

**Billing Code:** 4162-20-P

**DEPARTMENT OF HEALTH AND HUMAN SERVICES**

**Substance Abuse and Mental Health Services Administration**

**Fiscal Year (FY) 2004 Funding Opportunity**

**ACTION:** Notice of funding availability (NOFA) for Statewide Consumer Network Grants

**AUTHORITY:** Section 520 A of the Public Health Service Act, as amended and subject to the availability of funds.

**SUMMARY:** The Substance Abuse and Mental Health Services Administration (SAMHSA), Center for Mental Health Services (CMHS), announces the availability of FY 2004 funds for Statewide Consumer Network Grants. A synopsis of this funding opportunity, as well as many other Federal Government funding opportunities, is also available at the Internet site:

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

For complete instructions, potential applicants must obtain a copy of the revised standard Infrastructure Grants Program Announcement [INF-04 PA (MOD)], and the PHS 5161-1 (Rev. 7/00) application form before preparing and submitting an application. The INF-04 PA (MOD) describes the general program design and provides instructions for applying for all SAMHSA Infrastructure Grants, including Statewide Consumer Network Grants. Additional instructions and requirements specific to Statewide Consumer Network Grants are described below.

**Funding Opportunity Title:** Statewide Consumer Network Grants (Short Title: Statewide Consumer Networks)

**Announcement Type:** Modification

**Funding Opportunity Number:** SM 04-003

**Catalog of Federal Domestic Assistance (CFDA) Number:** 93.243

**Due Date for Applications:** April 7, 2004

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

[Note: Letters from State Single Point of Contact (SPOC) in response to E.O. 12372 are due May 7, 2004].

**Funding Instrument:** Grant

**Funding Opportunity Description:** This is a republication of the Substance Abuse and Mental Health Services Administration's Notice of Funding Availability SM 04-003. The purpose of this republication is to revise the criteria used to screen out applications from peer review. These revised criteria are consistent with the standard grant announcement for Infrastructure Grants INF-04 PA (MOD).

These revisions can be found in this document, in their entirety, in the section on Eligible Applicants and the Checklist of Formatting Requirements and Screenout Criteria for SAMHSA Grant Applications.

The deadline for applications has been extended to 30 days after the publication of this NOFA.

The Statewide Consumer Networks program is one of SAMHSA's Infrastructure Grants programs. SAMHSA's Infrastructure Grants provide funds to increase the capacity of mental health and/or substance abuse service systems to support programs and services. SAMHSA's

Infrastructure Grants are intended for applicants seeking Federal support to develop or enhance their service system infrastructure in order to support effective substance abuse and/or mental health service delivery. Statewide Consumer Network Grants are intended for applicants seeking Federal support to act as “Agents of Transformation” in developing or enhancing their service system infrastructure in order to support effective substance abuse and/or mental health service delivery which is consumer driven. The Statewide Consumer Network Grant Program is a critical part of the SAMHSA/CMHS efforts to implement the recommendations of the Final Report of the President’s New Freedom Commission on Mental Health.

The purpose of the Statewide Consumer Networks program is to enhance State capacity and infrastructure to be consumer-centered and targeted toward recovery and resiliency and consumer-driven by promoting the use of consumers as agents of transformation. The program goals are to 1) strengthen organizational relationships; 2) promote skill development with an emphasis on leadership and business management; and 3) identify technical assistance needs of consumers and provide training and support to ensure that they are the catalysts for transforming the mental health and related systems in their State. To achieve this goal, the program assists consumer organizations around the country to work with policymakers and services providers to improve services for consumers with a serious mental illness. The Program is designed to strengthen coalitions among consumers, policymakers and service providers, recognizing that the consumers are the best and most effective change agents.

The Statewide Consumer Network grants will support State-level consumer-run organizations to assist consumers to participate in the development of policies, programs, and quality assurance

activities related to the Final Report of the President's New Freedom Commission on Mental Health as it applies to mental health service delivery. Grantees are especially encouraged to utilize training capacity, network development, organizational and community readiness, and policy development to support best practices but are not limited to these specific activities.

Examples of the types of community services that grantees will work to improve include State planning boards and councils, individualized plans of care, anti-stigma initiatives, interactions with the criminal justice system, supported employment programs, rights protection, cultural competence, outreach to people in rural areas, people of color and older-adults: research on recovery, trauma and medication; evidence based determinations and applications; workforce development; tele-health and other on line supports including personal recovery pages.

**Background:** The Statewide Consumer Network Grant Program builds on the work of the Federal Community Support Program (CSP). The Center for Mental Health Services has supported the development of accessible, responsive mental health treatment, rehabilitation, and supportive services for people with a serious mental illness through CSP. The mission of CSP is to promote the development of systems of care which help adults with serious mental illness recover, live independently and productively in the community, and avoid inappropriate use of institutions.

CSP helped to establish consumer and family organizations throughout the country. Today, nearly every State has an active consumer organization dedicated to promoting systems of care that are responsive to the needs of people with a serious mental illness. By providing appropriate training and tools in the development of individualized mental health plans, understanding the need and use of accountability and evaluation measures, and the many other self-help, self-

management skills, consumers can provide the guidance and foresight into changing the present system to a recover-oriented system for all peers and thereby ensuring the implementation of the goals of the Final Report of the President's New Freedom Commission on Mental Health.

**Estimated Funding Available/Number of Awards:** It is expected that \$1.5 million will be available in FY 2004 to fund approximately 20-22 awards of up to \$70,000 per year in total costs (direct and indirect), with a limit of one award per State. It is expected that only Category 1- Small Infrastructure Grant awards, as defined in the INF-04 PA (MOD), will be made. Proposed budgets cannot exceed \$70,000 in any year. The actual amount available for the awards may vary, depending on unanticipated program requirements and the number and quality of the applications received. All applicants are reminded that we cannot guarantee that sufficient funds will be appropriated to permit SAMHSA to fund any applications.

**Eligible Applicants:** Eligible applicants are limited to the following, rather than the Eligible Applicants listed in the INF-04 PA (MOD): domestic private, nonprofit entities, including faith-based entities and currently funded Statewide Consumer Network Grantees that 1) are controlled and managed by mental health consumers; 2) are dedicated to the improvement of mental health services statewide; and 3) have a Board of Directors comprised of more than 51 percent consumers. SAMHSA is limiting eligibility to consumer-controlled organizations because the goals of this grant program are to: to strengthen the capacity of consumers to act as agents of transformation in influencing the type and amount of services and supports provided to people with a serious mental illness and to ensure that their mental health care is consumer driven. Applicants will be required to complete and sign a Certification of Eligibility and

provide necessary supportive documentation. This certification will be provided in the application kit, available from the National Mental Health Information Center, and will also be posted on the SAMHSA Web page along with the NOFA.

Additional information regarding eligibility, including program requirements and formatting requirements, is provided in the INF-04 PA (MOD).

**Period of Support:** Awards will be made for project periods of up to three years, with annual continuations depending on the availability of funds, grantee progress in meeting program goals and objectives, and timely submission of required data and reports.

**Is Cost Sharing or Matching Required:** No

**Exceptions to the INF-04 PA (MOD) and Other Special Requirements:** The following information describes exceptions or limitations to the INF-04 PA (MOD) and provides special requirements that pertain only to the Statewide Consumer Network Grants:

- **Review Criteria/Project Narrative** – Applicants for Statewide Consumer Networks grants are required to address the following requirements in the Project Narrative of their applications, in addition to the requirements specified in the INF-04 PA (MOD):
  - 1) In Section B, applicants must describe how the primary focus of the proposed project will include work to transform the system through specific training and capacity building activities, and network and policy development that reflects the goals of the Final Report of the President’s New Freedom Commission on Mental Health.

- 2) In Section B, applications must describe the applicant's collaborations with other family and consumer networks, the State Director of Consumer Affairs in the State office of mental health (if applicable), consumers on the State Planning Council, and other disability groups.
  - 3) In Section C, applicants must describe the applicant's organizational mission and how its scope of work reflects statewide focus on consumers with a serious mental illness and promotes the concepts of consumer self-help; management plan and staffing.
- **Performance Measurement** – All SAMHSA grantees are required to collect performance data so that SAMHSA can meet its obligations under the Government Performance and Results Act (GPRA). In Section D of their applications, applicants for the Statewide Consumer Networks Program must document their ability to collect and report data on all the following indicators:
    - An increase in the number of consumers served; and
    - An increase in the number of consumers and family members in planning, policy, and service delivery decisions by (a) having policies in place; and (b) data on consumers and family member participation.

SAMHSA will work with grantees to finalize a standard methodology related to these indicators shortly after award. The data collection tool has not yet been developed. Grantees will be required to report performance data to SAMHSA on an annual basis.

**Application and Submission Information:** Complete application kits may be obtained from: the National Mental Health Information Center at 1-800-789-2647. When requesting an

application kit, the applicant must specify the funding opportunity title and number for which detailed information is desired. All information necessary to apply, including where to submit applications and application deadline instructions, are included in the application kit. The PHS 5161-1 application form is also available electronically via SAMHSA's World Wide Web Home Page: <http://www.samhsa.gov> (Click on 'Grant Opportunities') and the INF-04 PA (MOD) is available electronically at <http://www.samhsa.gov/grants/2004/standard/Infrastructure/index.asp>.

When submitting an application, be sure to type "SM 04-003, Statewide Consumer Networks" in Item Number 10 on the face page of the application form. Also, SAMHSA applicants are required to provide a DUNS number on the face page of the application. To obtain a DUNS Number, access the Dun and Bradstreet web site at [www.dunandbradstreet.com](http://www.dunandbradstreet.com) or call 1-866-705-5711.

**Intergovernmental Review:** Applicants for this funding opportunity must comply with Executive Order 12372 (E.O.12372). E.O.12372, as implemented through Department of Health and Human Services regulation at 45 CFR Part 100, sets up a system for State and local review of applications for Federal financial assistance. Instructions for complying with E.O. 12372 are provided in the INF-04 PA (MOD). A current listing of State Single Points of Contact (SPOCs) is included in the application kit and is available at [www.whitehouse.gov/omb/grants/spoc.html](http://www.whitehouse.gov/omb/grants/spoc.html).

**Public Health System Impact Statement:** The Public Health System Impact Statement (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. State and local governments and Indian tribal government applicants are not subject to the Public Health System Reporting Requirements. Instructions for completing the PHSIS are provided in the INF-04 PA (MOD).

**Application Review Information:** SAMHSA applications are peer-reviewed. For those programs where the individual award is over \$100,000, applications must also 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 the peer review committee and approved by the National Advisory Council, and the availability of funds. Unless other specified, SAMHSA intends to make not more than one award per organization per funding opportunity in any given fiscal year.

**Checklist for Application Formatting Requirements:**

*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.***

*In addition to these formatting requirements, programmatic requirements (e.g., relating to eligibility) may be stated in the specific NOFA and in Section III of the standard grant announcement. Please check the entire NOFA and Section III of the standard grant announcement before preparing your application.*

- ❑ Use the PHS 5161-1 application.
- ❑ Applications must be received by the application deadline. Applications received after this date must have a proof of mailing date from the carrier dated at least 1 week prior to the due date. Private metered postmarks are not acceptable as proof of timely mailing. Applications not received by the application deadline or not postmarked at least 1 week prior to the application deadline will not be reviewed.
- ❑ Information provided must be sufficient for review.
- ❑ Text must be legible.
  - 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.
  - 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 Project Narrative stated in the standard grant 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.

❑ The page limit for Appendices stated in the standard grant announcement cannot be exceeded.

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

❑ The 10 application components required for SAMHSA applications should be included.

These are:

- Face Page (Standard Form 424, 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 in 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, participant protection and the protection of human subjects specified in Section IV-2.4 of the FY 2004 standard funding announcements.
  - Budgetary limitations as specified in Section I, II, and IV-5 of the FY 2004 standard funding announcements.
  - Documentation of nonprofit status as required in the PHS 5161-1.
- Pages should be typed single-spaced with one column per page.
- Pages should not have printing on both sides.
- Please use black ink and 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.
- Send the original application and two copies to the mailing address in the funding announcement. Please do not use staples, paper clips, and fasteners. Nothing should be attached, stapled, folded, or pasted. Do not use heavy or light-weight 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.

**Award Administration:** Award information, including information about award notices, administrative requirements and reporting requirements, is included in the INF-04 PA (MOD).

**Contact for Additional Information:** Risa Fox, SAMHSA/Center for Mental Health Services, 5600 Fishers Lane, Room 11C-22, Rockville, MD 20857; 301-443-3653; E-mail:

[rfox@samhsa.gov](mailto:rfox@samhsa.gov).

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Dated:

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Signed: Daryl Kade  
Director, Office of Planning, Policy and Budget  
Substance Abuse and Mental Health Services  
Administration