

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

**Campus Suicide Prevention Grants
(Modified Announcement)**

Request for Applications (RFA) No. SM-11-002

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

Key Dates:

Application Deadline	Applications are due by March 4, 2011
Intergovernmental Review (E.O. 12372)	Applicants must comply with E.O. 12372 if their State(s) participates. Review process recommendations from the State Single Point of Contact (SPOC) are due no later than 60 days after application deadline.
Public Health System Impact Statement (PHSIS)/Single State Agency Coordination	Applicants must send the PHSIS to appropriate State and local health agencies by application deadline. Comments from Single State Agency are due no later than 60 days after application deadline.

Table of Contents

Executive Summary:	4
I. FUNDING OPPORTUNITY DESCRIPTION	5
1. PURPOSE	5
2. EXPECTATIONS	6
II. AWARD INFORMATION	10
III. ELIGIBILITY INFORMATION	10
1. ELIGIBLE APPLICANTS	10
2. COST SHARING and MATCH REQUIREMENTS	11
3. OTHER	12
IV. APPLICATION AND SUBMISSION INFORMATION	12
1. ADDRESS TO REQUEST APPLICATION PACKAGE	12
2. CONTENT AND GRANT APPLICATION SUBMISSION	12
3. APPLICATION SUBMISSION REQUIREMENTS	15
4. INTERGOVERNMENTAL REVIEW (E.O. 12372) REQUIREMENTS	16
5. FUNDING LIMITATIONS/RESTRICTIONS	16
V. APPLICATION REVIEW INFORMATION	17
1. EVALUATION CRITERIA	17
2. REVIEW AND SELECTION PROCESS	22
VI. ADMINISTRATION INFORMATION	23
1. AWARD NOTICES	23
2. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS	23
3. REPORTING REQUIREMENTS	24
VII. AGENCY CONTACTS	25
Appendix A – Checklist for Formatting Requirements and Screenout Criteria for SAMHSA Grant Applications	27

Appendix B – Guidance for Electronic Submission of Applications 29

Appendix C – Intergovernmental Review (E.O. 12373) Requirements..... 31

Appendix D – Funding Restrictions 33

Appendix E – Sample Budget and Justification (match required)..... 35

Appendix F – Confidentiality and SAMHSA Participant Protection/Human Subjects
Guidelines 35

Executive Summary:

The Substance Abuse and Mental Health Services Administration, Center for Mental Health Services is accepting applications for fiscal year (FY) 2011 Campus Suicide Prevention grants. The purpose of this program is to facilitate a comprehensive approach to preventing suicide in institutions of higher education. This program is designed to assist colleges and universities in their efforts to prevent suicide attempts and completions and to enhance services for students with mental and behavioral health problems, such as depression and substance use/abuse that put them at risk for suicide and suicide attempts.

Funding Opportunity Title:	Campus Suicide Prevention Grants
Funding Opportunity Number:	SM-11-002
Due Date for Applications:	March 4, 2011
Anticipated Total Available Funding:	\$1.837 million
Estimated Number of Awards:	18
Estimated Award Amount:	Up to \$102,000 per year
Cost Sharing/Match Required	yes [See Section III-2 of this RFA for cost sharing/match requirements.]
Length of Project Period:	Up to 3 years
Eligible Applicants:	Eligibility is limited to institutions of higher education that have not previously been awarded a Campus Suicide Prevention grant. Tribal Colleges and Universities are eligible and encouraged to apply. [See Section III-1 of this RFA for complete eligibility information.]

I. FUNDING OPPORTUNITY DESCRIPTION

1. PURPOSE

The Substance Abuse and Mental Health Services Administration, Center for Mental Health Services is accepting applications for fiscal year (FY) 2011 Campus Suicide Prevention grants. The purpose of this program is to facilitate a comprehensive approach to preventing suicide in institutions of higher education. This program is designed to assist colleges and universities in their efforts to prevent suicide attempts and completions and to enhance services for students with mental and behavioral health problems, such as depression and substance use/abuse that put them at risk for suicide and suicide attempts.

The Campus Suicide Prevention grants supports an array of campus activities to help the grantee build a solid foundation for delivering and sustaining effective mental health and substance abuse prevention and treatment services. Successful applicants will provide a coherent and detailed conceptual “roadmap” of the process by which they have assessed or intend to assess suicide prevention needs and plan/implement infrastructure development strategies that meet those needs. The plan put forward in the grant application must show the linkages among needs, the proposed infrastructure development strategy, and increased system capacity that will enhance and sustain effective prevention programs and services which support SAMHSA’s first Strategic initiative of preventing substance abuse and mental illness. The plan must also address the needs of youth at high-risk identified by the National Action Alliance for Suicide Prevention; including, but not limited to lesbian, gay, bisexual, or transgender (LGBT) youth, American Indian/Alaska Natives (AI/AN), military family members and veterans.

As a result of the Garrett Lee Smith Campus Suicide Prevention grants, colleges and universities will:

- increase the amount of training to students, faculty and staff on suicide prevention and mental health promotion
- increase collaboration among campus and community partners to deliver the message that suicide prevention is everyone’s responsibility
- increase the number of educational seminars and informational materials for students, faculty, staff and family members on suicide prevention, identification and reduction of risk factors such as depression and substance use/abuse
- increase help-seeking among students and reduce stigma for seeking care for mental and behavioral health issues among students
- increase the promotion of the National Suicide Prevention Lifeline

Applications responsive to this Request for Application must implement evidence-based or best practices that will create or expand capacity to address the following SAMHSA Strategic Initiative: Prevention of Substance Abuse and Mental Illness - Create prevention prepared communities where individuals, families, schools, workplaces, and communities take action to prevent and reduce mental illness and substance abuse across the lifespan.

The Campus Suicide Prevention Grant Program is authorized under the Garrett Lee Smith Memorial Act (Section 520E-2 of the Public Health Service Act, as amended). This announcement addresses Healthy People 2020 focus area 18 (Mental Health and Mental Disorders).

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

2. EXPECTATIONS

2.1 Required Activities

It is a requirement by statute in the Garrett Lee Smith Memorial Act that only six types of activities are allowable in the Campus Suicide Prevention grants. See following section.

There is also a requirement that the applicants describe how they will partner with other prevention and/or health/wellness related programs on campus and with the State/Tribal Garrett Lee Smith grantee.

2.2 Other Allowable Activities

Campus Suicide Prevention grant funds must be used primarily to support infrastructure development, including and limited to the following types of activities:

Campus Suicide Prevention Grant program funds must be used only for one or more of the following activities, addressing those areas of greatest need on the applicant campus. Note that because activities such as suicide prevention education and training may lead to the identification of individuals at immediate risk for suicide or suicide attempts, such activities must include plans for accessing emergency care for at-risk students:

- 1) Develop training programs for students and campus personnel to respond effectively to students with mental and behavioral health problems, such as depression and substance abuse, which can lead to suicide and suicide attempts. Examples of trainees to be targeted are campus health and mental health personnel and gatekeepers such as residence hall advisors, faculty,

student government and student organizational leaders, the chaplainry, dean of students, student advisors, athletic coaches, and public safety personnel.

- 2) For colleges and universities that do not have comprehensive, campus-based mental and behavioral health services, create a networking infrastructure to link the institution with health care providers from the broader community who can treat mental and behavioral health problems. While Campus Suicide Prevention Grant funds may be used to create the network, they may not be used to provide direct clinical services. The proposed networking infrastructure should include provisions for a crisis response plan (see Appendix H-Glossary), including response to suicide attempts or death by suicide.
- 3) Develop and implement educational seminars. Such seminars may include, but are not limited to, provision of information on suicide prevention, identification, and reduction of risk factors such as depression and substance abuse, promoting help seeking, and reducing the stigma of seeking care for mental and behavioral health problems.
- 4) Create local college-based hotlines and/or promote linkage to the National Suicide Prevention Lifeline, 1-800-273-TALK (see Appendix H-Glossary). The use of hotlines should be integrated into a crisis response plan.
- 5) Prepare or otherwise obtain informational materials that address warning signs of suicide, describe risk and protective factors, and identify appropriate actions to take when a student is in distress, as well as materials that describe symptoms of depression and substance abuse, promote help-seeking behavior, and reduce the stigma of seeking care for mental and behavioral health problems. Grant funds may be used both to develop these materials and/or to purchase such materials from an organization that provides them.
- 6) Prepare or otherwise obtain educational materials for families of students to increase awareness of potential mental and behavioral health issues of students enrolled at the institution of higher education, including but not limited to suicide prevention, identification and reduction of risk factors such as depression and substance abuse, the promotion of help-seeking behavior, and reducing the stigma of seeking care for mental and behavioral health problems.

All educational seminars and informational materials should be culturally appropriate for the specific population(s) targeted (e.g., racial/ethnic minorities, people with disabilities, the needs of youth at high-risk identified by the National Action Alliance for Suicide Prevention; including, but not limited to lesbian, gay, bisexual, or transgender (LGBT) youth, AI/AN, military family members and veterans.

Possible audiences include, but are not limited to parents, spouses, friends, faculty, staff, fraternities/sororities, coaches, and students.

Grantees will be expected to work toward sustainability of the grant activities beyond available Federal funding by ensuring that the program activities can be linked to broader campus-based issues (e.g., wellness and physical fitness campus standards), collaborating with partners within and outside of the campus community and engaging senior administrators on campus in program activities.

2.3 Data Collection and Performance Measurement

All SAMHSA grantees are required to collect and report certain data so that SAMHSA can meet its obligations under the Government Performance and Results Act (GPRA). You must document your ability to collect and report the required data in “[Section D: Performance Assessment and Data](#)” of your application.

Grantees will be required to report performance on the following Transformational Accountability (TRAC) performance measures:

- Number of people in the mental health and related workforce trained in mental health-related practices/activities as a result of the grant
- Number of organizations that entered into formal written inter/intra-organizational agreements (MOUs/MOAs) to improve mental health–related practices/activities, all consistent with the goals of the grant
- Number of individuals exposed to mental health awareness messages
- Number of individuals who have received training in prevention or mental health promotion.

This information will be gathered using the Transformation Accountability System (TRAC), which can be found at <https://www.cmhs-gpra.samhsa.gov>, along with instructions for completing it. Hard copies are available in the application kits available by calling SAMHSA’s Office of Communications at 1-877-SAMHSA7 [TDD: 1-800-487-4889]. Data will be collected quarterly after entry of annual goals. Data are to be entered into a web-based system supported by quarterly written fiscal reports and written annual reports. Technical assistance for the web-based data entry, fiscal and annual report generation is available. The collection of these data will enable **CMHS** to report on the National Outcome Measures (NOMs), which have been defined by SAMHSA as key priority areas relating to **mental health**.

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

Cross-site Evaluation. A cross-site evaluation is being conducted under a separate SAMHSA contract. The initial evaluation design and approach for use with previously-

funded cohorts was approved for implementation in May 2007. Participation in the cross-site evaluation is required. To support implementation of the cross-site evaluation, grantees will receive training and technical assistance from the evaluation contractor. Here is a link to an explanation of the requirements of the cross-site evaluation:

http://www.reginfo.gov/public/do/PRAViewICR?ref_nbr=201006-0930-002

Click on the Supporting Statements for more information.

The cross-site evaluation will entail participating in training events, completing data reports/inventories and data entry.

In addition to assessing the overall effectiveness of the Campus Suicide Prevention Program, information collected through the cross-site evaluation will be used to report on relevant SAMHSA National Outcome Measures (NOMs) as well as identified GPRA measures.

2.4 Performance Assessment

Grantees must periodically review the performance data they report to SAMHSA (as required above) and assess their progress and use this information to improve management of their grant projects. The assessment should be designed to help you determine whether you are achieving the goals, objectives and outcomes you intend to achieve and whether adjustments need to be made to your project. As part of the annual progress report you will be required to report on your progress achieved, barriers encountered, and efforts to overcome these barriers .

At a minimum, your performance assessment should include the required performance measures identified above. You may also consider outcome and process questions, such as the following:

Outcome Questions:

- What was the effect of training on participants?
- What program/contextual factors were associated with outcomes?

Process Questions:

- How closely did implementation match the plan?
- What types of changes were made to the originally proposed plan?
- What led to the changes in the original plan?
- What effect did the changes have on the planned intervention and performance assessment?

- Who provided (program staff) what services (modality, type, intensity, duration), to whom (individual characteristics), in what context (system, community), and at what cost (facilities, personnel, dollars)?

The performance assessment should be designed to provide regular feedback to the project that can translate into informed decision-making and ongoing project improvement. Applicants must submit any data collection instruments/interview protocols in Attachment 2, "Data Collection Instruments/Interview Protocols," of the application if they are available.

No more than 20% of the total grant award may be used for data collection, performance measurement, and performance assessment, e.g., activities required in Sections I-2.3 and 2.4 above.

2.5 Grantee Meetings

Grantees must plan to send a minimum of two people (including the Project Director) to the grantee meeting in each year of the grant. You must include a detailed budget and narrative for this travel in your budget. At these meetings, grantees will present the results of their projects and Federal staff will provide technical assistance. Each meeting will be 3 days. These meetings are usually held in the Washington, D.C., area and attendance is mandatory.

II. AWARD INFORMATION

Proposed budgets cannot exceed \$102,000 in total costs (direct and indirect) 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, timely submission of required data and reports, and compliance with all terms and conditions of award.

This program is being announced prior to the appropriation for FY 2011 for SAMHSA's programs, with funding estimates based on the President's budget request for FY 2011. Applications are invited based on the assumption that sufficient funds will be appropriated for FY 2011 to permit funding of a reasonable number of applications solicited. All applicants are reminded, however, that we cannot guarantee that sufficient funds will be appropriated to permit SAMHSA to fund any applications.

These awards will be made as grants.

III. ELIGIBILITY INFORMATION

1. ELIGIBLE APPLICANTS

Eligibility for SAMHSA's Campus Suicide Prevention Grant program is limited to institutions of higher education as a statutory requirement (per Section 520E-2 of the

Public Health Service Act, as amended). Applicants from both public and private institutions may apply, including State universities, private four-year colleges and universities (including those with religious affiliations), Minority Serving Institutions of higher learning (see Appendix H-Glossary), and community colleges. Entities that have previously been awarded a Campus Suicide Prevention Grant are not eligible. SAMHSA is further limiting the eligibility to applicants who have not previously received an award in order to allow for a broader distribution of the limited funds across campuses and universities. There are over 4,000 non-profit colleges and universities in the United States and SAMHSA would like that the opportunities for this limited resource be expanded. Limiting the eligibility to applicants who have not previously received an award is a sound and prudent strategy for the expansion of the prevention and promotion vision of this Law across American campuses and universities while simultaneously encouraging appropriate sustainability planning.

Such institutions may carry out the activities of this grant through for example, college health/wellness/counseling centers, college and university psychological services centers, mental/behavioral health centers, psychological training clinics, academic departments or institutions of higher education-supported, evidence-based mental health and substance abuse programs. The activities of this grant may be carried out with the engagement of student-run services such as student organizations and/or student government councils. If a consortium is formed to carry out the activities of this grant, a single institution in the consortium must be the legal applicant, the recipient of the award on behalf of the consortium, and the entity legally responsible for satisfying the grant requirements.

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

2. COST SHARING and MATCH REQUIREMENTS

Cost Sharing/Matching Funds are required. Grantees of the Campus Suicide Prevention Program must agree to match Federal dollars, in a 1:1 ratio, with non-Federal dollars by the end of the project period of the grant. Federal dollars include funding provided by the Federal Government through agencies or authorities, or services assisted or subsidized to any significant extent by the Federal Government, and may not be included in determining the amount of non-Federal contributions. The non-Federal share may be made in cash or in kind fairly evaluated, including planned equipment or services. Federal grant funds must be used for the new expenses of the program carried out by the grantee. That is, Federal grant funds must be used to supplement, and not supplant, any funds available for carrying out existing college suicide prevention activities. Applicants must itemize the match separately in the budget worksheet and explain the match separately in the budget justification. (see Appendix H-Glossary, for definitions of “Cost Sharing/Matching” and “Non-Federal Match.”)

Matching funds or in-kind services/equipment do not need to directly fund the six “allowable activities” on page 5 of this RFA. However, if they fund other activities (e.g.,

data collection, Web site development), the activities must: (1) be clearly related to the allowable activities; and (2) directly support an enhancement or an improvement to the institution's suicide-prevention activities.

The requirement of matching funds may be waived by SAMHSA if SAMHSA determines that extraordinary need at the institution justifies the waiver. If an applicant believes such an extraordinary need exists at their institution, a letter must be submitted with the application requesting the waiver and documenting the extraordinary need. Requesting a waiver of the cost sharing requirement will not affect the scoring of your application.

3. OTHER

You must comply with the following three requirements, or your application will be screened out and will not be reviewed: 1) use of the HHS 5161-1 application form; 2) application submission requirements in [Section IV-3](#) of this document; and 3) 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 SAMHSA at 1-877-SAMHSA7 [TDD: 1-800-487-4889].

You also may download the required documents from the SAMHSA Web site at <http://www.samhsa.gov/grants/apply.aspx>.

Additional materials available on this Web site include:

- a grant writing 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 GRANT APPLICATION SUBMISSION

2.1 Application Kit

A complete list of documents included in the application kit is available at <http://www.samhsa.gov/Grants/ApplicationKit.aspx>. This includes:

- HHS 5161-1 (revised August 2007) – Includes the face page (SF 424 v2), budget forms, and checklist. You must use the HHS 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 a description of the program, specific information about the availability of funds, and instructions for completing the grant application. This document is the RFA. The RFA will be available on the SAMHSA Web site (<http://www.samhsa.gov/grants/index.aspx>) and a synopsis of the RFA is available on the Federal grants Web site (<http://www.Grants.gov>).

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

2.2 Required Application Components

Applications must include the following 11 required application components:

- **Face Page** – SF 424 v2 is the face page. This form is part of the HHS 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 <http://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 must not be longer than 35 lines. It should include the project name, population to be served (demographics and clinical characteristics), strategies/interventions, project goals and measurable objectives, including the number of people to be served annually and throughout the lifetime of the project, etc. In the first five lines or less of your abstract, write a summary of your project that can be used, if your project is funded, in publications, reporting to Congress, or press releases.
- **Table of Contents** – Include page numbers for each of the major sections of your application and for each attachment.
- **Budget Form** – Use SF 424A, which is part of the HHS 5161-1. Fill out Sections B, C, and E of the SF 424A. A sample budget and justification is included in Appendix E of this document.
- **Project Narrative and Supporting Documentation** – The Project Narrative describes your project. It consists of Sections A through D. Sections A-D together may not be longer than 25 pages. (Remember that if your Project Narrative starts on page 5 and ends on page 30, it is 26 pages long, not 25 pages.) More detailed instructions for completing each section of the Project Narrative are provided in “Section V – Application Review Information” of this document.

The Supporting Documentation provides additional information necessary for the review of your application. This supporting documentation should be provided

immediately following your Project Narrative in Sections E through H. There are no page limits for these sections, except for Section G, Biographical Sketches/Job Descriptions. Additional instructions for completing these sections are included in Section V under “Supporting Documentation.” Supporting documentation should be submitted in black and white (no color).

- **Attachments 1 through 5**– Use only the attachments listed below. If your application includes any attachments not required in this document, they will be disregarded. Do not use more than a total of 30 pages for Attachments 1, 3 and 4 combined. There are no page limitations for Attachments 2 and 5. Do not use attachments to extend or replace any of the sections of the Project Narrative. Reviewers will not consider them if you do. Please label the attachments as: Attachment 1, Attachment 2, etc.
 - *Attachment 1:* Letters of Commitment and Memoranda of Understanding
 - *Attachment 2:* Data Collection Instruments/Interview Protocols – if you are using standardized data collection instruments/interview protocols, you do not need to include these in your application. Instead, provide a Web link to the appropriate instrument/protocol. If the data collection instrument(s) or interview protocol(s) is/are not standardized, you must include a copy in Attachment 2.
 - *Attachment 3:* Sample Consent Forms
 - *Attachment 4:* Letter to the SSA (if applicable; see Section IV-4 of this document)
 - *Attachment 5:* Your institution’s *Suicide Prevention and/or Crisis Response Plan, if these exist*
- **Project/Performance Site Location(s) Form** – The purpose of this form is to collect location information on the site(s) where work funded under this grant announcement will be performed. This form will be posted on SAMHSA’s Web site with the RFA and provided in the application kit.
- **Assurances** – Non-Construction Programs. You must read the list of assurances provided on the SAMHSA Web site **and check the box marked ‘I Agree’** before signing the face page (SF 424 v2) of the application.
- **Certifications** – You must read the list of certifications provided on the SAMHSA Web site **and check the box marked ‘I Agree’** before signing the face page (SF 424 v2) of the application.
- **Disclosure of Lobbying Activities** – You must submit Standard Form LLL found in the HHS 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. If no lobbying is to be disclosed, mark N/A on the form. All applicants must sign the form.

- **Checklist** – Use the Checklist found in HHS 5161-1. The Checklist ensures that you have obtained the proper signatures, assurances and certifications. If you are submitting a paper application, the Checklist should be the last page.

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. APPLICATION SUBMISSION REQUIREMENTS

Applications are due by **March 4, 2011**. SAMHSA provides two options for submission of grant applications: 1) electronic submission, or 2) paper submission. Hard copy applications are due by **5:00 PM** (Eastern Time). Electronic applications are due by **11:59 PM** (Eastern Time). **Applications may be shipped using only, Federal Express (FedEx), United Parcel Service (UPS), or the United States Postal Service (USPS)**. You will be notified by postal mail that your application has been received.

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

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

Submission of Electronic Applications

Please refer to [Appendix B](#) for “Guidance for Electronic Submission of Applications.” If you plan to submit electronically through Grants.gov it is very important that you read thoroughly the application information provided in [Appendix B](#) “Guidance for Electronic Submission of Applications.”

Submission of Paper Applications

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

Send applications to the address below:

For United States Postal Service:

Crystal Saunders, Director of Grant Review

Office of Financial Resources

Substance Abuse and Mental Health Services Administration

Room 3-1044

1 Choke Cherry Road

Rockville, MD **20857**

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

Do not send applications to other agency contacts, as this could delay receipt. Be sure to include "Campus Suicide Prevention Grant, RFA # SM-11-002 in item number 12 on the face page (SF 424 v2) of any paper applications. If you require a phone number for delivery, you may use (240) 276-1199.

Your application must be received by the application deadline or it will not be considered for review. Please remember that mail sent to Federal facilities undergoes a security screening prior to delivery. You are responsible for ensuring that you submit your application so that it will arrive by the application due date and time.

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

SAMHSA accepts electronic submission of applications through <http://www.Grants.gov>. Please refer to [Appendix B](#) for "Guidance for Electronic Submission of Applications."

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

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

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.samhsa.gov/grants/management.aspx>:

- Educational Institutions: 2 CFR Part 220 (OMB Circular A-21)

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

In addition, SAMHSA's **Campus Suicide Prevention** grant recipients must comply with the following funding restrictions:

- No more than 20% of the grant award may be used for data collection, performance measurement, and performance assessment expenses.

SAMHSA grantees must also comply with SAMHSA's standard funding restrictions, which are included in [Appendix D](#).

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 Sections A-D below. Your application will be reviewed and scored according to the quality of your response to the requirements in Sections A-D.

- 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 HHS 5161-1.**
- The Project Narrative (Sections A-D) together may be no longer than 25 pages.
- You must use the four sections/headings listed below in developing your Project Narrative. You must place the required information in the correct section, **or it will not be considered.** Your application will be scored according to how well you address the requirements for each section of the Project Narrative.
- 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 <http://www.samhsa.gov/grants/apply.aspx> at the bottom of the page under "Resources for Grant Writing."
- The Supporting Documentation you provide in Sections E-H and Attachments 1-5 will be considered by reviewers in assessing your response, along with the material in the Project Narrative.
- The number of points after each heading is the maximum number of points a review committee may assign to that section of your Project Narrative. Although

scoring weights are not assigned to individual bullets, each bullet is assessed in deriving the overall Section score.

Section A: Statement of Need (10 points)

- Describe your institution of higher education. Provide demographic information on the population(s) to be served e.g., race, ethnicity, age, socioeconomic status, geography. Additionally, discuss the population of focus' cultural backgrounds, language, beliefs, norms and values that must be considered in delivering programs to this population.
- Document the need for an enhanced infrastructure to increase the capacity to implement, sustain, and improve effective mental health services by describing your current suicide prevention activities if any exist. If you have a suicide prevention and/or crisis response plan, include it in Attachment 5. Describe Federal, State, local, private and institutional resources currently available to address the mental and behavioral health needs of the targeted population. Provide sufficient information on how the data were collected so reviewers can assess the reliability and validity of the data. To the extent possible, provide data on deaths by suicide and suicide attempts among students attending your institution of higher education. Documentation of need may come from a variety of qualitative and quantitative sources. The quantitative data could come from local epidemiologic data, State data (e.g., from State Needs Assessments, SAMHSA's National Survey on Drug Use and Health), and/or national data (e.g., from SAMHSA's National Survey on Drug Use and Health or from National Center for Health Statistics/Centers for Disease Control reports), the Healthy Minds Study (<http://www.healthymindsstudy.net/home.html>) and the American College Health Association National College Health Assessment (http://www.acha-ncha.org/pubs_rpts.html).
- Describe the service gaps, barriers, and other problems related to the need for infrastructure development for suicide prevention on your campus.
- Describe the stakeholders and resources in the institution and community that can help implement the needed infrastructure development.
- Describe the institution's need for each of the six fundable activities identified in Section I-2.2 of this RFA, as well as its current efforts to address those needs. You do not need to use grant funds to pay for all of the allowable activities. However, you do need to describe whether and/or how your campus is currently addressing each of those activities, and indicate which of those activities are proposed for funding under the Campus Suicide Prevention Grant program.

Section B: Proposed Approach (35 points)

- Describe the purpose of the proposed project, including a clear statement of its goals and objectives and how it will address the SAMHSA Strategic Initiatives discussed in Section I. These must relate to the performance measures you identify in Section D, Performance Assessment and Data.
- The plan must describe how the needs of youth at high-risk identified by the National Action Alliance for Suicide Prevention will be addressed; including, but not limited to lesbian, gay, bisexual, or transgender (LGBT) youth, AI/AN, military family members and veterans.
- The plan put forward in the grant application must show the linkages among needs, the proposed infrastructure development strategy, and increased system capacity that will enhance and sustain effective prevention programs and services which support SAMHSA's first Strategic initiative. Prevention of Substance Abuse and Mental Illness. Describe how the proposed project will promote help-seeking and enhance services for students with mental and behavioral health problems on campus and how it fits into and advances your comprehensive suicide prevention strategy. Outreach strategies for promoting access to behavioral health services and reaching students who are most in need of those services should be considered.
- Provide an estimate of the percentage and dollar amount of the grant award that you will spend on each of the following categories during each year of the grant:
 - infrastructure development
 - mental illness prevention and mental health promotion activities
 - data collection and performance measurement and assessment [can be no more than 20%]
 - grant administration
- For each of the activities proposed for funding, describe the problem the activity aims to address, the goals or outcomes expected, and how the activities will be implemented to achieve the desired goals or outcomes. Discuss how achievement of goals will address: (1) the purposes of the **Campus Suicide Prevention Grant program**, as described in Section I-1 of this RFA; and (2) the needs identified in Section A of your Project Narrative.
- Provide a chart or graph depicting a realistic time line for the entire project period 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 attachment.]
- Describe how existing suicide prevention efforts and the activities proposed for funding incorporate the strategic planning process referenced on the Suicide Prevention Resource Center website, Developing a Campus Program <http://www2.sprc.org/collegesanduniversities/developing-campus-program> and

how you will partner with other prevention and/or health/wellness related programs on campus and with the State/Tribal Garrett Lee Smith grantees in your State.

- If you plan to include an advisory body in your project, describe its membership, roles and functions, and frequency of meetings.
- Describe all on and off-campus services, organizations, or providers that will participate in the proposed project, including their roles and responsibilities and their relevant experience (e.g., public/campus health, mental and behavioral health, suicide prevention, and culturally appropriate/competent services). Demonstrate their commitment to the project. Include Letters of Commitment (see Appendix H-Glossary) from these organizations in **Attachment 1, “Memoranda of Understanding and Letters of Commitment,”** of your application. There is a requirement that the applicants describe how they will partner with other prevention and/or health/wellness related programs on campus and with the State/Tribal Garrett Lee Smith grantee.
- Describe how the proposed project will address the following issues in your catchment area:
 - Demographics – race, ethnicity, religion, gender, age, geography, and socioeconomic status;
 - Language and literacy;
 - Sexual identity – sexual orientation and gender identity; and
 - Disability.
- Describe how members of the population(s) to receive services were involved in the preparation of the application, and how they will be involved in the planning, implementation, and performance assessment of the project.
- Describe the potential barriers to successfully conduct the proposed project and how you will overcome them.
- Describe how your activities will improve mental health services.
- Include a statement indicating your intention to work collaboratively with the Suicide Prevention Resource Center and with the National Suicide Prevention Lifeline, as needed.
- Describe your plan to continue the project after the funding period ends. Also describe how program continuity will be maintained when there is a change in the

operational environment (e.g., staff turnover, change in project leadership) to ensure stability over time.

Section C: Staff, Management, and Relevant Experience (25 points)

- Discuss your institution's capability and experience in public/campus health, mental and behavioral health and suicide prevention. Include experience in providing culturally appropriate/competent services (see Appendix H-Glossary).
- Provide a complete list of staff positions for the project, including the Project Director and other key personnel, showing the role of each and their level of effort and qualifications. Include biographical sketches and job descriptions in Section G of your application.
- Discuss how key staff have demonstrated experience and are qualified to serve the population(s) to receive services and are familiar with their culture(s) and language(s).
- Describe the resources available for the proposed project (e.g., facilities, equipment).

Section D: Performance Assessment and Data (30 points)

- Document your ability to collect and report on the required performance measures as specified in Section I-2.3 of this RFA. Describe your plan for data collection, management, analysis and reporting. Specify and justify any additional measures you plan to use for your grant project.
- Describe how data will be used to manage the project and assure continuous quality improvement, including consideration of disparate outcomes for different racial/ethnic groups. Describe how information related to process and outcomes will be routinely communicated to program staff.
- Describe your plan for conducting the performance assessment as specified in Section I-2.4 of this RFA and document your ability to conduct the assessment.
- Explicitly state your willingness to: (1) collaborate with the Suicide Prevention cross-site evaluation; and (2) comply with all of CMHS' necessary GPRA requirements, including submitting your GPRA data via the Web-based Transformation Accountability system (TRAC).

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

SUPPORTING DOCUMENTATION

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

Section F: 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, performance measurement, and performance assessment.

Specifically identify the items associated with these costs in your budget. An illustration of a budget and narrative justification is included in Appendix E of this document.

Section G: 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 a 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 HHS 5161-1 instruction page, available on the SAMHSA Web site.

Section H: Confidentiality and SAMHSA Participant Protection/Human Subjects: You must describe procedures relating to Confidentiality, Participant Protection and the Protection of Human Subjects Regulations in Section H of your application, using the guidelines provided below. See Appendix F for guidelines on these requirements.

2. REVIEW AND SELECTION PROCESS

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

Decisions to fund a grant are based on:

- the strengths and weaknesses of the application as identified by peer reviewers;
- when the individual award is over \$150,000, approval by the Center for Mental Health Services' National Advisory Council;
- availability of funds; and

- equitable distribution of awards in terms of geography (including urban, rural and remote settings) and balance among populations to receive services and program size.

VI. ADMINISTRATION INFORMATION

1. AWARD NOTICES

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

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

If you are not funded, you 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 <http://www.samhsa.gov/grants/management.aspx>.
- If your application is funded, you must also comply with the administrative requirements outlined in 45 CFR Part 74 or 45 CFR Part 92, as appropriate. For more information see the SAMHSA Web site (<http://www.samhsa.gov/grants/management.aspx>).
- Depending on the nature of the specific funding opportunity and/or your proposed project as identified during review, SAMHSA may negotiate additional terms and conditions with you prior to grant award. These may include, for example:
 - actions required to be in compliance with confidentiality and participant protection/human subjects requirements;
 - requirements relating to additional data collection and reporting;
 - requirements relating to participation in a cross-site evaluation;
 - requirements to address problems identified in review of the application; or
 - revised budget and narrative justification.
- If your application is funded, you will be held accountable for the information provided in the application relating to performance targets. SAMHSA program officials will consider your progress in meeting goals and objectives, as well as

your failures and strategies for overcoming them, when making an annual recommendation to continue the grant and the amount of any continuation award. Failure to meet stated goals and objectives may result in suspension or termination of the grant award, or in reduction or withholding of continuation awards.

- 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 at <http://www.samhsa.gov/grants/downloads/SurveyEnsuringEqualOpp.pdf>. 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 reporting requirements:

3.1 Progress and Financial Reports

- You will be required to submit annual progress reports and final progress reports, as well as quarterly, annual and final financial status reports.
- Because SAMHSA is extremely interested in ensuring that treatment and prevention services can be sustained, your progress reports should explain plans to ensure the sustainability 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.
- You will be required to comply with the requirements of 2CFR Part 170 -The Transparency Act Subaward and Executive Compensation Reporting Requirements. See <http://www.samhsa.gov/grants/subaward.aspx> for information on implementing this requirement.

3.2 Government Performance and Results Act (GPRA)

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 Campus Suicide Prevention grant program are described in Section I-2.2 of this document under "Data Collection 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 grant 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:

Rosalyn Blogier, LCSW-C
Substance Abuse and Mental Health Services Administration
1 Choke Cherry Road – Room 6-1078
Rockville, MD 20857
240-276-1842

rosalyn.blogier@samhsa.hhs.gov

For questions on grants management and budget issues contact:

Gwendolyn Simpson
Office of Financial Resources, Division of Grants Management
Substance Abuse and Mental Health Services Administration
1 Choke Cherry Road
Room 7-1085

Rockville, Maryland 20857
(240) 276-1408
gwendolyn.simpson@samhsa.hhs.gov

Appendix A – Checklist for Formatting Requirements and Screenout 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 HHS 5161-1 application package
- Applications must be received by the application due date and time, as detailed in Section [IV-3](#) of this grant announcement.
- Information provided must be sufficient for review.
- Text must be legible. Pages must be typed in black ink, single-spaced, using a font of Times New Roman 12, with all margins (left, right, top, bottom) at least one inch each.
- (For Project Narratives submitted electronically, see separate requirements in [Appendix B, “Guidance for Electronic Submission of Applications.”](#))
- To ensure equity among applications, page limits for the Project Narrative cannot be exceeded.
- Paper must be white paper and 8.5 inches by 11.0 inches in size.

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.

- If you are submitting a paper application, the application components required for SAMHSA applications should be submitted in the following order:
 - Face Page (Standard Form 424 v2, which is in HHS 5161-1)
 - Abstract
 - Table of Contents
 - Budget Form (Standard Form 424A, which is in HHS 5161-1)
 - Project Narrative and Supporting Documentation

- Attachments
- Project/Performance Site Location(s) Form
- Disclosure of Lobbying Activities (Standard Form LLL, which is in HHS 5161-1)
- Checklist (a form in HHS 5161-1)
- Applications should comply with the following requirements:
 - Provisions relating to confidentiality and participant protection specified in Appendix F of this announcement.
 - Budgetary limitations as specified in Sections I, II, and IV-5 of this announcement.
 - Documentation of nonprofit status as required in the HHS 5161-1.
- Black ink should be used throughout your application, including charts and graphs. Pages should be typed single-spaced with one column per page. Pages should not have printing on both sides.
- Pages should be numbered consecutively from beginning to end so that information can be located easily during review of the application. The abstract page should be page 1, the table of contents should be page 2, etc. The four pages of Standard form 424 v2 are not to be numbered. Attachments should be labeled and separated from the Project Narrative and budget section, and the pages should be numbered to continue the sequence.
- The page limits for Attachments stated in Section IV-2.2 of this announcement should not be exceeded.
- Send the original application and two copies to the mailing address in Section IV-3 of this document. Please do not use staples, paper clips, and fasteners. Nothing should be attached, stapled, folded, or pasted. You may use rubber bands. 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 <http://www.Grants.gov> for the downloadable application package by the funding announcement number (called the opportunity number) or by the Catalogue of Federal Domestic Assistance (CFDA) number. You can find the CFDA number on the first page of the funding announcement.

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

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

If this is the first time you have submitted an application through Grants.gov, you must complete three separate registration processes before you can submit your application. Allow at least two weeks (10 business days) for these registration processes, prior to submitting your application. The processes are: 1) DUNS Number registration; 2) Central Contractor Registry (CCR) registration; and 3) Grants.gov registration (Get username and password.). REMINDER: CCR registration expires each year and must be updated annually. Be sure the person submitting your application is properly registered with Grants.gov as the Authorized Organization Representative (AOR) for the specific DUNS number cited on the SF 424 (face page). See the Organization Registration User Guide for details at the following Grants.gov link: http://www.grants.gov/applicants/get_registered.jsp.

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

It is strongly recommended that you prepare your Project Narrative and other attached documents using Microsoft Office 2003 products (e.g., Microsoft Word 2003, Microsoft Excel, etc.). The new Microsoft Vista operating system and Microsoft Word 2007 products are not currently accepted by Grants.gov. If you do not have access to Microsoft Office 2003 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 at least one inch each. Adhering to these standards will help to ensure the accurate transmission of your document.
- Amount of space allowed for Project Narrative: The Project Narrative for an electronic submission may not exceed 12,875 words. If the Project Narrative for an electronic submission exceeds the word limit, the application will be screened out and will not be reviewed. To determine the number of words in your Project Narrative document in Microsoft Word, select file/properties/statistics.

Keep the Project Narrative as a separate document. Please consolidate all other materials in your application to ensure the fewest possible number of attachments. Be sure to label each file according to its contents, e.g., “Attachments 1-3”, “Attachments 4-5.”

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

Applicants are strongly encouraged to submit their applications to Grants.gov early enough to resolve any unanticipated difficulties prior to the deadline. 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. **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.**

Appendix C – Intergovernmental Review (E.O. 12373) Requirements

This grant program is covered under Executive Order (EO) 12372, as implemented through Department of Health and Human Services (DHHS) regulation at 45 CFR Part 100. Under this Order, States may design their own processes for reviewing and commenting on proposed Federal assistance under covered programs. 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 http://www.whitehouse.gov/omb/grants_spoc.

- Check the list to determine whether your State participates in this program. You do not need to do this if you are an American Indian/Alaska Native Tribe or tribal organization.
- If your State participates, contact your SPOC as early as possible to alert him/her to the prospective application(s) and to receive any necessary instructions on the State's review process.
- For proposed projects serving more than one State, you are advised to contact the SPOC of each affiliated State.
- The SPOC should send any State review process recommendations to the following address within 60 days of the application deadline. For United States Postal Service: Crystal Saunders, Director of Grant Review, Office of Financial Resources, Substance Abuse and Mental Health Services Administration, Room 3-1044, 1 Choke Cherry Road, Rockville, MD 20857. ATTN: SPOC – Funding Announcement No. SM-11-002 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 and local health agencies in the area(s) to be affected no later than the application deadline. The PHSIS

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).

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 for substance abuse can be found on SAMHSA's Web site at <http://www.samhsa.gov>. A listing of the SSAs for mental health can be found on SAMHSA's Web site at <http://mentalhealth.samhsa.gov/publications/allpubs/SMA01-3509/page4.asp>. If the proposed project falls within the jurisdiction of more than one State, you should notify all representative SSAs.

If applicable, you must include a copy of a letter transmitting the PHSIS to the SSA in **Attachment 4, "Letter to the SSA."** The letter must notify the State that, if it wishes to comment on the proposal, its comments should be sent no later than 60 days after the application deadline to the following address. **For United States Postal Service:** Crystal Saunders, Director of Grant Review, Office of Financial Resources, Substance Abuse and Mental Health Services Administration, Room 3-1044, 1 Choke Cherry Road, Rockville, MD **20857**. ATTN: SSA – Funding Announcement No. **SM-11-002**. 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.

Appendix D – Funding Restrictions

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

- Pay for any lease beyond the project period.
- Provide services to incarcerated populations (defined as those persons in jail, prison, detention facilities, or in custody where they are not free to move about in the community).
- Pay for the purchase or construction of any building or structure to house any part of the program. (Applicants may request up to \$75,000 for renovations and alterations of existing facilities, if necessary and appropriate to the project.)
- Provide residential or outpatient treatment services when the facility has not yet been acquired, sited, approved, and met all requirements for human habitation and services provision. (Expansion or enhancement of existing residential services is permissible.)
- Pay for housing other than residential mental health and/or substance abuse treatment.
- Provide inpatient treatment or hospital-based detoxification services. Residential services are not considered to be inpatient or hospital-based services.
- Make direct payments to individuals to induce them to enter prevention or treatment services. However, SAMHSA discretionary grant funds may be used for non-clinical support services (e.g., bus tokens, child care) designed to improve access to and retention in prevention and treatment programs.
- Make direct payments to individuals to encourage attendance and/or attainment of prevention or treatment goals. However, SAMHSA discretionary grant funds may be used for non-cash incentives of up to \$20 to encourage attendance and/or attainment of prevention or treatment goals when the incentives are built into the program design and when the incentives are the minimum amount that is deemed necessary to meet program goals. SAMHSA policy allows an individual participant to receive more than one incentive over the course of the program. However, non-cash incentives should be limited to the minimum number of times deemed necessary to achieve program outcomes. A grantee or treatment or prevention provider may also provide up to \$20 cash or equivalent (coupons, bus tokens, gifts, child care, and vouchers) to individuals as incentives to participate in required data collection follow up. This amount may be paid for participation in each required interview.

- Food is generally unallowable unless it's an integral part of a conference grant or program specific, e.g., children's program, residential.
- Award funds may not be used to distribute any needle or syringe for the purpose of preventing the spread of blood borne pathogens in any location that has been determined by the local public health or local law enforcement authorities to be inappropriate for such distribution.
- Pay for pharmacologies for HIV antiretroviral therapy, sexually transmitted diseases (STD)/sexually transmitted illnesses (STI), TB, and hepatitis B and C, or for psychotropic drugs.

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

Appendix E – Sample Budget and Justification (match required)

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

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

FEDERAL REQUEST

Position	Name	Annual Salary/Rate	Level of Effort	Cost
(1) Project Director	John Doe	\$64,890	10%	\$6,489
(2) Grant Coordinator	To be selected	\$46,276	100%	\$46,276
(3) Clinical Director	Jane Doe	In-kind cost	20%	\$0
			TOTAL	\$52,765

JUSTIFICATION: Describe the role and responsibilities of each position.

- (1) The Project Director will provide daily oversight of the grant and will be considered key staff.
- (2) The Coordinator will coordinate project services and project activities, including training, communication and information dissemination.
- (3) Clinical Director will provide necessary medical direction and guidance to staff for 540 clients served under this project.

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

NON-FEDERAL MATCH

Position	Name	Annual Salary/Rate	Level of Effort	Cost
(1) Project Director	John Doe	\$64,890	7%	\$4,542
(2) Prevention Specialist	Sarah Smith	\$26,000	25%	\$6,500
(3) Peer Helper	Ron Jones	\$23,000	40%	\$9,200
(4) Clerical Support	Susan Johnson	\$13.38/hr x 100 hr.		\$1,338
			TOTAL	\$21,580

JUSTIFICATION: Describe the role and responsibilities of each position.

- (1) The Project Director will provide daily oversight of grant and will be considered key staff.
- (2) The Prevention development specialist will provide staffing support to the working council.
- (3) The peer helper will be responsible for peer recruitment, coordination and support.
- (4) The clerical support will process paperwork, payroll, and expense reports which is not included in the indirect cost pool.

FEDERAL REQUEST (enter in Section B column 1 line 6a of form SF424A) **\$52,765**

NON-FEDERAL MATCH (enter in Section B column 2 line 6a of form SF424A) **\$21,580**

B. Fringe Benefits: List all components of fringe benefits rate

FEDERAL REQUEST

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

NON-FEDERAL MATCH

Component	Rate	Wage	Cost
FICA	7.65%	\$21,580	\$1,651
Workers Compensation	2.5%	\$21,580	\$540
Insurance	10.5%	\$21,580	\$2,266
		TOTAL	\$4,457

JUSTIFICATION: Fringe reflects current rate for agency.

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

NON-FEDERAL MATCH (enter in Section B column 2 line 6b of form SF424A) **\$4,457**

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

FEDERAL REQUEST

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

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

- (1) Two staff (Project Director and Evaluator) to attend mandatory grantee meeting in Washington, DC.
- (2) Local travel is needed to attend local meetings, project activities, and training events. Local travel rate is based on organization's policies/procedures for privately owned vehicle (POV) reimbursement rate. If policy does not have a rate use GSA.

NON-FEDERAL MATCH

Purpose of Travel	Location	Item	Rate	Cost
(1) Regional Training Conference	Chicago, IL	Airfare	\$150/flight x 2 persons	\$300

Purpose of Travel	Location	Item	Rate	Cost
		Hotel	\$155/night x 2 persons x 2 nights	\$620
		Per Diem (meals)	\$46/day x 2 persons x 2 days	\$184
(2) Local Travel	Outreach workshops	Mileage	350 miles x .38/mile	\$133
			TOTAL	\$1,237

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

- (1) Grantees will provide funding for two members to attend the regional technical assistance workshop (our closest location is Chicago, IL).
- (2) Local travel rate is based on agency's POV reimbursement rate. If policy does not have a rate use GSA.

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

NON-FEDERAL MATCH (enter in Section B column 2 line 6c of form SF424A) **\$1,237**

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

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

NON-FEDERAL MATCH – (enter in Section B column 2 line 6d of form SF424A) **\$0**

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

FEDERAL REQUEST

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

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

- (1) Office supplies, copies and postage are needed for general operation of the project.
- (2) The laptop computer is needed for both project work and presentations.
- (3) The projector is needed for presentations and outreach workshops.

All costs were based on retail values at the time the application was written.

NON-FEDERAL MATCH

Item(s)	Rate	Cost
General office supplies	\$50/mo. x 12 mo.	\$600
Bookcase	\$75	\$75
Digital camera	\$300	\$300
Fax machine	\$150	\$150

Item(s)	Rate	Cost
Computer	\$500	\$500
Postage	\$37/mo. x 4 mo	\$148
	TOTAL	\$1,773

JUSTIFICATION: Describe need and include explanation of how costs were estimated.

(1) The local television station is donating the bookcase, camera, fax machine, and computer (items such as these can only be claimed as match once during the grant cycle and used for the project). The “applying agency” is donating the additional costs for office supplies and postage.

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

NON-FEDERAL MATCH - (enter in Section B column 2 line 6e of form SF424A) **\$1,773**

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

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

FEDERAL REQUEST

Name	Service	Rate	Other	Cost
(1) State Department of Human Services	Training	\$250/individual x 3 staff	5 days	\$750
(2) Treatment Services	1040 Clients	\$27/client per year		\$28,080
(3) Jane Doe (Case Manager)	Treatment Client Services	1FTE @ \$27,000 + Fringe Benefits of \$6,750 = \$33,750	*Travel at 3,124 @ .50 per mile = \$1,562 *Training course \$175 *Supplies @ \$47.54 x 12 months or \$570 *Telephone @ \$60 x 12 months = \$720 *Indirect costs = \$9,390 (negotiated with contractor)	\$46,167

Name	Service	Rate	Other	Cost
(4) Jane Doe	Evaluator	\$40 per hour x 225 hours	12 month period	\$9,000
(5) To Be Announced	Marketing Coordinator	Annual salary of \$30,000 x 10% level of effort		\$3,000
			TOTAL	\$86,997

JUSTIFICATION: Explain the need for each contractual agreement and how they relate to the overall project.

- (1) Certified trainers are necessary to carry out the purpose of the Statewide Consumer Network by providing recovery and wellness training, preparing consumer leaders Statewide, and educating the public on mental health recovery.
- (2) Treatment services for clients to be served based on organizational history of expenses.
- (3) Case manager is vital to client services related to the program and outcomes.
- (4) Evaluator is provided by an experienced individual (Ph.D. level) with expertise in substance abuse, research and evaluation and is knowledgeable about the population of focus and will report GPRA data.
- (5) Marketing Coordinator will develop a plan to include public education and outreach efforts to engage clients of the community about grantee activities, provision of presentations at public meetings and community events to stakeholders, community civic organizations, churches, agencies, family groups and schools.

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

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

NON-FEDERAL MATCH (Consultant)

Name	Service	Rate	Other	Cost
Jane Doe	Outreach meeting facilitation	\$43.00/hr. x 20 hrs./month x 12 months		\$10,320
	Travel Expenses	148 miles/month @ .38/mile x 12 months		\$675
			TOTAL	\$11,051

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

- (1) Facilitator volunteering his/her time to facilitate the youth prevention and outreach sessions outlined in the strategic plan. Hourly rate is based on an average salary of an outreach facilitator in the geographic area.
- (2) Travel is based on average distance between facilitator's location and the meeting site. Mileage rate is based on POV reimbursement rate.

NON-FEDERAL MATCH (Contract)

Entity	Product/Service	Cost
(1) West Bank School District	Student Assistance Program for 50 students @ \$300 per year	\$15,000
	TOTAL	\$15,000

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

(1) West Bank School District is donating their contracted services to provide drug testing, referral and case management for 50 non-school attending youth. Average cost is \$300/person.

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

NON-FEDERAL MATCH -(enter in Section B column 2 line 6f of form SF424A) **\$26,051**

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

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

FEDERAL REQUEST

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

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

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

***If rent is requested (direct or indirect), provide the name of the owner(s) of the space/facility. If anyone related to the project owns the building which is less than an arms length arrangement, provide cost of ownership/use allowance calculations. Additionally, the lease and floor plan (including common areas) is required for all projects allocating rent costs.**

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

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

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

NON-FEDERAL MATCH

Item	Rate	Cost
(1) Space rental	\$75/event x 12 events/year	\$900
(2) Internet services	\$26/mo. x 12 mo.	\$312
(3) Student surveys	\$1/survey x 1583 surveys	\$1,583
(4) Brochures	.97/brochure x 1500 brochures	\$1,455
	TOTAL	\$4,250

JUSTIFICATION: Breakdown costs into cost/unit: i.e. cost/square foot. Explain the use of each item requested.

(1) Donated space for the various activities outlined in the scope of work, such as teen night out, after-school programs, and parent education classes.

(2) The applying agency is donating the internet services for the full-time coordinator.

(3) The ABC Company is donating the cost of 1,583 for student surveys.

(4) The ABC Company is donating the printing costs for the bi-monthly brochures.

All costs are the value placed on the service at the time of this grant application.

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

NON-FEDERAL MATCH - (enter in Section B column 2 line 6h of form SF424A) **\$4,250**

Indirect cost rate: Indirect costs can be claimed if your organization has a negotiated indirect cost rate agreement. It is applied only to direct costs to the agency as allowed in the agreement. For information on applying for the indirect rate go to: <http://www.samhsa.gov> then click on grants – Grants Management – Contact Information – Important Offices at SAMHSA and DHHS - HHS Division of Cost Allocation – Regional Offices.

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

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

NON-FEDERAL MATCH (enter in Section B column 2 line 6j of form SF424A)

8% of personnel and fringe(.08 x \$26,037) **\$2,083**

=====

TOTAL DIRECT CHARGES:

FEDERAL REQUEST – (enter in Section B column 1 line 6i of form SF424A) **\$172,713**

NON-FEDERAL MATCH -(enter in Section B column 2 line 6i of form SF424A) **\$59,348**

INDIRECT CHARGES:

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

NON-FEDERAL MATCH -(enter in Section B column 2 line 6j* of form SF424A) **\$2,083**

TOTALS :(sum of 6i and 6j)

FEDERAL REQUEST – (enter in Section B column 1 line 6k of form SF424A) **\$177,806**

NON-FEDERAL MATCH-(enter in Section B column 2 line 6k of form SF424A) **\$61,431**

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UNDER THIS SECTION REFLECT OTHER NON-FEDERAL SOURCES OF FUNDING BY DOLLAR AMOUNT AND NAME OF FUNDER e.g., Applicant, State, Local, Other, Program Income, etc.

Provide the total proposed Project Period Federal & Non-Federal funding as follows:

Proposed Project Period

a. Start Date:	09/30/2011	b. End Date:	09/29/2016
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BUDGET SUMMARY (should include future years and projected total)

Category	Federal Request For Year 1	Non-Federal Match for Year 1	Year 2 Federal Request *	Year 2 Non-Federal Match *	Year 3 Federal Request *	Year 3 Non-Federal Match *	Year 4 Federal Request *	Year 4 Non-Federal Match *	Year 5 Federal Request *	Year 5 Non-Federal Match *
Personnel	\$52,765	\$21,580	\$54,348	\$1,338	\$55,978	\$40,000	\$57,658	\$35,000	\$59,387	\$43,000
Fringe	\$10,896	\$4,457	\$11,223	\$275	\$11,558	\$8,260	\$11,906	\$7,228	\$12,263	\$8,880
Travel	\$2,444	\$1,237	\$2,444	\$2,000	\$2,444	\$1,500	\$2,444	\$1,200	\$2,444	\$2,600
Equipment	0	0	0	0	0	0	0	0	0	0
Supplies	\$3,796	\$1,773	\$3,796	\$2,000	\$3,796	\$2,000	\$3,796	\$2,500	\$3,796	\$4,500
Contractual	\$86,997	\$26,051	\$86,997	\$67,000	\$86,997	\$15,000	\$86,997	\$10,000	\$86,997	\$14,500
Other	\$15,815	\$4,250	\$13,752	\$52,387	\$11,629	\$5,786	\$9,440	\$8,976	\$7,187	\$4,000
Total Direct Charges	\$172,713	\$59,348	\$172,560	\$125,000	\$172,403	\$72,546	\$172,241	\$64,904	\$172,074	\$77,480
Indirect Charges	\$5,093	\$2,083	\$5,246	\$129	\$5,403	\$3,861	\$5,565	\$3,378	\$5,732	\$4,150
Total Project Costs	\$177,806	\$61,431	\$177,806	\$125,129	\$177,806	\$76,407	\$177,806	\$68,282	\$177,806	\$81,630

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

FEDERAL REQUEST (enter in Section B column 1 line 6k of form SF424A) **\$889,030**

NON-FEDERAL MATCH(enter in Section B column 2 line 6k of form SF424A) **\$412,879**

*** FOR REQUESTED FUTURE YEARS:**

1. Please justify and explain any changes to the budget that differs from the reflected amounts reported in the 01 Year Budget Summary.

2. If a cost of living adjustment (COLA) is included in future years, provide your organization's personnel policies and procedures that state all employees within the organization will receive a COLA.

Appendix F – Confidentiality and SAMHSA Participant Protection/Human Subjects Guidelines

Confidentiality and Participant Protection:

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

1. Protect Clients and Staff from Potential Risks

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

2. Fair Selection of Participants

- Describe the population(s) of focus for the proposed project. Include age, gender, and racial/ethnic background and note if the population includes homeless youth, foster children, children of substance abusers, pregnant women, or other targeted groups.
- Explain the reasons for including groups of pregnant women, children, people with mental disabilities, people in institutions, prisoners, and individuals who are likely to be particularly vulnerable to HIV/AIDS.
- Explain the reasons for including or excluding participants.

- Explain how you will recruit and select participants. Identify who will select participants.

3. Absence of Coercion

- Explain if participation in the project is voluntary or required. Identify possible reasons why participation is required, for example, court orders requiring people to participate in a program.
- If you plan to compensate participants, state how participants will be awarded incentives (e.g., money, gifts, etc.). Provide justification that the use of incentives is appropriate, judicious, and conservative and that incentives do not provide an “undue inducement” which removes the voluntary nature of participation. Incentives should be the minimum amount necessary to meet the programmatic and performance assessment goals of the grant. Applicants should determine the minimum amount that is proven effective by consulting with existing local programs and reviewing the relevant literature. In no case may the value of an incentive paid for with SAMHSA discretionary grant funds exceed \$20.
- State how volunteer participants will be told that they may receive services intervention even if they do not participate in or complete the data collection component of the project.

4. Data Collection

- Identify from whom you will collect data (e.g., from participants themselves, family members, teachers, others). Describe the data collection procedures and specify the sources for obtaining data (e.g., school records, interviews, psychological assessments, questionnaires, observation, or other sources). Where data are to be collected through observational techniques, questionnaires, interviews, or other direct means, describe the data collection setting.
- Identify what type of specimens (e.g., urine, blood) will be used, if any. State if the material will be used just for evaluation or if other use(s) will be made. Also, if needed, describe how the material will be monitored to ensure the safety of participants.
- Provide in Attachment 2, “Data Collection Instruments/Interview Protocols,” copies of all available data collection instruments and interview protocols that you plan to use.

5. Privacy and Confidentiality

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

- How you will use data collection instruments.
- Where data will be stored.
- Who will or will not have access to information.
- How the identity of participants will be kept private, for example, through the use of a coding system on data records, limiting access to records, or storing identifiers separately from data.

NOTE: If applicable, grantees must agree to maintain the confidentiality of alcohol and drug abuse client records according to the provisions of **Title 42 of the Code of Federal Regulations, Part II.**

6. Adequate Consent Procedures

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

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

- Indicate if you will obtain informed consent from participants or assent from minors along with consent from their parents or legal guardians. Describe how the consent will be documented. For example: Will you read the consent forms? Will you ask prospective participants questions to be sure they understand the forms? Will you give them copies of what they sign?
- Include, as appropriate, sample consent forms that provide for: (1) informed consent for participation in service intervention; (2) informed consent for participation in the data collection component of the project; and (3) informed consent for the exchange (releasing or requesting) of confidential information. The sample forms must be included in Attachment 3, "Sample Consent Forms", of your application. If needed, give English translations.

NOTE: Never imply that the participant waives or appears to waive any legal rights, may not end involvement with the project, or releases your project or its agents from liability for negligence.

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

7. Risk/Benefit Discussion

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

Protection of Human Subjects Regulations

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

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

Appendix G – Background Information

According to the United States Department of Education, approximately 18 million students will be enrolled in over 4,500 colleges and universities nationwide in 2008 (<http://nces.ed.gov>). In the 2006 National Survey of Counseling Center Directors (NSCCD), a startling 92 percent of directors report an increase in the number of students they see with severe psychological problems (<http://www.iacsinc.org/>). This is likely due in part to successes in the mental health system; that is, early diagnosis and improved treatment for children and adolescents enable more young people with pre-existing psychiatric disorders to pursue higher education now than was true in the past. Two key findings of the recent Report to the President on Issues Raised by the Virginia Tech Tragedy are: (1) improved awareness and communication are key to prevention; and (2) it is critical to get people with mental illness the services they need (<http://www.hhs.gov/vtreport.html>).

The 2006 NSCCD also found that 8.9 percent of enrolled students sought counseling or psychological help within the past year. That is one in every 11, or approximately 1.6 million students. Furthermore, the American College Health Association's 2006 National College Health Assessment (NCHA), which surveyed 94,806 students in 117 institutions of higher education, found that, within the past year:

- 94 out of 100 students reported feeling overwhelmed by all they had to do;
- 44 out of 100 have felt so depressed it was difficult to function;
- 18 out of a 100 reported having a depressive disorder; and
- 12 out of 100 had an anxiety disorder (<http://www.acha-ncha.org/>).

The 2006 NCHA further found that among the participating institutions, 9 percent had seriously considered suicide within the past year, and that 1.3% actually attempted suicide (<http://www.acha-ncha.org/>). That would mean that, out of the 18 million enrolled students, 234,000 attempt suicide every year, 19,500 every month, or 642 every day.

The complex problem of suicide and suicidal behaviors on campuses demands a multifaceted, collaborative, coordinated response. It cannot rely solely on campus counselors or community mental health centers. Where campus resources alone are insufficient to provide prevention, intervention, and treatment services, the planning process needs to include agencies and helping institutions from the broader community.

A comprehensive approach to suicide prevention on college and university campuses should employ multiple strategies targeted at both the general campus population and identifiable at-risk populations (Surgeon General of the United States, 1999). Such a comprehensive approach will be more effective when it includes consistent and coordinated activities in all the social spheres in which the target audience (in this case, college students) live, study, work, and play. A comprehensive approach also needs to

engage key players in the college community in a planning process that focuses on assessment, design, implementation, and evaluation of suicide prevention activities. It should also promote help-seeking behavior among students, and avoid stigmatizing or discouraging help-seeking behavior.

References and Other Useful Resources

American College Health Association. (2006). *National College Health Assessment, Reference Group Data Report, Spring 2006*. http://www.acha-ncha.org/docs/ACHA-NCHA_Reference_Group_Report_Spring2006.pdf.

Gallagher, R. P. (Ed.). (2006). *National Survey of Counseling Center Directors, 2006*. Alexandria, VA: International Association of Counseling Services, Inc. <http://www.iacsinc.org/National%20Survey%20for%20Counseling%20Center%20Directors%20Results%20-%20Final.pdf>.

Leavitt, M.O., Spellings, M., and Gonzales, A.R. (June 13, 2007). *Report to the President on Issues Raised by the Virginia Tech Tragedy*. <http://www.hhs.gov/vtreport.html#intro>

Suicide Prevention Resource Center. (2004). *Promoting mental health and preventing suicide in college and university settings*. Newton, MA: Education Development Center, Inc. http://www.sprc.org/library/college_sp_whitepaper.pdf

The Jed Foundation. (2006). *Framework for developing institutional protocols for the acutely distressed or suicidal college student*. New York, NY: The Jed Foundation. <http://www.jedfoundation.org/framework.php>

U.S. Public Health Service, The Surgeon General's Call To Action To Prevent Suicide. Washington, DC: 1999. <http://mentalhealth.samhsa.gov/suicideprevention/strategy.asp>

Appendix H – RFA Glossary

Cost Sharing or Matching: Cost-sharing refers to the value of allowable non-Federal contributions toward the allowable costs of a Federal grant project or program. Such contributions may be cash or in-kind contributions. (See also “In-Kind Contribution” and “Non-Federal Match.”)

Crisis Response Plan: A crisis response plan is a document that describes an institution’s protocol or procedures for responding to a crisis on campus, such as a suicide attempt or death by suicide.

Cross-site Evaluation: The systematic collection of context, product, process, and impact information across Garrett Lee Smith Memorial Campus Suicide Prevention Program sites, which will inform SAMHSA regarding the magnitude, import, reach, and effectiveness of campus-based suicide prevention activities.

Cultural Competence: Cultural competence is a critical component of all SAMHSA grant programs. The guidelines on the following Web page can help ensure appropriate attention to cultural competence in planning programs:
<http://www.samhsa.gov/grants/apply.aspx>.

Direct vs. Indirect Costs: “Direct” costs are those incurred in implementing the grant project. Because direct costs can include both service delivery and program management components, they will include some administrative costs, such as salaries and benefits of program staff and managers, equipment, and training. “Indirect” costs are often called “overhead” and refer to administrative costs that cannot be assigned to specific projects, such as electricity and central administrative services.

Gatekeepers: Individuals in a community who have face-to-face contact with large numbers of community members as part of their usual routine; they can be trained to identify persons at risk of suicide and refer them to treatment or supporting services as appropriate. Examples of gatekeepers on campuses include, but are not limited to, resident advisors, faculty and staff, and campus police.

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.

In-Kind Contribution: In-kind contributions toward a grant project are non-cash contributions (e.g., facilities, space, services) that are derived from non-Federal sources, such as State or sub-State non-Federal revenues, foundation grants, or

contributions from other non-Federal public or private entities. An example of an in-kind contribution would be a university's cost for printing a suicide prevention brochure.

Letter of Commitment: A letter from a person who has not yet been hired for a specific grant position, expressing his/her intent to accept employment if the applicant receives a grant award.

Memorandum of Understanding: A formal agreement between two or more entities that defines and specifies: (1) the responsibilities of each entity in implementing a project; and/or (2) the tangible assets that each will provide. This is more formal than a letter of support, which simply expresses receptiveness to or support of an applicant's proposed project.

Minority Serving Institution: A Department of Education-designated college or university such as a Historically Black College or University (HBCU), a Hispanic-Serving Institution (HSI), or a Tribal College or University (TCU).

National Suicide Prevention Lifeline: The federally funded National Suicide Prevention Lifeline is a system of toll-free telephone numbers (including 1-800-273-TALK) that routes calls from anywhere in the United States to a network of more than 120 certified local crisis centers that can link callers to local emergency, mental health, and social service resources. People in emotional distress or suicidal crisis can call anytime from anywhere in the Nation to speak with a trained counselor. All incoming calls are immediately routed to the networked crisis center which is geographically closest to the caller (<http://www.suicidepreventionlifeline.org>).

Non-Federal Match: For the purposes of the Campus Suicide Prevention Grant program, cash and in-kind contributions that meet all of the following criteria are acceptable as non-Federal cost-share/match:

- (1) Verifiable from the recipient's records;
- (2) Not included as contributions for any other federally assisted project or program;
- (3) Necessary and reasonable for proper and efficient accomplishment of project or program objectives;
- (4) Allowable under the applicable cost principles;
- (5) Not paid by the Federal Government under another award, except where authorized by Federal statute to be used for cost sharing or matching;
- (6) Provided for in the approved budget when required by the Federal awarding agency; and

(7) Conform to other provisions of OMB Circular No. A-110-Revised (<http://www.whitehouse.gov/omb/circulars/a110/a110.html#23>), as applicable.

Matching funds or in-kind services/equipment do not need to directly fund the six "allowable activities" on pages 6 of this RFA. However, if they fund other activities (e.g., web site development, data collection, etc.), the activities must: (1) be clearly related to the allowable activities; and (2) directly support an enhancement or an improvement to the institution's suicide prevention activities.

Non-research Indirect Cost Rate: “Non-research” indirect costs refer to other sponsored activities funded by Federal agencies which involve performance of work application.

Stakeholder: A stakeholder is an individual, organization, constituent group, or other entity that has an interest in and will be affected by a proposed grant project.

Suicide Prevention Plan: A comprehensive suicide prevention plan employs multiple strategies targeted at both the general campus population and identifiable at-risk populations (Surgeon General of the United States, 1999). It includes consistent and coordinated activities in all the spheres in which the target audience lives, studies, works and plays. It engages key players in the college community in a strategic planning process that focuses on an assessment of campus needs and then on the design, implementation, and evaluation of suicide prevention activities. It promotes help-seeking behavior among students and avoids stigmatizing or discouraging help-seeking behavior.

Suicide Prevention Resource Center: Funded by the Garrett Lee Smith Memorial Act, the national Suicide Prevention Resource Center (<http://www.sprc.org>) supports the technical assistance and information needs of SAMHSA’s State/Tribal, Youth Suicide Prevention and Campus Suicide Prevention grantees and State, Territorial, and Tribal suicide prevention coordinators and coalition members, with customized assistance and technical resources. SPRC also plans and implements conferences and other training events; creates publications and Web content on suicide and suicide prevention for professionals, advocates, and consumers; identifies and disseminates best practices; facilitates informational exchanges and peer-to-peer mentoring using listservs and other technologies; and promotes suicide prevention as a component of mental health transformation.

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

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