Department of Health and Human Services

Substance Abuse and Mental Health Services Administration

Grants for National Consumer and Consumer Supporter Technical Assistance Centers

Short title: Consumer and Consumer Supporter TACs
(Initial Announcement)

SM-07-003

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

Key Dates:

Application Deadline	**Applications are due by February 2, 2007.**
Intergovernmental Review (E.O. 12372)	**Letters from State Single Point of Contact (SPOC) are due no later than**
Public Health System Impact Statement (PHSIS)/SSA 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.**

A. Kathryn Power, M.Ed.
Director
Center for Mental Health Services
Substance Abuse and Mental Health
Services Administration

Eric B. Broderick, D.D.S., M.P.H.
Acting Deputy Administrator
Assistant Surgeon General
Substance Abuse and Mental Health
Services Administration

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Executive Summary:

The Substance Abuse and Mental Health Services Administration, Center for Mental Health Services is accepting applications for fiscal year (FY) 2007 for Grants for National Consumer and Consumer Supporter Technical Assistance Centers (TACs). The purpose of this program is to assist in the transformation of the mental health system by promoting consumer directed approaches for adults with serious mental illnesses. Such programs maximize consumer self-determination and recovery and assist people with serious mental illness by decreasing their dependence on expensive social services and avoiding psychiatric hospitalization.

The target population for technical assistance activities of the TACs is adults with serious mental illnesses. TACs will provide technical assistance to consumers in States where consumer organization and leadership are underdeveloped. They will also provide technical assistance to State mental health systems serving adults with serious mental illnesses, to consumer supporter organizations, service providers, and the general public. Technical assistance activities will not be limited to specific subpopulations of adults with serious mental illnesses.

Funding Opportunity Title:	Grants for National Consumer and Consumer Supporter Technical Assistance Centers
Funding Opportunity Number:	SM-07-003
Due Date for Applications:	February 2, 2007
Anticipated Number of Awards:	Five
Average Projected Award Amount:	$340,000
Length of Project Period:	Three years
Eligible Applicants:	Domestic public and private nonprofit entities that meet the criteria for consumer or consumer supporter organizations [See Section III-1 of this RFA for complete eligibility information.]

I. FUNDING OPPORTUNITY DESCRIPTION

1. INTRODUCTION

The Substance Abuse and Mental Health Services Administration, Center for Mental Health Services is accepting applications for fiscal year (FY) 2007 for Grants for National Consumer and Consumer Supporter Technical Assistance Centers. The purpose of this program is to assist in the transformation of the mental health system by promoting consumer directed approaches for adults with serious mental illnesses. Such programs maximize consumer self-determination and recovery and assist people with serious mental illness by decreasing their dependence on expensive social services and avoiding psychiatric hospitalization.

The target population for technical assistance activities of the TACs is adults with serious mental illnesses. TACs will provide technical assistance to consumers in States where consumer organization and leadership are underdeveloped. They will also provide technical assistance to State mental health systems serving adults with serious mental illnesses, to consumer supporter organizations, service providers, and the general public. Technical assistance activities will not be limited to specific subpopulations of adults with serious mental illnesses.

Consumer and Consumer Supporter TAC grants are authorized under Section 520A of the Public Health Service Act, as amended. This announcement addresses Healthy People 2010 focus area 18 (Mental Health).

2. EXPECTATIONS

Tenets of Mental Health Consumer Self-Help

The values and philosophies that guide the development and operation of consumer self-help organizations are the driving forces behind their success. SAMHSA expects these values and philosophies to be integrated into the technical assistance activities funded under this announcement. These include:

- Empowerment – grantees must promote the ability of consumers to make decisions that directly affect their own lives;
- Independence – grantees must support consumers in striving for self-reliance and in pursuing opportunities to function as productive citizens;
- Responsibility – grantees must encourage individuals to take responsibility for themselves and others;
- Choice – grantees must promote an environment in which consumers can make informed choices about treatment, housing, and other services and supports; and
- Respect and Dignity – grantees must promote the idea that all individuals are valued and have skills and strengths to offer society.

In addition, grantees will be expected to adhere to SAMHSA's "Guidelines for Assessing Consumer and Family Participation" (see Appendix D).

Program Goals

The specific goals of the Consumer and Consumer Supporter TAC program are the following:

1. Strengthen consumer organizations and leadership in States, particularly where such organizations do not exist or are underdeveloped;

2. Promote skills development for consumers with an emphasis on leadership and business management;

3. Expand consumer participation in all aspects of mental health system transformation, including policy formation, planning, development, and evaluation; and

4. Increase the capacity of mental health providers to work more effectively with consumers to promote recovery.

Program Focus Areas

To achieve the overall program goals, each grantee will be required to identify no more than two of the program areas listed below as areas of concentration for the proposed project.

- **Person-Centered Planning:** Person-centered planning is a process-oriented approach to empowering people with serious mental illnesses. It focuses on putting consumers in charge of defining what services and supports are necessary for their recovery. Examples include providing technical assistance to consumer/peer-run providers as well as to State and local organizations on developing individualized treatment plans based on person-centered planning; and collecting, analyzing and developing materials related to person-centered planning.

- **Workforce Development and Employment:** Examples include providing technical assistance to State and local organizations on recruiting and retaining self-help providers including peer specialists; providing technical assistance to consumers who are reentering the job market on career development; and identifying financing mechanisms for hiring peer employees.

- **Program Management and Administration:** Examples include providing technical assistance to consumer directed and consumer/peer run organizations on program management and administration; and developing training curriculum and conducting training of trainers on skills development to promote self-help.

- **Cultural Outreach and Self-Help Adaptation across the Lifespan:** This is focused on specific cultural groups (e.g. African Americans, Hispanics/Latinos, Asian and Pacific Islanders, American Indians, and Alaska Natives) and older adults. Examples include identifying consumer/peer-run models for serving diverse cultural and age groups; and convening policy makers and consumer leaders to develop guidelines on how to serve ethnically diverse people.

- **Recovery:** This involves increasing the knowledge on what facilitates or hinders recovery, as defined in SAMHSA's recent consensus statement, at the individual as well as systems levels. Examples include collecting, analyzing and developing materials on recovery from mental illness; and educating supporters on the role they can play in facilitating the recovery of consumers.

- **Self-care/Self-management:** Examples include analyzing and producing materials on self-help best practices; expanding self-directed care; identifying model approaches of peer provided services for people in crises, including those with trauma histories, and for military veterans; and person-directed planning and brokerage programs.

In addition, each grantee will be required to dedicate a minimum of 25% of their grant resources to providing technical assistance to consumers in two states where statewide consumer network organizations are either non-existent or underdeveloped. Each grantee will collaborate with their Government Project Officer in identifying these states.

Alternatives Conference

Each of the three Consumer TACs will rotate responsibility for hosting the annual national consumer-run Alternatives Conference. The selection of the conference host for the first grant year will be determined by the score on Section E: Plan for Alternatives Conference in the Project Narrative (Section V-1). In subsequent years, the selection of the host will be based on the next highest scores on Section E. Each grantee will host the conference at least once during the three year project period.

Since each Consumer TAC will host one Alternatives Conference during the project period, applications must include a budget for the Conference of $126,000. This money is intended to support just the conference and does not include scholarship support. Guidelines for conducting the Alternatives Conference are included in Appendix F. Consumer organizations may not apply for only hosting the Alternatives Conference or for only administering a Consumer TAC.

2.1 Allowable Activities

SAMHSA's Consumer and Consumer Supporter TAC grants may support the following types of activities:

- Providing technical assistance resources and referrals to providers on the development of individual plans of care.
- Providing technical assistance to consumer directed and consumer/peer-run groups on approaches for obtaining needed resources.
- Educating providers, community leaders, and others on the value of consumer directed approaches including consumer/peer-run programs.
- Providing technical assistance, training, and consultation regarding the development, administration, and evaluation of consumer directed and consumer/peer-run programs.
- Partnering with providers, researchers, advocates and others to promote consumer directed and consumer/peer-run programs.

- Providing technical assistance and consultation regarding consumer leadership training.
- Identifying, disseminating, and encouraging the adoption of evidence-based and best practices for consumer directed and consumer/peer-run programs.
- Facilitating referrals to consumer directed and consumer/peer-run programs.
- Collecting and disseminating research and evaluation findings related to consumer directed and consumer/peer-run programs.
- Providing technical assistance on the financing and human resource development of consumer directed and consumer/peer-run programs.
- Developing, maintaining, and using Websites, materials, and multimodal communication vehicles.
- Organizing and convening conference calls and meetings.
- Conducting on-site assessments, training, and consultation.

2.2 Data Collection and Performance Measurement

All SAMHSA grantees are required to collect and report performance information so that SAMHSA can meet its obligations under the Government Performance and Results Act (GPRA). Grantees will be required to report performance data on relevant National Outcome Measures for infrastructure which are currently under development. The infrastructure measures will be drawn from the following domains: policy development; workforce development (number trained and level of satisfaction with training – CMHS training satisfaction form under development); financing organizational restructuring; accountability; types/targets of practices; and cost efficiency. In your application, you must demonstrate your ability to collect and report on these measures, and you may be required to provide some baseline data.

Grantees must collect and report data using a GPRA measures data collection tool which is under development. The frequency of the data collection will be finalized at a later date but, at a minimum, will be required in 6-month intervals. GPRA performance data resulting from training or other meetings will be expected within 30 days from the date of the event. CMHS is in the final stages of implementing a Web-based GPRA data collection and reporting system. Grantees may be asked in the future to submit their GPRA data electronically using this Web-based system. When development of the system is complete, grantees will be provided initial training and ongoing technical assistance in order to ensure a smooth transition to the electronic system and continued user support. Applicants must agree to comply with the Web-based submission of performance data in Section D: Performance Assessment and Data of their applications.

The terms and conditions of the grant award will also specify the data to be submitted and the schedule for submission. Grantees will be required to adhere to these terms and conditions of award.

No more than 20% of the total grant award may be used for data collection and performance assessment.

2.3 Grantee Meetings

Each grant's Project Director is required to attend three meetings during each year of the grant. This includes two meetings of the Center for Mental Health Services' National Advisory Council (including the pre-meeting of the Subcommittee on Consumer/Survivor issues) and the Alternatives Conference. The National Advisory Council meetings are held in the Washington, D.C. area. The Alternatives Conference is held in varying sites around the country. Grantees should include funding for this travel in their budgets.

II. AWARD INFORMATION

Funding Mechanism:	Grant
Anticipated Total Available Funding:	$1.8 million
Anticipated Number of Awards:	Five – three Consumer TACs and two Consumer Supporter TACs
Anticipated Award Amount:	$340,000 per year in total costs (direct and indirect)
Length of Project Period:	Three years

Proposed budgets cannot exceed $340,000 in any year of the proposed project. Annual continuation awards will depend on the availability of funds, grantee progress in meeting project goals and objectives, and timely submission of required data and reports.

An additional $126,000 will be competitively awarded each year to one of the three successful Consumer TACs to facilitate the Alternatives Conference. (See section entitled Alternatives Conference in Section V-1: Evaluation Criteria).

This program is being announced prior to the annual appropriation for FY 2007 for SAMHSA's programs, with funding estimates based on the President's budget request for FY 2007. Applications are invited based on the assumption that sufficient funds will be appropriated for FY 2007 to permit funding of a reasonable number of applications hereby solicited. All applicants are reminded, however, that we cannot guarantee that sufficient funds will be appropriated to permit SAMHSA to fund any applications.

III. ELIGIBILITY INFORMATION

1. ELIGIBLE APPLICANTS

Eligible applicants are domestic public and private nonprofit entities, including faith-based entities, tribal organizations, and currently funded Consumer and Consumer Supporter TA Center grantees that meet the following requirements:

- An applicant organization must have been in operation for a minimum of one year;
- An applicant organization must be controlled and managed by consumers/consumer supporters;
- An applicant organization must be dedicated to the improvement of mental health services nationally;
- An applicant organization must have a Board of Directors comprised of more than 50 percent consumers/consumer supporters.
- Applicants must complete and sign the Certificate of Consumer and Consumer Supporter Organization Eligibility (see Appendix E of this document), indicating that the applicant meets all eligibility requirements. Applicants must also provide necessary supportive documentation.

SAMHSA is limiting eligibility to consumer/consumer supporter organizations because the goals of this grant program are to strengthen the capacity of consumers/consumer supporters to assist in the transformation of the mental health system by promoting consumer directed approaches for adults with serious mental illness.

The statutory authority for this program precludes grants to for-profit organizations.

2. COST-SHARING

Cost-sharing is not required in this program.

3. OTHER

You must comply with the following requirements, or your application will be screened out and will not be reviewed: use of the PHS 5161-1 application; application submission requirements in Section IV-3 of this document; and formatting requirements provided in Appendix A of this document.

IV. APPLICATION AND SUBMISSION INFORMATION

1. ADDRESS TO REQUEST APPLICATION PACKAGE

You may request a complete application kit from the SAMHSA Information Line at 1-877-SAMHSA7 [TDD 1-800-487-4889].

You also may download the required documents from the SAMHSA Web site at www.samhsa.gov/grants/index.aspx

Additional materials available on this Web site include:

- a technical assistance manual for potential applicants;
- standard terms and conditions for SAMHSA grants;
- guidelines and policies that relate to SAMHSA grants (e.g., guidelines on cultural competence, consumer and family participation, and evaluation); and
- a list of certifications and assurances referenced in item 21 of the (SF) 424 v2.

2. CONTENT AND FORM OF APPLICATION SUBMISSION

2.1 Application Kit

SAMHSA application kits include the following documents:

- PHS 5161-1 (revised July 2000) – Includes the face page, budget forms, assurances, certification, and checklist. You must use the PHS 5161-1. **Applications that are not submitted on the required application form will be screened out and will not be reviewed.**

- Request for Applications (RFA) – Provides specific information about the availability of funds along with instructions for completing the grant application. This document is the RFA. The RFA will be available on the SAMHSA web site (www.samhsa.gov/grants/index.aspx) and a synopsis of the RFA is available on the Federal grants web site (www.Grants.gov).

You must use all of the above documents in completing your application.

2.2 Required Application Components

Applications must include the required ten application components (Face Page, Abstract, Table of Contents, Budget Form, Project Narrative and Supporting Documentation, Appendices, Assurances, Certifications, Disclosure of Lobbying Activities, and Checklist).

- ❑ **Face Page –** Use Standard Form (SF) 424 v2, which is part of the PHS 5161-1. [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 face 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 web site at www.dunandbradstreet.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.]

- ❑ **Abstract –** Your total abstract should not be longer than 35 lines. It should include the project name, target population, proposed catchment area, proposed strategies/methods, project goals and measurable objectives to achieve program goals. 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, reporting to Congress, or press releases.

- **Table of Contents –** Include page numbers for each of the major sections of your application and for each appendix.

- **Budget Form –** Use SF 424A, which is part of the 5161-1. Fill out Sections B, C, and E of the SF 424A. A sample budget and justification is included in Appendix H of this document.

- **Project Narrative and Supporting Documentation –** The Project Narrative describes your project. It consists of Sections A-D for Consumer Supporter TACs and Sections A-E for Consumer TACs. The Project Narrative for Sections A-D in total may not be longer than 25 pages. (For example, remember that if your Project Narrative starts on page 5 and ends on page 30, it is 26 pages long, not 25 pages.) The Project Narrative for Section E may not exceed 3 additional 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 F through I. There are no page limits for these sections, except for Section H, Biographical Sketches/Job Descriptions. Additional instructions for completing these sections are included in Section V under "Supporting Documentation."

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

  - *Appendix 1*: Letters of Support
  - *Appendix 2*: Certificate of Eligibility
  - *Appendix 3*: Sample Consent Forms
  - *Appendix 4*: Data Collection Instruments/Interview Protocols
  - *Appendix 5*: Letter to the SSA

- **Assurances –** Non-Construction Programs. Use Standard Form 424B found in PHS 5161-1.

- **Certifications –** You must read the list of certifications provided on the SAMHSA Web site or in the application kit before signing the face page of the application.

- **Disclosure of Lobbying Activities –** Use Standard Form LLL found in the PHS 5161-1. 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.

- **Checklist –** Use the Checklist found in PHS 5161-1. The Checklist ensures that you have obtained the proper signatures, assurances and certifications and is the last page of your application.

2.3 Application Formatting Requirements

Please refer to Appendix A, *Checklist for Formatting Requirements and Screenout 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.

3. SUBMISSION DATES AND TIMES

Applications are due by close of business on **February 2, 2007**. **Hand carried applications will not be accepted. Applications may be shipped using only DHL, Federal Express (FedEx), United Parcel Service (UPS), or the United States Postal Service (USPS).**

Your application must be received by the application deadline, or you must have proof of its timely submission as specified below.

- **For packages submitted via DHL, Federal Express (FedEx), or United Parcel Service (UPS), proof of timely submission shall be the date on the tracking label affixed to the package by the carrier upon receipt by the carrier. That date must be at least 24 hours prior to the application deadline. The date affixed to the package by the applicant will not be sufficient evidence of timely submission.**

- For packages submitted via the United States Postal Service (USPS), proof of timely submission shall be a postmark not later than 1 week prior to the application deadline, and the following upon request by SAMHSA:
  - proof of mailing using USPS Form 3817 (Certificate of Mailing), or
  - a receipt from the Post Office containing the post office name, location, and date and time of mailing.

You will be notified by postal mail that your application has been received.

Applications not meeting the timely submission requirements above will not be considered for review. Please remember that mail sent to Federal facilities undergoes a security screening prior to delivery. Allow sufficient time for your package to be delivered.

If an application is mailed to a location or office (including room number) that is not designated for receipt of the application, and that results in the designated office not receiving your application in accordance with the requirements for timely submission, it will cause the application to be considered late and ineligible for review.
SAMHSA will not accept or consider any applications sent by facsimile.

SAMHSA is collaborating with www.Grants.gov to accept electronic submission of applications. Please refer to Appendix B for "Guidance for Electronic Submission of Applications."

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

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 kit and can be downloaded from the Office of Management and Budget (OMB) web site at www.whitehouse.gov/omb/grants/spoc.html.

- 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:** Crystal Saunders, Director of Grant Review, Office of Program Services, 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 another delivery service.

In addition, if you are a community-based, non-governmental service provider and you are not transmitting your application through the State, you must submit a Public Health System Impact Statement (PHSIS)[1] to the head(s) of appropriate State or local health agencies in the area(s) to

[1] 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 face page of SF 424 v2 and the abstract and preparing the letter for mailing. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. The 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).

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 face page of the application (SF 424 v2); 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 can be found on SAMHSA's web site at www.samhsa.gov. 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 **Appendix 5, "Letter to the SSA**." The letter must notify the State that, if it wishes to comment on the proposal, its comments should be sent not later than 60 days after the application deadline to the following address. **For United States Postal Service:** Crystal Saunders, Director of Grant Review, Office of Program Services, 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 another delivery service.

In addition:

- 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.

5. 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.hhs.gov/grantsnet/roadmap/index.html:

- Institutions of Higher Education: OMB Circular A-21
- State and Local Governments and Federally Recognized Indian Tribal Governments: OMB Circular A-87
- Nonprofit Organizations: OMB Circular A-122
- Hospitals: 45 CFR Part 74, Appendix E

In addition, all SAMHSA grant recipients must comply with the following funding restrictions:

- Grant funds must be used for purposes supported by the program.

- Grant funds may not be used to pay for the purchase or construction of any building or structure to house any part of the grant project. (Applicants may request up to $75,000 for renovations and alterations of existing facilities, if necessary and appropriate to the project.)

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

6. OTHER SUBMISSION REQUIREMENTS

You may submit your application in either electronic or paper format:

Submission of Electronic Applications

SAMHSA is collaborating with www.Grants.gov to accept electronic submission of applications. Electronic submission is voluntary. No review points will be added or deducted, regardless of whether you use the electronic or paper format.

To submit an application electronically, you must use the www.Grants.gov apply site. You will be able to download a copy of the application package from www.Grants.gov, complete it off-line, and then upload and submit the application via the Grants.gov site. E-mail submissions will not be accepted.

Please refer to Appendix B for detailed instructions on submitting your application electronically.

Submission of Paper Applications

You must submit an original application and 2 copies (including appendices). The original and copies must not be bound. Do not use staples, paper clips, or fasteners. Nothing should be attached, stapled, folded, or pasted.

Send applications to the address below:

For United States Postal Service:

Crystal Saunders, Director of Grant Review
Office of Program Services
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 another delivery service.

Do not send applications to other agency contacts, as this could delay receipt. Be sure to include "**Consumer and Consumer Supporter TACS, SM-07-003**" in item number 12 on the face page of any paper applications. If you require a phone number for delivery, you may use (240) 276-1199.

Hand carried applications will not be accepted. Applications may be shipped using only DHL, Federal Express (FedEx), United Parcel Service (UPS), or the United States Postal Service (USPS).

SAMHSA will not accept or consider any applications sent by facsimile.

V. APPLICATION REVIEW INFORMATION

1. EVALUATION CRITERIA

The Project Narrative describes what you intend to do with your project and includes the Evaluation Criteria in the Sections below (Sections A-D for Consumer Supporter TAC applicants or Sections A-E for Consumer TAC applicants). Sections A-D describe what you intend to do with your project; Section E describes your plan for the Alternatives Conference. Your application will be reviewed and scored according to the quality of your response to the requirements in Sections A-D for Consumer Supporter TAC applicants or Sections A-E for Consumer TAC applicants

- In developing the Project Narrative section of your application, use these instructions, which have been tailored to this program. **These are to be used instead of the "Program Narrative" instructions found in the PHS 5161-1**.

- Sections A-D of the Project Narrative together may be no longer than 25 pages. Section E may not exceed 3 additional pages.

- You must use the five sections/headings listed below in developing your Project Narrative. Be sure to 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.

- Reviewers will be looking for evidence of cultural competence in each section of the Project Narrative, and will consider how well you address the cultural competence aspects of the evaluation criteria when scoring your application. SAMHSA's guidelines for cultural competence can be found on the SAMHSA web site at www.samhsa.gov. Click on "Grants/Applying for a New SAMHSA Grant/Guidelines for Assessing Cultural Competence."

- The Supporting Documentation you provide in Sections F-I and Appendices 1-5 will be considered by reviewers in assessing your response, along with the material in the Project Narrative.

- The relative value of each section is indicated by the percent listed after each section heading. Although individual weights are not assigned to each bullet, reviewers look for information under every bullet and score the application accordingly.

- Only the points in Section A-D will be used to determine the priority score for the Consumer TAC awards. Section E will be used to select the host for the Alternatives Conference. The Consumer TAC with the highest score on Section E will be given the first opportunity to host the next Conference and the Conference host will be rotated to the other Consumer TACs for years 2 and 3 of the grant program.

Section A: Organizational History and Experience (15%)

- Describe how your organization has supported the concept of consumer directed services including the tenets of the mental health self-help movement, and the philosophies and fundamental principles described in this announcement. Describe how consumers and family members have been involved in the activities of your organization.

- Describe the types and amount of technical assistance services your organization has provided to individual consumers, consumer and consumer supporter organizations, state and local mental health systems, faith-based organizations, and mental health providers.

Section B: Project Approach (45%)

- Describe the two program areas (see Section I-2 - Program Focus Areas) your TAC will be concentrating on and the proposed approach for developing these program areas. Describe how this approach will be culturally and linguistically appropriate for a diverse service population.

- Describe your approach to providing consultation, training, and technical assistance and the process for responding to requests for products and technical assistance in a timely fashion.

- Describe your approach for providing consultation, training, and technical assistance to two (yet to be identified) states with little or no statewide consumer organizations that are not currently receiving SAMHSA/CMHS Mental Health Transformation State Incentive Grants.

- Describe your approach for developing and operating a Web site and using other telecommunication technologies. Also describe how you will create a repository of resource information that will be easily accessible to all customers.

- Describe the process for developing and disseminating materials. Describe the process for assuring that these products will be tailored to the cultural and linguistic needs of different audiences. Provide data to support why these materials need to be developed.

- Describe the process you will use to identify and reach culturally diverse populations (e.g., African Americans, Hispanics/Latinos, Asian & Pacific Islanders, American Indians, and Alaska Natives) for input into your Center's activities.

Section C: Staff, Management, and Relevant Experience (35%)

- Describe plans for organizing the TAC, including the structure, allocation of resources, and staffing plans that reflect the expertise needed, including consultants who will supplement the staff. If using consultants, describe lines of authority, subcontract language, work plan, time lines, and description of products.

- Describe plans for monitoring subcontractors.

- Provide a realistic time line for the entire project period (chart or graph) showing key activities, milestones, and responsible staff. [Note: The time line should be part of the Project Narrative. It should not be placed in an appendix.]

- Include a list of all key staff including the Project Director and specialists who will participate in the project. Show the role of each key staff, their level of effort and qualifications.

- Discuss how key staff have demonstrated experience in serving the target population and are familiar with the culture of the target population. If the target population is multilinguistic, indicate if the staffing pattern includes bilingual and bicultural individuals.

- Discuss the capability and experience of the applicant organization with similar projects and populations, including experience in providing culturally appropriate and competent assistance.

- Describe the resources available and the capabilities of your organization for synthesizing, summarizing and producing documents that are visually appealing, culturally and linguistically relevant, using maps and graphics, as appropriate.

- Provide data on the total number of employees (full and part-time) in your organization and any parent organization, and the number and percent that are consumers and consumer supporters.

- If you plan to include an advisory body in your project, describe its membership, roles and functions, and frequency of meetings.

Section D: Performance Assessment and Data (5%)

- Describe how you will manage your project and assure continuous quality improvement in response to the GPRA data.

Section E: Plan for the Alternatives Conference (25%)

This section is to be answered only by applicants applying for funding for a National Consumer TAC. The score will be used only to select the conference host for the first year of the grant.

- Describe your organization's experience in organizing, planning, and conducting very large conferences and meetings.

- Describe your experience with certified meeting planners and how you would choose such an individual or organization.

- Describe how you would develop the theme for the Conference.

- Describe the process for selecting the steering committee.

- Describe the process for planning the conference and selecting the location and the hotel.

- Identify issues you think will be important topics for the next Alternatives Conference.

- Describe the resources available and the capabilities of your organization for planning, organizing, and implementing the Conference.

- Describe the procedure for determining what the workshop topics will be.

NOTE: Although the budget for the proposed project is not a 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.

SUPPORTING DOCUMENTATION

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

Section G: Budget Justification, Existing Resources, Other Support. You must provide a narrative justification of the items included in your proposed budget, as well as a description of existing resources and other support you expect to receive for the proposed project. Be sure to show that no more than 20% of the total grant award will be used for data collection and evaluation, including GPRA. An illustration of a budget and narrative justification is included in Appendix H of this document.

Section H: Biographical Sketches and Job Descriptions.

- Include a biographical sketch for the Project Director and other key positions. Each sketch should be 2 pages or less. If the person has not been hired, include a position description and/or letter of commitment with a current biographical sketch from the individual.

- Include job descriptions for key personnel. Job descriptions should be no longer than 1 page each.
- Information on what should be included in biographical sketches and job descriptions can be found on page 22, Item 6, in the Program Narrative section of the PHS 5161-1 instruction page, available at www.hhs.gov/forms/PHS-5161-1.doc.

Section I: Confidentiality and Participant Protection Requirements: Applicants must describe procedures relating to Confidentiality, Participant Protection and the Protection of Human Subjects Regulations in Section L of the application, using the guidelines provided below. More detailed guidance for completing this section can be found in Appendix G of this RFA.

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 must address the eight bullets 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 eight bullets, 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 may result in the delay of funding.

- Identify foreseeable risks or adverse effects due to participation in the project and/or in the data collection (evaluation) activities (including physical, medical, psychological, social, legal, and confidentiality) and provide your procedures for minimizing or protecting participants from these risks.

- Identify plans to provide guidance and assistance in the event there are adverse effects to participants.

- Describe the target population and explain why you are including or excluding certain subgroups. Explain how and who will recruit and select participants.

- State whether participation in the project is voluntary or required. If you plan to provide incentives/compensate participants, specify the type (e.g., money, gifts, coupons), and the value of any such incentives.

- Describe data collection procedures, including sources (e.g., participants, school records) and the data collecting setting (e.g., clinic, school). Provide copies of proposed data collection instruments and interview protocols in Appendix 2, “Data Collection Instruments/Interview Protocols.” State whether specimens such as urine and/or blood will be obtained and the purpose for collecting. If applicable, describe how the specimens and process will be monitored to ensure the safety of participants.

- Explain how you will ensure privacy and confidentiality of participants' records, data collected, interviews, and group discussions. Describe where the data will be stored, safeguards (e.g., locked, coding systems, storing identifiers separate from data), and who will have access to the information.

- Describe the process for obtaining and documenting consent from adult participants and assent from minors along with consent from their parents or legal guardians. Provide copies of all consent forms in Appendix 3 of your application, "Sample Consent Forms." If needed, give English translations.

- Discuss why the risks are reasonable compared to expected benefits 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 of research involving human subjects. Applicants whose projects must comply with the Human Subjects Regulations must, in addition to the bullets above, 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 clients 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.

2. REVIEW AND SELECTION PROCESS

SAMHSA applications are peer-reviewed according to the review criteria listed above. For those programs where the individual award is over $100,000, applications also must be reviewed by the appropriate National Advisory Council.

Decisions to fund a grant are based on:

- the strengths and weaknesses of the application as identified by peer reviewers and, when applicable, approved by the Center for Mental Health Services' National Advisory Council; and
- availability of funds.

VI. AWARD ADMINISTRATION INFORMATION

1. AWARD NOTICES

After your application has been reviewed, you will receive a letter from SAMHSA through postal mail that describes the general results of the review, 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 Grant Award, signed by SAMHSA's Grants Management Officer. The Notice of Grant 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 may re-apply if there is another receipt date for the program.

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 web site at 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 web site (http://www.samhsa.gov/grants/generalinfo/grant_reqs.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; or
  - requirements to address problems identified in review of the application.

- 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.

- 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.

- In an effort to improve access to funding opportunities for applicants, SAMHSA is participating in the U.S. Department of Health and Human Services "Survey on Ensuring Equal Opportunity for Applicants." This survey is included in the application kit for SAMHSA grants and is posted on the SAMHSA web site. You are encouraged to complete the survey and return it, using the instructions provided on the survey form.

3. REPORTING REQUIREMENTS

In addition to the data reporting requirements listed in Section I-2.2, you must comply with the following requirements:

3.1 Progress and Financial Reports

- You will be required to submit annual and final progress reports, as well as annual and final financial status reports.

- Because SAMHSA is extremely interested in ensuring that infrastructure development and enhancement efforts can be sustained, your progress reports should explain plans to ensure the sustainability (see Appendix C - Glossary) of efforts initiated under this grant.

- If your application is funded, SAMHSA will provide you with guidelines and requirements for these reports at the time of award and at the initial grantee orientation meeting after award. SAMHSA staff will use the information contained in the reports to determine your progress toward meeting its goals.

3.2 Government Performance and Results Act

The Government Performance and Results Act (GPRA) mandates accountability and performance-based management by Federal agencies. To meet the GPRA requirements, SAMHSA must collect performance data (i.e., "GPRA data") from grantees. The performance requirements for SAMHSA's Consumer and Consumer Supporter TACs grant program are described in Section I-2.2 of this document under "Data and Performance Measurement."

3.3 Publications

If you are funded under this grant program, you are required to notify the Government Project Officer (GPO) and SAMHSA's Publications Clearance Officer (240-276-2130) of any materials based on the SAMHSA-funded project that are accepted for publication.

In addition, SAMHSA requests that grantees:

- Provide the GPO and SAMHSA Publications Clearance Officer with advance copies of publications.

- Include acknowledgment of the SAMHSA grant program as the source of funding for the project.

- Include a disclaimer stating that the views and opinions contained in the publication do not necessarily reflect those of SAMHSA or the U.S. Department of Health and Human Services, and should not be construed as such.

SAMHSA reserves the right to issue a press release about any publication deemed by SAMHSA to contain information of program or policy significance to the substance abuse treatment/substance abuse prevention/mental health services community.

VII. AGENCY CONTACTS

For questions about program issues, contact:

Risa S. Fox, M.S.
Public Health Advisor
Center for Mental Health Services
SAMHSA
1 Choke Cherry Road, Room 6-1031
Rockville, MD 20857
(240) 276-1960
E-mail: risa.fox@samhsa.hhs.gov

For questions on grants management issues, contact:

Kimberly Pendleton
Office of Program Services, Division of Grants Management
Substance Abuse and Mental Health Services Administration/OPS
1 Choke Cherry Road, Room 7-1097
Rockville, MD 20857
(240) 276-1421
E-mail: kimberly.pendleton@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 PHS 5161-1 application.

- ❑ Applications must be received by the application deadline or have proof of timely submission, as detailed in Section IV-3 of the grant announcement.

- ❑ Information provided must be sufficient for review.

- ❑ Text must be legible. (For Project Narratives submitted electronically in Microsoft Word, see separate requirements in Section IV-6 of this announcement under "Submission of Electronic Applications.")
    - Type size in the Project Narrative cannot exceed an average of 15 characters per inch, as measured on the physical page. (Type size in charts, tables, graphs, and footnotes will not be considered in determining compliance.)
    - Text in the Project Narrative cannot exceed 6 lines per vertical inch.

- ❑ Paper must be white paper and 8.5 inches by 11.0 inches in size.

- ❑ To ensure equity among applications, the amount of space allowed for the Project Narrative cannot be exceeded. (For Project Narratives submitted electronically in Microsoft Word, see separate requirements in Section IV-6 of this announcement under "Submission of Electronic Applications.")
    - Applications would meet this requirement by using all margins (left, right, top, bottom) of at least one inch each, and adhering to the page limit for the Project Narrative stated in the specific funding announcement.
    - Should an application not conform to these margin or page limits, SAMHSA will use the following method to determine compliance: The total area of the Project Narrative (excluding margins, but including charts, tables, graphs and footnotes) cannot exceed 58.5 square inches multiplied by the page limit. This number represents the full page less margins, multiplied by the total number of allowed pages.
    - Space will be measured on the physical page. Space left blank within the Project Narrative (excluding margins) is considered part of the Project Narrative, in determining compliance.

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.*

- ❑ The 10 application components required for SAMHSA applications should be included. These are:

  - Face Page (Standard Form 424 v2, which is in PHS 5161-1)
  - Abstract
  - Table of Contents
  - Budget Form (Standard Form 424A, which is in PHS 5161-1)
  - Project Narrative and Supporting Documentation
  - Appendices
  - Assurances (Standard Form 424B, which is in PHS 5161-1)
  - Certifications (a form within PHS 5161-1)
  - Disclosure of Lobbying Activities (Standard Form LLL, which is in PHS 5161-1)
  - Checklist (a form in PHS 5161-1)

- ❑ Applications should comply with the following requirements:

  - Provisions relating to confidentiality and participant protection specified in Section V-1 of this announcement.
  - Budgetary limitations as specified in Section I, II, and IV-5 of this announcement.
  - Documentation of nonprofit status as required in the PHS 5161-1.

- ❑ Pages should be typed single-spaced in black ink, with one column per page. Pages should not have printing on both sides.

- ❑ Please number pages consecutively from beginning to end so that information can be located easily during review of the application. The cover page should be page 1, the abstract page should be page 2, and the table of contents page should be page 3. Appendices 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 Appendices stated in the specific funding announcement should not be exceeded.

- ❑ Send the original application and two copies to the mailing address in Section IV-6 of this document. Please do not use staples, paper clips, and fasteners. Nothing should be attached, stapled, folded, or pasted. 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.

Appendix B – Guidance for Electronic Submission of Applications

If you would like to submit your application electronically, you may search 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 CFDA number on the first page of the funding announcement.

You must follow the instructions in the User Guide available at the www.Grants.gov apply site, on the Customer Support tab. In addition to the User Guide, you may wish to use the following sources for help:

- By e-mail: support@Grants.gov
- By phone: 1-800-518-4726 (1-800-518-GRANTS). The Customer Support Center is open from 7:00 a.m. to 9:00 p.m. Eastern Time, Monday through Friday.

If this is the first time you have submitted an application through Grants.gov, you must complete four 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; 2) Central Contractor Registry (CCR) registration; 3) Credential Provider registration; and 4) Grants.gov registration.

It is strongly recommended that you submit your grant application using Microsoft Office products (e.g., Microsoft Word, Microsoft Excel, etc.). If you do not have access to Microsoft Office products, you may submit PDF files. Directions for creating PDF files can be found on the Grants.gov Web site. Use of file formats other than Microsoft Office or PDF may result in your file being unreadable by our staff.

The Project Narrative must be a separate document in the electronic submission. Formatting requirements for SAMHSA grant applications are described in Appendix A of this announcement. These requirements also apply to applications submitted electronically, with the following exceptions only for Project Narratives submitted electronically in Microsoft Word. These requirements help ensure the accurate transmission and equitable treatment of applications.

- *Text legibility*: Use a font of Times New Roman 12, line spacing of single space, and all margins (left, right, top, bottom) of one inch each. Adhering to these standards will help to ensure the accurate transmission of your document. If the type size in the Project Narrative of an electronic submission exceeds 15 characters per inch, or the text exceeds 6 lines per vertical inch, SAMHSA will reformat the document to Times New Roman 12, with line spacing of single space. Please note that this may alter the formatting of your document, especially for charts, tables, graphs, and footnotes.

- *Amount of space allowed for Project Narrative*: The Project Narrative for an electronic submission may not exceed 12,875 words for Sections A-D and 1,545 words for Section E. If the Project Narrative for an electronic submission exceeds the word limit and exceeds the allowed space as defined in Appendix A, then **any part of the Project**

Narrative in excess of these limits will not be submitted to review. To determine the number of words in your Project Narrative document in Microsoft Word, select file/properties/statistics.

While keeping the Project Narrative as a separate document, please consolidate all other materials in your application to ensure the fewest possible number of attachments. Ensure all pages in your application are numbered consecutively, with the exception of the standard forms in the PHS-5161 application package. Please name and number your attachments, indicating the order in which they should be assembled. Failure to comply with these requirements may affect the successful transmission and consideration of your application.

Applicants are strongly encouraged to submit their applications to Grants.gov early enough to resolve any unanticipated difficulties prior to the deadline. You may also submit a back-up paper submission of your application. Any such paper submission must be received in accordance with the requirements for timely submission detailed in Section IV-3 of this announcement. The paper submission must be clearly marked: **"Back-up for electronic submission."** The paper submission must conform with all requirements for non-electronic submissions. If both electronic and back-up paper submissions are received by the deadline, the electronic version will be considered the official submission.

After you electronically submit your application, you will receive an automatic acknowledgement from Grants.gov that contains a Grants.gov tracking number. It is important that you retain this number. **Include the Grants.gov tracking number in the top right corner of the face page for any paper submission. 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.**

The Grants.gov Web site does not accept electronic signatures at this time. Therefore, you must submit a signed paper original of the face page (SF 424 v2), the assurances (SF 424B), and hard copy of any other required documentation that cannot be submitted electronically. **You must include the Grants.gov tracking number for your application on these documents with original signatures, on the top right corner of the face page, and send the documents to the following address. The documents must be received at the following address within 5 business days after your electronic submission.** Delays in receipt of these documents may impact the score your application receives or the ability of your application to be funded.

For United States Postal Service:

Crystal Saunders, Director of Grant Review
Office of Program Services
Substance Abuse and Mental Health Services Administration
Room 3-1044
1 Choke Cherry Road
Rockville, MD **20857**
ATTN: Electronic Applications

For other delivery services, change the zip code to 20850.

If you require a phone number for delivery, you may use (240) 276-1199.

Appendix C – Glossary

Best Practice: Best practices are practices that incorporate the best objective information currently available from recognized experts regarding effectiveness and acceptability.

Consumer: An individual, 18 years of age or older, who receives mental health services. CMHS recognizes that some consumers may choose to identify themselves with other terminology.

Consumer Supporter: A person or persons involved with the support of a consumer (age 18 or older), including parents, siblings, spouses and significant others, friends, co-workers, and neighbors, who provide support in a nonprofessional capacity.

Consumer Organization: An organization that is controlled and managed by consumers and is dedicated to the transformation of mental health service systems which are consumer and family driven. The organization must have a board of directors comprised of more than 50 percent consumers.

Consumer Supporter Organization: An organization, such as a volunteer mental health organization, that is controlled and managed by consumer supporters and mental health consumers. It must be dedicated to the transformation of mental health service systems which are consumer and family driven and have a board of directors comprised of more than 50 percent consumer supporters.

Consumer-Operated Services: These programs, run by consumers, include drop-in centers, consumer operated supported businesses, employment and housing programs, crisis services, outreach programs and case management programs.

Cultural competence: The delivery of services that are responsive to the cultural concerns of racial and ethnic minority groups, including their language, histories, traditions, beliefs, and values.

Grant: A grant is the funding mechanism used by the Federal Government when the principal purpose of the transaction is the transfer of money, property, services, or anything of value to accomplish a public purpose of support or stimulation authorized by Federal statute. The primary beneficiary under a grant or cooperative agreement is the public, as opposed to the Federal Government.

Peer Support: Peer Support embodies a variety of approaches that are based on the belief that people who share the same illness can help each other through mutual support. These practices and programs are lead by peers rather than by professionals.

Practice: A practice is any activity, or collective set of activities, intended to improve outcomes for people with or at risk for substance abuse and/or mental illness. Such activities may include direct service provision, or they may be supportive activities, such as efforts to improve access to and retention in services, organizational efficiency or effectiveness, community readiness, collaboration among stakeholder groups, education, awareness, training, or any other activity that is designed to improve outcomes for people with or at risk for substance abuse or mental illness.

Recovery: Recovery is a journey of healing and transformation enabling a person with a mental health problem to live a meaningful life in a community of his or her choice while striving to achieve his or her full potential. See SAMHSA's National Consensus Statement on Mental Health Recovery, available through the SAMHSA website at www.samhsa.gov or from the National Mental Health Information Center at 1-800-789-CMHS.

Sustainability: Sustainability is the ability to continue a program or practice after SAMHSA grant funding has ended.

Target Population: The target population is the specific population of people whom a particular program or practice is designed to serve or reach.

Appendix D—Guidelines for Assessing Consumer and Family Participation

Applicants must have experience or a track record of involving mental health consumers. The applicant organization should have a documented history of positive programmatic involvement of recipients of mental health services. This involvement should be meaningful and span all aspects of the organization's activities as described below:

Program Mission - An organization's mission must reflect the value of involving consumers in order to improve outcomes.

Program Planning - Consumers must be involved in substantial numbers in the conceptualization of initiatives including identifying community needs, goals and objectives, and innovative approaches. This includes participation in the development of the grant application for this program. Strategies must also incorporate consumer/peer-run program approaches.

Training and Staffing - The staff of the organization must have substantive training in and be familiar with consumer/peer-run program approaches and related issues. Attention must be placed on staffing the initiative with people who are themselves consumers. Such staff must be paid commensurate with their work and in parity with other staff.

Rights Protection - Consumers and family members must be fully informed of all their rights including those designated by the President's Healthcare Consumer Bill of Rights and Responsibilities: Respect and Non Discrimination.

Program Administration, Governance, and Policy Determination - Consumers must be hired in key management roles to provide project oversight and guidance. Steering Committees must be established for this project, which are composed of a minimum of 75% consumers. Such committee members should be fully trained and compensated for their activities, including childcare.

Appendix E — Certificate of Consumer and Consumer Supporter Organization Eligibility

An authorized representative of the applicant organization (whose signature appears on page one of the face page of the application form PHS 5161-1) must complete and sign this Certificate. **Appendix 2** of your application must include this Certificate and all supporting documentation specified within it.

All applicant organizations must meet the criteria of either consumer organizations or consumer supporter organizations, Sections A or B below <u>and</u> the requirements of Section C and have been operational for 12 months prior to the date of this RFA.

A) Applicants for the Consumer TACs must certify and attest to the following:

❑ I certify that:

♦ The applicant is an organization that is controlled and managed by consumers and dedicated to the improvement of mental health services. Please include minutes and all other pertinent material to demonstrate that your organization is controlled and managed by consumers and dedicated to the improvement of mental health services.

♦ The applicant organization has a Board of Directors comprised of more than 50 percent consumers. Please include the names of your Board of Directors and length of time each has served.

♦ The consumers on the Board of Directors are individuals 18 years of age or older with serious mental illness.

B) Applicants for the Consumer Supporter TACs must certify and attest to the following:

❑ I certify that:

♦ The applicant is an organization that is controlled and managed by consumer supporters and dedicated to the improvement of mental health services. Please include minutes of meetings and all other pertinent material to demonstrate that your organization is controlled and managed by consumer supporters and dedicated to the improvement of mental health services.

♦ The applicant organization has a Board of Directors comprised of more than 50 percent consumer supporters. Please include the names of your Board of Directors and length of time each has served.

♦ The consumer supporters on the Board of Directors are individuals involved with the support of a consumer (age 18 or older) including parents, siblings, spouses and significant others, friends, co-workers, and neighbors who provide support in a non-professional capacity.

C) All applicants for Consumer and Consumer Supporter TACs must certify that:

❑ I certify that:

♦ The applicant organization has been in operation as a legal entity for a minimum of one year. Please submit proof.

♦ The United States Federal Government Internal Revenue Service (I.R.S.) has issued the applicant organization tax-exempt status. Supporting documentation of such status dated prior to January 2006 is included in this application.

♦ The consumer and consumer supporter Board of Directors has been in operation for more than one year. Please send minutes and names of individuals who served on the Board of Directors starting in calendar year 2006.

♦ The applicant organization will take an active role in the fiscal management and oversight of the project and will be legally, fiscally, administratively, and programmatically responsible for the grant and <u>has not submitted</u> a "pass through," "umbrella," or "cover letter" application.

This form must be signed and dated below by an authorized representative of the applicant organization certifying that the aforementioned statements are accurate.

____
Type or print name and title

__________________________________ __________________________
Signature of Applicant certifying validity of all information contained in this document — Date of Signature

____
Type: Consumer or Consumer Supporter TAC

Appendix F – Guidelines for Conducting the Alternatives Conference

Since 1985, the Center for Mental Health Services' (CMHS) Community Support Program (CSP) has supported national conferences for primary consumers (also referred to as ex-patients or survivors) of mental health services. The purpose of this issuance is to facilitate the planning of these conferences by clarifying CMHS and CSP policies and defining the roles and responsibilities of grantees organizing the event, the Government Project Officer (GPO), the Conference Advisory Committee, and other CMHS staff involved in planning these conferences.

Purpose of Conference

The purpose of this conference is to provide a forum for consumers from across the Nation to meet, exchange information and ideas, and provide and receive technical assistance on a variety of topics of interest, such as peer support, consumer-operated services, self-help, protection and advocacy issues, empowerment, and recovery. The conference also transfers knowledge on best practices in mental health and support services. The information and knowledge gained through attending this conference enables consumers to advocate for effective individual treatments and services, as well as for broader managed care and service system improvements.

Participants

The conference is open to all individuals who have had or are currently experiencing a mental health disorder. It also is open to others at the discretion of the Advisory Committee.

Grantee Organizing Conference

The grantee organization responsible for overseeing the conference will select a site that is accessible and affordable and, to the extent possible, different from previous sites for national conferences. The grantee also will be responsible for the logistics of the conference, including moderating the Conference Advisory Committee meetings and teleconference calls; developing and disseminating materials; handling publicity; and arranging for lodging, meals, registration, meeting rooms, emergency procedures, transportation, and the conference evaluation. Within 3 months of the conference, the grantee is responsible for submitting a final report on the conference that details the expenditures, summarizes the evaluations, and provides recommendations for future national consumer conferences.

Government Project Officer (GPO)

The GPO will approve the individual(s) who have a major role in coordinating the conference and will review and provide guidance on the composition of the Conference Advisory Committee, the proposed budget expenditures for the conference, policies regarding scholarships, and logistical plans. Furthermore, the location, agenda, and specific conference brochure providing presenters and workshop descriptions must be approved by the GPO prior to finalizing and sending to the field. The GPO will participate in Conference Advisory Committee meetings and teleconferences. The GPO also will provide technical assistance, as requested.

Advisory Committee and Planning Process

The conference will be planned by a committee formed approximately 1 year prior (as funding permits) to the actual conference. The members will include duly appointed representatives of the national consumer organizations, Federal CMHS CSP staff (Grant Project Officer), CMHS Consumer Affairs staff, and the Directors or designees of the CSP-funded Consumer TACs. The Committee will reflect gender, ethnic/minority representation, and, to the extent possible, geographic distribution and involvement of individuals who have not participated on previous Conference Advisory Committees.

The Committee will devise a process for gathering information from consumers throughout the nation on topics of interest for the agenda and speakers. Final decisions regarding the agenda will be made by the Advisory Committee. However, the workshop areas selected should represent a variety of viewpoints and mainly include workshops run by and for consumers.

The Advisory Committee is responsible for designing the programmatic aspects of the conference, including the theme and logo. Only members of the Committee may vote on decisions regarding the agenda and speakers for the conference. The Advisory Committee should meet physically once and handle continuing business through telephone conference calls, mailings, and computer e-mail.

Involvement of National Consumer Organizations

The conference agenda and official workshops may not be used to further the development of national consumer organizations or for other purely parochial interests. However, individuals from the various national consumer organizations may use the times before and after the conference, free times scheduled on the agenda and evenings to conduct activities related to promoting or planning for their respective organizations. Of course, national consumer organizations and other organizations may sponsor substantive workshops.

Information related to the business activities of individuals or national organizations must be kept separate from the conference agenda and sent out in separate mailings.

Appendix G – Confidentiality and Participant Protection

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 target population(s) 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, 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.).

   - 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 **Appendix 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, 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 <u>written</u> 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 **Appendix 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. <u>Risk/Benefit Discussion</u>

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

<u>Protection of Human Subjects Regulations</u>

Applicants may also have to comply with the Protection of Human Subjects Regulations (45 CFR 46), depending on the evaluation and data collection procedures proposed and the population to be served.

Applicants must be aware that even if the Protection of Human Subjects Regulations do not apply to all projects funded, the specific evaluation design proposed by the applicant may require compliance with these regulations.

Applicants whose projects must comply with the Protection of Human Subjects Regulations must describe the process for obtaining Institutional Review Board (IRB) approval fully in their applications. While IRB approval is not required at the time of grant award, these applicants will be required, as a condition of award, to provide the documentation that an Assurance of Compliance is on file with the Office for Human Research Protections (OHRP) and that IRB approval has been received prior to enrolling any clients in the proposed project.

General information about Protection of Human Subjects Regulations can be obtained on the Web at http://www.hhs.gov/ohrp. You may also contact OHRP by e-mail (ohrp@osophs.dhhs.gov) or by phone (240/453-6900). SAMHSA-specific questions related to Protection of Human Subjects Regulations should be directed to the program contact listed in Section VII of this RFA.

APPENDIX H – SAMPLE BUDGET AND JUSTIFICATION

ILLUSTRATION OF A SAMPLE DETAILED BUDGET AND NARRATIVE JUSTIFICATION TO ACCOMPANY SF 424A: SECTION B FOR 01 BUDGET PERIOD

OBJECT CLASS CATEGORIES

Personnel

Job Title	Name	Annual Salary	Level of Effort	Salary being Requested
Project Director	J. Doe	$30,000	1.0	$30,000
Secretary	Unnamed	$18,000	0.5	$ 9,000
Counselor	R. Down	$25,000	1.0	$25,000

Enter Personnel subtotal on 424A, Section B, 6.a. **$64,000**

Fringe Benefits (24%) $15,360

Enter Fringe Benefits subtotal on 424A, Section B, 6.b. **$15,360**

Travel

2 trips for SAMHSA Meetings for 2 Attendees (Airfare @ $600 x 4 = $2,400) + (per diem @ $120 x 4 x 6 days = $2,880)	$5,280
Local Travel (500 miles x .24 per mile)	120

[Note: Current Federal Government per diem rates are available at www.gsa.gov.]

Enter Travel subtotal on 424A, Section B, 6.c. **$ 5,400**

Equipment (List Individually)

"Equipment" means an article of nonexpendable, tangible personal property having a useful life of more than one year and an acquisition cost which equals the lesser of (a) the capitalization level established by the governmental unit or nongovernmental applicant for financial statement purposes, or (b) $5000.

Enter Equipment subtotal on 424A, Section B, 6.d.

Supplies

Office Supplies	$500
Computer Software - 1 WordPerfect	500

Enter Supplies subtotal on 424A, Section B, 6.e. **$1,000**

ILLUSTRATION OF DETAILED BUDGET AND NARRATIVE JUSTIFICATION (cont'd.)

Contractual Costs

Evaluation

Job Title	Name	Annual Salary	Salary being Requested	Level of Effort
Evaluator	J. Wilson	$48,000	$24,000	0.5
Other Staff		$18,000	$18,000	1.0

Fringe Benefits (25%) $10,500

Travel

2 trips x 1 Evaluator		
($600 x 2)	$ 1,200	
per diem @ $120 x 6	720	
Supplies (General Office)	500	
Evaluation Direct		$54,920
Evaluation Indirect Costs (19%)		$10,435
Evaluation Subtotal		$65,355

Training

Job Title	Name	Level of Effort	Salary being Requested
Coordinator	M. Smith	0.5	$ 12,000
Admin. Asst.	N. Jones	0.5	$ 9,000
Fringe Benefits (25%)			$ 5,250

Travel

2 Trips for Training			
Airfare @ $600 x 2	$ 1,200		
Per Diem $120 x 2 x 2 days	480		
Local (500 miles x .24/mile)	120		
Supplies			
Office Supplies	$ 500		
Software (WordPerfect)	500		
Other			
Rent (500 Sq. Ft. x $9.95)	$ 4,975		
Telephone	500		
Maintenance (e.g., van)	$ 2,500		
Audit	$ 3,000		
Training Direct		$ 40,025	
Training Indirect		$ -0-	
Enter Contractual subtotal on 424A, Section B, 6.f.			**$105,380**

ILLUSTRATION OF DETAILED BUDGET AND NARRATIVE JUSTIFICATION (cont'd.)

<u>Other</u>

Consultants = Expert @ $250/day X 6 day (If expert is known, should list by name)	$ 1,500	
Enter Other subtotal on 424A, Section B, 6.h.		**$ 1,500**
Total Direct Charges (sum of 6.a-6.h) **Enter Total Direct on 424A, Section B, 6.i.**		**$192,640**

<u>Indirect Costs</u>

15% of Salary and Wages (copy of negotiated indirect cost rate agreement attached)		
Enter Indirect subtotal of 424A, Section B, 6.j.		**$ 9,600**

<u>TOTALS</u>

Enter TOTAL on 424A, Section B, 6.k.		**$202,240**

<u>JUSTIFICATION</u>

PERSONNEL - Describe the role and responsibilities of each position.

FRINGE BENEFITS - List all components of the fringe benefit rate.

EQUIPMENT - List equipment and describe the need and the purpose of the equipment in relation to the proposed project.

SUPPLIES - Generally self-explanatory; however, if not, describe need. Include explanation of how the cost has been estimated.

TRAVEL - Explain need for all travel other than that required by SAMHSA.

CONTRACTUAL COSTS - Explain the need for each contractual arrangement and how these components relate to the overall project.

OTHER - Generally self-explanatory. If consultants are included in this category, explain the need and how the consultant's rate has been determined.

INDIRECT COST RATE - If your organization has no indirect cost rate, please indicate whether your organization plans to a) waive indirect costs if an award is issued, or b) negotiate and establish an indirect cost rate with DHHS within 90 days of award issuance.

CALCULATION OF FUTURE BUDGET PERIODS
(based on first 12-month budget period)

Review and verify the accuracy of future year budget estimates. Increases or decreases in the future years must be explained and justified and no cost of living increases will be honored. (NOTE: new salary cap of $183,500 is effective for all FY 2006 awards.) *

	First 12-month Period	Second 12-month Period	Third 12-month Period
Personnel			
Project Director	30,000	30,000	30,000
Secretary**	9,000	18,000	18,000
Counselor	25,000	25,000	25,000
TOTAL PERSONNEL	64,000	73,000	73,000

*Consistent with the requirement in the Consolidated Appropriations Act, Public Law 108-447.
**Increased from 50% to 100% effort in 02 through 03 budget periods.

Fringe Benefits (24%)	15,360	17,520	17,520
Travel	5,400	5,400	5,400
Equipment	-0-	-0-	-0-
Supplies***	1,000	520	520

***Increased amount in 01 year represents costs for software.

Contractual			
Evaluation****	65,355	67,969	70,688
Training	40,025	40,025	40,025

****Increased amounts in 02 and 03 years are reflected of the increase in client data collection.

Other	1,500	1,500	1,500
Total Direct Costs	192,640	205,934	208,653
Indirect Costs (15% S&W)	9,600	9,600	9,600
TOTAL COSTS	202,240	216,884	219,603

The Federal dollars requested for all object class categories for the first 12-month budget period are entered on Form 424A, Section B, Column (1), lines 6a-6i. The total Federal dollars requested for the second through the fifth 12-month budget periods are entered on Form 424A, Section E, Columns (b) – (e), line 20. The RFA will specify the maximum number of years of support that may be requested.