrative justification is included in [Appendix B - Sample Budget and Justification](#), of this document. **It is highly recommended that you use the Sample Budget format in [Appendix B](#). This will expedite review of your application.**

Be sure your proposed budget reflects the funding limitations/restrictions specified in [Section IV-3](#). **Specifically identify the items associated with these costs in your budget.**

The budget justification and narrative must be submitted as file BNF when you submit your application into Grants.gov. (See PART II: Section II-3.1, Required Application Components.)

REQUIRED SUPPORTING DOCUMENTATION

Section E: Biographical Sketches and Position Descriptions

See PART II: Appendix D, Biographical Sketches and Job Descriptions, for instructions on completing this section.

Section F: 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 F of your application. **Failure to include these procedures will impact the review of your application.** See [Appendix A](#) of this document 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 CSAT National Advisory Council;
- availability of funds;
- equitable distribution of awards in terms of geography (including urban, rural, and remote settings) and balance among populations of focus and program size; and
- In accordance with 45 CFR 75.212, SAMHSA reserves the right not to make an award to an entity if that entity does not meet the minimum qualification standards as described in section 75.205(a)(2). If SAMHSA chooses not to award a fundable application, SAMHSA must report that determination to the designated integrity and performance system accessible through the System for Award Management (SAM) [currently the Federal Awardee Performance and Integrity Information System (FAPIIS)].

VI. ADMINISTRATION INFORMATION

1. REPORTING REQUIREMENTS

In addition to the data reporting requirements listed in the original RFA, TI-14-1010, grantees must comply with the reporting requirements listed on the SAMHSA website at <http://www.samhsa.gov/grants/grants-management/reporting-requirements>. The grantees will be expected to submit reports bi-annually to the Government Project Officer.

VII. AGENCY CONTACTS

For questions about program issues contact:

Shannon Taitt
 Center for Substance Abuse Treatment, Division of Service Improvement
 Substance Abuse and Mental Health Services Administration
 (240) 276-1691
Shannon.Taitt@samhsa.hhs.gov

For questions on grants management and budget issues contact:

Eileen Bermudez
 Office of Financial Resources, Division of Grants Management
 Substance Abuse and Mental Health Services Administration
 (240) 276-1412
FOACSAT@samhsa.hhs.gov

Appendix A – 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 Institutional Review Board (IRB) approval] must address the seven elements below. If some are not applicable or relevant to the proposed project, simply state that they are not applicable and indicate why. In addition to addressing these seven elements, read the section that follows entitled Protection of Human Subjects Regulations to determine if the regulations may apply to your project. If so, you are required to describe the process you will follow for obtaining 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 users, pregnant women, or other targeted groups.
- Explain the reasons for including groups of pregnant women, children, people with mental disabilities, people in institutions, prisoners, and individuals who are likely to be particularly vulnerable to HIV/AIDS.
- 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 of 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 1, “Data Collection Instruments/Interview Protocols,”** copies of all available data collection instruments and interview protocols that you plan to use [unless you are providing the web link to the instrument(s)/protocol(s)].

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 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, 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 2, “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 IRB approval. However, in some instances, the applicant’s proposed performance assessment design may meet the regulation’s criteria for research involving human subjects.

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, or (240) 453-6900. SAMHSA–specific questions should be directed to the program contact listed in Section VII of this announcement.

Appendix B – 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 | Cost |
|-----------------------|----------------|--------------------|-----------------|-----------------|
| (1) Project Director | John Doe | \$64,890 | 10% | \$6,489 |
| (2) Grant Coordinator | To be selected | \$46,276 | 100% | \$46,276 |
| (3) Clinical Director | Jane Doe | In-kind cost | 20% | 0 |
| | | | TOTAL | \$52,765 |

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.

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

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

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

FEDERAL REQUEST

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

JUSTIFICATION: Fringe reflects current rate for agency.

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

C. Travel: Explain need for all travel other than that required by this application. Applicants must use their own documented travel policies. If an organization does not have documented travel policies, the federal GSA rates must be used.

FEDERAL REQUEST

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

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 SF-424A) **\$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). Organizations should follow their documented capitalization policy thresholds.

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

E. Supplies: Materials costing less than \$5,000 per unit (federal definition) and often having one-time use

FEDERAL REQUEST

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

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 SF-424A) **\$ 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 SHOULD BE INCLUDED IN THE COSTS.

FEDERAL REQUEST

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

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

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, is knowledgeable about the 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 SF-424A) **\$86,997**

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

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

FEDERAL REQUEST

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

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, they 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) are required for all projects allocating rent costs.

(2) The monthly telephone costs reflect the percent 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 SF-424A) \$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>. **Effective with 45 CFR 75.414(f), any non-federal entity that has never received a negotiated indirect cost rate, except for those non-federal entities described in Appendix VII part 75 (D)(1)(b), may elect to charge a de minimis rate of 10% of modified total direct costs (MTDC) which may be used indefinitely. If an organization has a federally approved rate of 10%, the approved rate would prevail.**

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

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 SF-424A) \$172,713

INDIRECT CHARGES:

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

TOTAL: (sum of 6i and 6j)

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

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Provide the total proposed project period and federal funding as follows:

Proposed Project Period

a. Start Date: 09/30/2017

b. End Date: 09/29/2018

BUDGET SUMMARY (should include future years and projected total)

| Category | Year 1 | Total Project Costs |
|----------------------------|------------------|----------------------------|
| Personnel | \$52,765 | \$52,765 |
| Fringe | \$10,896 | \$10,896 |
| Travel | \$2,444 | \$2,444 |
| Equipment | 0 | 0 |
| Supplies | \$3,796 | \$3,796 |
| Contractual | \$86,997 | \$86,997 |
| Other | \$15,815 | \$15,815 |
| Total Direct Charges | \$172,713 | \$172,713 |
| Indirect Charges | \$5,093 | \$5,093 |
| Total Project Costs | \$177,806 | \$177,806 |

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

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

***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 policy and procedures that state all employees within the organization will receive a COLA.

IN THIS SECTION, REFLECT OTHER FEDERAL AND 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 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. [Note: Please see PART II: Appendix D, Funding Restrictions, regarding allowable costs.]

IN THIS SECTION, include a narrative and separate budget for each year of the grant that shows the percent of the total grant award that will be used for data collection, performance measurement and performance assessment. **Be sure the budget reflects the funding restrictions in [Section IV-3](#) of the FOA Part I: Programmatic Guidance.**

| Administrative Costs, Including Data Collection & Performance Measurement | Year 1 | Total Administrative Costs, Including Data Collection & Performance Measurement |
|--|-----------------|--|
| Personnel | \$6,700 | \$6,700 |
| Fringe | \$2,400 | \$2,400 |
| Travel | \$100 | \$100 |
| Equipment | 0 | 0 |
| Supplies | \$750 | \$750 |
| Contractual | \$24,950 | \$24,950 |
| Other | 0 | 0 |
| Total Direct Charges | \$34,300 | \$34,300 |
| Indirect Charges | \$698 | \$698 |
| Total Administrative Costs, Including Data Collection & Performance Measurement | \$34,998 | \$34,998 |