

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

**Fiscal Years (FY) 2007-2009 Allotments to States for the  
Protection and Advocacy for Individuals with  
Mental Illness (PAIMI) Program**

**Short Title: FY 2007- 2009 PAIMI Program**

**(Initial Announcement)**

**Request for Applications (RFA) No. SM-07-F1**

**Catalogue of Federal Domestic Assistance (CFDA) No. 93.138**

**Key Date:**

<b>Application Deadline</b>	<b>Applications are due by October 1<sup>st</sup> of each year from 2006 - 2008.</b>
-----------------------------	--

---

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

---

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

**TABLE OF CONTENTS**

- I. FUNDING OPPORTUNITY DESCRIPTION..... 3
  - 1. INTRODUCTION..... 3
  - 2. EXPECTATIONS ..... 3
- II. AWARD INFORMATION..... 7
  - 1. AWARD AMOUNT..... 7
  - 2. FUNDING MECHANISM..... 7
- III. ELIGIBILITY INFORMATION..... 7
  - 1. ELIGIBLE APPLICANTS..... 7
  - 2. COST SHARING..... 7
- IV. APPLICATION AND SUBMISSION INFORMATION..... 8
  - 1. ADDRESS TO REQUEST APPLICATION PACKAGE..... 8
  - 2. CONTENT AND FORM OF APPLICATION SUBMISSION..... 8
  - 3. SUBMISSION DATES AND TIMES.....13
  - 4. INTERGOVERNMENTAL REVIEW (E.O. 12372) REQUIREMENTS.....13
  - 5. FUNDING LIMITATIONS/RESTRICTIONS.....13
  - 6. OTHER SUBMISSION REQUIREMENTS.....14
- V. APPLICATION REVIEW INFORMATION.....15
  - 1. EVALUATION CRITERIA.....15
  - 2. REVIEW AND SELECTION PROCESS.....15
- VI. AWARD ADMINISTRATION INFORMATION.....16
  - 1. AWARD NOTICES.....16
  - 2. ADMINISTRATIVE AND NATIONAL POLICY REQUIRMENTS.....16
  - 3. REPORTING REQUIREMENTS.....16
- VII. AGENCY CONTACTS.....17
- Appendix A – FY 2006 PAIMI Awards.....19
- Appendix B – PAIMI Advisory Council Information Table.....20
- Appendix C – Estimated Annual PAIMI Budget/Expenditures.....21
- Appendix D – PAIMI Program Assurances.....25
- Appendix E – Guidance for Electronic Submission of Applications.....26
- Appendix F – PAIMI Terms and Conditions of Grant Award.....28
- Appendix G – Knowledge Transfer.....31

# I. FUNDING OPPORTUNITY DESCRIPTION

## 1. INTRODUCTION

The Substance Abuse and Mental Health Services Administration (SAMHSA), Center for Mental Health Services (CMHS) is accepting applications for Protection and Advocacy for Individuals with Mental Illness (PAIMI) grants. The purpose of this program is to protect the rights of persons with mental illness at risk for abuse, neglect and civil rights violations by providing legal-based advocacy services on their behalf.

PAIMI grants are authorized under the Protection and Advocacy for Individuals with Mental Illness Act of 1986, 42 U.S.C. 10801, *et. seq.* (as amended in 2000). This announcement addresses Healthy People 2010 focus area 18 (Mental Health).

## 2. EXPECTATIONS

PAIMI Program grant awards must be used to support legal-based advocacy services for individuals with significant mental illness and significant emotional impairments. Family members may also request protection and advocacy (P&A) system assistance on behalf of these individuals.

**Program Goals:** Each designated P&A agency must establish annual priorities (goals) and objectives and administer systems that meet the provisions of the Act:

- To ensure that the rights of individuals with mental illness are protected;
- To assist States to establish and operate a protection and advocacy system for individuals with mental illness which will protect and advocate the rights of such individuals through activities to ensure the enforcement of the Constitution and Federal and State statutes; and
- To investigate incidents of abuse and neglect of individuals with mental illness if the incidents are reported to the system or if there is probable cause to believe that the incidents occurred.

The PAIMI Program, due to limited resources, must set annual priorities which may limit the extent and nature of services offered to some individuals and groups of individuals. The number of prospective clients far exceeds available PAIMI resources. Therefore, requests for assistance must be within the State P&A system's annual program services goals and objectives, as well as its case or client acceptance criteria.

PAIMI Program services must be targeted to the following individuals:

- \$ Individuals who have a significant mental illness or emotional impairment diagnosed by a mental health professional qualified under the laws and regulations of the State;

\$ Individuals who are abused, neglected or had rights violated, or are at risk for abuse, neglect, or civil rights violations; and

\$ Priority must be given to individuals who are inpatients or residents of public or private care/treatment facilities for individuals with mental illness.

SAMHSA's commitment to cultural competency requires that services are professional, competent and effectively meet the critical substance abuse and mental health needs of the Nation's diverse population.

### **Contracts for Program Operations**

To provide protection and advocacy services to PAIMI-eligible individuals and their family members, P&A systems should work cooperatively with existing advocacy agencies and groups and, where appropriate, consider entering into contracts for protection and advocacy services with organizations already working on behalf of individuals with mental illness. Special consideration should be given to contracts for the services of groups run by individuals who have received or are receiving mental health services or by family members of such individuals.

An eligible P&A system may contract for the operation of all or part of its program with another public or private nonprofit organization with demonstrated experience in working with individuals with mental illness, provided that it adheres to the following criteria set forth in the PAIMI Rules at:

1. 42 CFR 51.21(b) - Contracts for Program Operations
2. 42 CFR 51.4 - Grants Administration Requirements
3. 42 CFR 51.26 - Conflicts of Interest
4. 45 CFR Part 74 and Part 92- Health and Human Services Uniform Grants Requirements

### **System Requirements**

Under the PAIMI Act at 42 USC 10805(a), in addition to investigating incidents of abuse and neglect of individuals with mental illness and pursuing administrative, legal and other appropriate remedies to ensure the protection of these individuals, State P&A systems must also meet the following statutory requirements:

#### *Governing Authority*

The governing authority of each State P&A system is responsible for the planning, designing, implementing and functioning of each State P&A system. The governing authority is mandated to work jointly with the advisory council to establish the annual PAIMI Program priorities (goals) and objectives. If the governing authority is organized as a private nonprofit entity, the chairperson of the advisory council must be a member of the governing board.

Each State P&A system must develop written policies and procedures for selecting its governing authority (board) members and for evaluating the P&A executive director. These policies must include the criteria for appointments, term limits, filling vacancies, etc.

At least annually, each State P&A system is required to provide its advisory council with the following information: 1) reports, materials and fiscal data to enable the review of existing program policies, priorities and performance outcomes; 2) expenditure reports for the past two fiscal years; and, 3) projected expenses for the next fiscal year, identified by budget category, (e.g., salary, wages, contract for services, administrative expenses), including the amount allotted for training of the advisory council, the governing board and staff.

### *Independent Status*

The PAIMI Program operated by each State P&A system must be independent of any agency in the State which provides treatment or services (other than advocacy services) to individuals with mental illness.

### *Access to Facilities and Records*

The PAIMI Program operated by each State P&A system must have access to facilities in the State providing care or treatment and have access to all records, in accordance with the provisions of 42 U.S.C. 10806 [42 U.S.C. 10805(a) (4)(A),(B), (C)].

### *Advisory Council*

Each State P&A system is required to establish an advisory council whose role is to provide independent advice and recommendations to the P&A system, to work jointly with the governing authority in the development of policies and priorities (goals), and to submit a section of the system's annual report as required.

The Advisory Council must meet the following requirements:

1. Members of the council must include attorneys, mental health professionals, individuals from the public who are knowledgeable about mental illness and have demonstrated a substantial commitment to improving mental health services, a provider of mental health services, individuals who have received or are receiving mental health services, and family members of such individuals.
2. The advisory council must be chaired by an individual who has received or is receiving mental health services or who is a family member of such an individual.
3. Continuing efforts must be made to include members of racial and ethnic minority groups on the advisory council who should also reflect the diversity of their State population.
4. At least 60 percent of the advisory council membership must be comprised of individuals who have received or are receiving mental health services or who are family members of such individuals.
5. At least one family member must be a primary caregiver for an individual who is currently a minor child or youth who is receiving or has received mental health care.
6. The advisory council must meet at least 3 times annually. The terms must be staggered.

### *Public Comment*

Each year, the State P&A systems must provide the public with an opportunity to comment on its established priorities (goals) and activities.

### *Annual Reports*

On or before January 1 of each award year, the State P&A system must prepare and submit an annual PAIMI Program Performance Report (PPR) to the attention of the head of the State mental health agency and to SAMHSA. The PPR reports must be submitted in the format provided by SAMHSA.

Each annual PPR must include the following information:

1. A description of the P&A system activities and statements on the program priorities (goals), objectives, accomplishments;
2. The **actual** budget expenditures for the respective fiscal year; and
3. A separate section prepared by the advisory council, the “**Annual Report of the Advisory Council,**” which describes the activities of the council and the council’s independent assessment of the State P&A system’s operations and its grievance resolution processes and procedures.

### *Grievance Procedures*

Each P&A system is mandated to establish procedures that meet the minimum requirements set forth in the PAIMI Rules. These procedures must assure that: 1) individuals with mental illness have full access to the services of the program; and, 2) individuals who have received or are receiving mental health services in the State, and the family members or representatives of such individuals, are able to assure that the eligible P&A system is operating in compliance with the Act.

### **Data and Performance Measurement**

All SAMHSA grantees are required to collect and report certain data so that SAMHSA can meet its obligation under the Government Performance and Results Act (GPRA). Data are to be submitted annually using the Program Performance Report (PPR), which will be provided after award. PAIMI grantees will be required to report performance in the following areas:

- Increase in the number of people served by the PAIMI program (*output*)
- Increase percentage of complaints of alleged abuse and neglect substantiated and not withdrawn by the client that resulted in positive change for the client in her/his environment, community, or facility, as a result of PAIMI involvement (*outcome*)
- Increase percentage of complaints of alleged rights violations substantiated and not withdrawn by the client that resulted in positive change through the restoration of client rights, expansion or maintenance of personal decision-making, or elimination

- of other barriers to personal decision-making, as a result of PAIMI involvement (*outcome*)
- Percent of interventions on behalf of groups of PAIMI-eligible individuals that were concluded successfully (*developmental-outcome*)
  - Ratio of persons served/impacted per activity/intervention (*efficiency*)
  - Cost per 1,000 individuals served/impacted (*efficiency*)

## **II. AWARD INFORMATION**

### **1. AWARD AMOUNT**

SAMHSA expects to provide PAIMI grant funds in each Fiscal Year (FY) 2007–2009. Awards will be made as formula grants which are based on a statutory formula: the population of each State weighted by its relative per capita income. In anticipation of an annual PAIMI appropriation and for the purposes of this announcement, eligible applicants should submit a provisional budget for each year (FY) 2007-2009 based upon the PAIMI award received in the preceding FY. (See Appendix A for FY 2006 PAIMI award amounts.) Annual continuation awards will depend on the availability of funds.

You must submit a separate application for each year's funds. Each annual PAIMI grant award is available for obligation by a State P&A system for two FYs and for expenditure of the obligated funds in the next consecutive year, for a total of three years. PAIMI funds cannot be carried over beyond that time period. For example, PAIMI awards made in FY 2007 (October 1, 2006) must be obligated by September 30, 2008, and obligated funds must be expended by September 30, 2009.

### **2. FUNDING MECHANISM**

Awards will be made as grants.

## **III. ELIGIBILITY INFORMATION**

### **1. ELIGIBLE APPLICANTS**

Eligibility for PAIMI awards is limited by statute to “eligible systems.” “Eligible systems” refers to the governor-designated P&A system established in the States, the District of Columbia, the following five Territories: American Samoa, Guam, the Northern Mariana Islands, Puerto Rico, and the U.S. Virgin Islands; and the American Indian Consortium.

### **2. COST SHARING**

Cost sharing is not required in this program.

## IV. APPLICATION AND SUBMISSION INFORMATION

### 1. ADDRESS TO REQUEST APPLICATION PACKAGE

Required forms may be obtained from the SAMHSA web site at [www.samhsa.gov/grants/index.aspx](http://www.samhsa.gov/grants/index.aspx).

Additional materials available on this web site include:

- a technical assistance manual for potential applicants;
- guidelines and policies that relate to SAMHSA grants (e.g., guidelines on cultural competence, consumer and family participation, and evaluation); and
- enhanced instructions for completing the PHS 5161-1 application.

### 2. CONTENT AND FORM OF APPLICATION SUBMISSION

#### 2.1 Application Kit

SAMHSA application kits include the following documents:

- PHS 5161-1 (revised July 2000) – Includes the face page, assurances, certification, and checklist. You must use the PHS 5161-1. You will find the PHS 5161-1 at [www.hhs.gov/forms/phs-5161-1.doc](http://www.hhs.gov/forms/phs-5161-1.doc). **Applications that are not submitted on the required application form will be returned for resubmission.**
- Request for Applications (RFA) – Provides specific information about the availability of funds along with instructions for completing the grant application. This document is the RFA.

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

#### 2.2 Required Application Components

Applications must be complete and contain all information needed for review. In order for your application to be complete, it must include the following sections in the order listed.

- ❑ **Face Page** – Use Standard Form (SF) 424, which is part of the PHS 5161-1. [Note: Applicants must provide a Dun and Bradstreet (DUNS) number to apply for a grant or cooperative agreement from the Federal Government. SAMHSA applicants are required to provide their DUNS number on the face page of the application. Obtaining a DUNS number is easy and there is no charge. To obtain a DUNS number, access the Dun and Bradstreet web site at [www.dunandbradstreet.com](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.]
- ❑ **Table of Contents** – Include page numbers for each of the major sections of your application and for each appendix.



- **Information Page** – Each applicant is required to provide the names, titles, contact information (street address, room number, city, state, zip code, phone and fax numbers and e-mail address) for the following individuals:
  - The Executive Director
  - The Chief Financial Officer
  - The Governor’s State liaison – a name **other than the P&A Executive Director**. For State-operated P&A systems with no Governor’s liaison, submit contact information for the Governor’s Chief of Staff (the City Administrator or Mayor in the District of Columbia).
  - The President of the P&A Governing Authority/Board (applicable to **all** not for profit P&A systems and to **some** State-operated systems).
  - The Chair of the PAIMI Advisory Council
  - The PAIMI Program Coordinator or PAIMI Program contact
  
- **Statement of Annual PAIMI Priorities (Goals) and Objectives** – The governing authority, jointly with the PAIMI Advisory Council, must establish the P&A system’s annual priorities (goals) and objectives. These priorities (goals) and objectives must be reported in the format provided below using the following definitions:

Priority (Goal)/Objective Table for PAIMI Application

<p><b>PRIORITY (GOAL):</b> A priority (goal) is a broad, general description of what the PAIMI Program hopes to accomplish. Each priority (goal) may have a single or multiple objectives.</p>
<p><b>OBJECTIVE:</b> An objective is the activity or activities undertaken to achieve a particular annual program priority (goal). Objectives should have quantifiable targets and measurable outcomes. All objectives should be able to be completed within the FY. Regulatory, legislative and/or litigation activities, which may span several FYs, should be broken down into multiple steps that are achievable in the FY.</p>
<p><b>TARGET POPULATION:</b> Identification of the PAIMI-eligible population targeted for service under each objective.</p>
<p><b>TARGET:</b> A numerical statement of what is desired or expected as a result of the objective.</p> <p>[Note: targets may be narrative rather than numerical if the objective cannot be expressed in measurable terms, e.g., “development of a monitoring protocol for facility monitoring.”]</p>
<p><b>OUTCOME:</b> What was actually achieved as a result of the activity <b>expressed in numerical terms</b>. (See note above.)</p> <p>[Note: The actual results will be addressed in the corresponding PPR.]</p>
<p><b>OBJECTIVE MET OR NOT MET:</b> A statement of whether the expected outcome (target) for this objective was met. If not met, an explanation is required as well as a description of future activities to address the unmet objective, if appropriate.</p> <p>[Note: This will be provided in the PPR.]</p>

### Example # 1

Performance Indicator Table for PAIMI Application

<b>GOAL:</b> Prevent abuse in community-based or long-term care facilities.
<b>OBJECTIVE:</b> Investigate complaints of abuse and neglect in community-based or long-term care facilities in FY 2007.
<b>TARGET POPULATION:</b> PAIMI-eligible persons residing in the following types of facilities: nursing homes, group homes, assisted living centers, long-term care, supervised apartments, board and care homes, homeless shelters, hospitals and sheltered workshops.
<b>TARGET:</b> 30 Investigations
<b>OUTCOME:</b> 33 complaints investigated
[Note: The actual results will be addressed in the corresponding PPR.]
<b>OBJECTIVE MET OR NOT MET:</b> Objective met.
[Note: This will be provided in the PPR.]

### Example # 2

<b>GOAL:</b> Prevent neglect in jails and detention facilities.
<b>OBJECTIVE:</b> Investigate complaints of neglect (e.g., failure to receive mental health treatment) in jails and detention centers.
<b>TARGET POPULATION:</b> PAIMI-eligible persons residing in jails and detention facilities.
<b>TARGET:</b> 30 investigations
<b>OUTCOME:</b> 23 complaints investigated
[Note: This will be provided in the PPR.]
<b>OBJECTIVE MET OR NOT MET:</b> Objective not met. Local jails were not cooperative in notifying PAIMI Program of incidences of neglect nor in providing access to inmates. Improving access will be a goal for next year.
[Note: This will be provided in the PPR.]

- ❑ **PAIMI Advisory Council (PAC) Chart [Appendix B]** – Starting in FY 2007, each State P&A system is required to submit a PAIMI Advisory Council information table with the annual application. You must use the format in Appendix B to provide this information.
- ❑ **State Demographic/Contextual Profile** – To assist SAMHSA in the application review process, each State P&A system is required to provide a demographic profile of the State

and its mental health system. This profile will provide SAMHSA with contextual information on how the annual priorities (goals) and objectives selected for this program are serving PAIMI-eligible constituents and their families. Each PAIMI program application must include a State Profile that includes, at a minimum, the following information:

1. The population of the State;
2. State identification – rural/frontier, urban etc;
3. Where the major population centers are located;
4. The ethnic/cultural and racial composition of the State and its major cities;
5. Information on the State Mental Health system, including the number of State-operated facilities/hospitals and the locations of these facilities;
6. The number of adults with serious mental illness (SMI) and children with significant (severe) emotional impairment (disturbance) (SED) served by the State mental health system, including the inpatient population; and
7. Any other contextual information that may facilitate SAMHSA’s understanding of how your P&A system meets the needs of its PAIMI-eligible constituents and their families.

- **Estimated Annual Expenditures (PAIMI Budget) [Appendix C]** – Provide a best estimate of how PAIMI Program funds will be spent during this FY. All anticipated expenditures must be reasonable, necessary and allowable under PHS grant policies. You must use the format in Appendix C to provide this information. Include the following information:

- For each funded staff position: title, annual salary, portion of staff time [full time equivalent (FTE)] charged to the PAIMI grant, and the costs billed to the PAIMI grant for each funded position;
- The projected annual costs of any litigation (new and current);
- All estimated expenses for PAIMI Program operational and programmatic activities, including: 1) salaries, wages and fringe benefits of professionals and other supporting staff engaged in project activities; 2) travel required for carrying out activities under the approved project; 3) supplies, communications, and rental of equipment and space directly related to approved project activities; and 4) training costs for staff, governing board and advisory council members.
- A separate list of budget expenditure information is also required for each contractual arrangement for PAIMI Program services. Include copies of these contracts and sub-contracts with your application. Any contract or subcontract that exceeds \$25,000 must be reviewed and approved by the SAMHSA Grants Management Officer.

**Sample**

PAIMI Personnel			
Position Title	Annual Salary	% of FTE charged to PAIMI	Cost Charged to PAIMI
Attorney	\$ 50,000	.5	\$ 25,000
Advocate	\$ 50,000	.25	\$ 12,500

PAIMI Personnel			
Admin. Asst.	\$ 30,000	.25	\$ 7,500
Sub-Total	\$ 205,000	2.0	\$120,000

- ❑ **PAIMI Program Assurances [Appendix D]** – The State P&A system Executive Director, or their officially authorized designee, must sign this group of assurances attesting to the following requirements of the P&A system: (its) independent status; access to facilities and records; advisory council; annual report; grievance procedure for clients or prospective clients; and governing board. (These assurances must be submitted annually.) If these assurances are signed by the designee, a letter from the Executive Director, which officially authorizes that person to sign as designee, must be included with the application. You must use the form in Appendix D to provide this information.
- ❑ **Assurances** – Non-Construction Programs. Use Standard Form 424B found in PHS 5161-1.
- ❑ **Certifications** - Use the “Certifications” forms found in PHS 5161-1.
- ❑ **Disclosure of Lobbying Activities** – Use Standard Form LLL found in the PHS 5161-1. Federal law prohibits the use of appropriated funds for publicity or propaganda purposes, or for the preparation, distribution, or use of the information designed to support or defeat legislation pending before the Congress or State legislatures. This includes “grass roots” lobbying, which consists of appeals to members of the public suggesting that they contact their elected representatives to indicate their support for or opposition to pending legislation or to urge those representatives to vote in a particular way.
- ❑ **Checklist** – Use the Checklist found in PHS 5161-1. The Checklist ensures that you have obtained the proper signatures, assurances and certifications and is the last page of your application.

### 2.3 Application Formatting Requirements

**Applicants also must comply with the following basic application requirements.**

**Applications that do not comply with these requirements will be returned for resubmission.**

- ❑ Use the PHS 5161-1 application.
- ❑ Applications must be received by the application deadline or have proof of timely submission.
- ❑ Information provided must be sufficient for review.
- ❑ Paper must be white paper and 8.5 inches by 11.0 inches in size.

- ❑ Use black ink and number pages consecutively from beginning to end so that information can be located easily during review of the application. This includes all required attachments.
- ❑ Pages should be typed single-spaced with one column per page.
- ❑ Pages should not have printing on both sides.
- ❑ Do not include any additional attachments.

### **3. Submission Dates and Times**

Applications are due by the close of business on October 1 of the fiscal year for which funds are being requested. (The fiscal year begins on October 1 and ends on September 30. For example, applications for FY 2007 grant funds must be received by October 1, 2006.)

Please remember that mail sent to Federal facilities undergoes a security screening prior to delivery. Allow sufficient time for your package to be delivered.

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

Applications submitted in response to this announcement are not subject to the intergovernmental review requirements of Executive Order 12372, as implemented through Department of Health and Human Services (DHHS) regulation at 45 CFR Part 100.

### **5. FUNDING LIMITATIONS/RESTRICTIONS**

Cost principles describing allowable and unallowable expenditures for Federal grantees, including SAMHSA grantees, are provided in the following documents, which are available at <http://www.hhs.gov/grantsnet/roadmap/index.html>:

- State and Local Government: OMB Circular A-87
- Nonprofit Organizations: OMB Circular A-122

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

- PAIMI grant funds must be used to support PAIMI Program activities on behalf of PAIMI-eligible clients, as agreed in the statement of assurances.
- A State-operated P&A system may obligate **no more than** five percent of its annual PAIMI grant funds for administrative expenses.
- PAIMI grant award funds cannot be used to purchase or to construct a facility to house any portion of the proposed program. Any funds proposed for renovation expenses must be detailed and linked directly to programmatic activities. Any lease arrangements in

association with the proposed program activity that utilizes SAMHSA grant monies may not be funded beyond the program period nor may any portion of the leased space be used for purposes not supported by the P&A program.

## **6. OTHER SUBMISSION REQUIREMENTS**

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

### **Electronic Submission of Applications**

SAMHSA is collaborating with [www.Grants.gov](http://www.Grants.gov) to accept electronic submission of applications. Register one time, and Grants.gov will generate your information for future applications so you don't have to re-enter it. Built-in error-checking increases the completeness and accuracy of your application. Electronic submission is voluntary. No review points will be added or deducted, regardless of whether you use the electronic or paper format.

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

[Note: All State P&A systems that receive Social Security Administration grants for the Protection and Advocacy for Beneficiaries of Social Security (PABSS) Program are already registered on Grants.gov.]

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

### **Submission of Applications by Mail**

You must submit an original application and 2 copies (including appendices) signed by an authorized State P&A system official, such as the Executive Director. The original and copies must not be bound. Do not use staples, paper clips, or fasteners. Nothing should be attached, stapled, folded, or pasted.

Mail or deliver applications to the address below:

#### **For United States Postal Service:**

Attn: PAIMI Program  
LouEllen Rice  
Grants Management Officer  
Substance Abuse and Mental Health Services Administration  
Division of Grants Management  
1 Choke Cherry Road, Room 7-1091

Rockville, MD 20857

Change the zip code to **20850** if you are using another delivery service.

Do not send applications to other agency contacts, as this could delay receipt. Be sure to include **“PAIMI Program, SM-07-F1”** in item number 10 on the face page of any paper applications. If you require a phone number for delivery, you may use (240) 276-1404.

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

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

## **V. APPLICATION REVIEW INFORMATION**

### **1. Evaluation Criteria**

Under the PAIMI Act and Rules, a P&A system must be operational and must submit an application to SAMHSA at the beginning of each authorization period. SAMHSA cannot make an award to a State P&A system unless that system submits an application.

### **2. Review and Selection Process**

After an eligible State P&A system submits an application and the attachments described in Section IV-2 of this announcement, SAMHSA’s Division of Grants Management (DGM) and CMHS staff will review the application for fiscal and programmatic issues. As part of the review process, SAMHSA will compare the goals (priorities) and objectives in each State P&A application to those listed in the annual PAIMI PPR for the same FY. If additional information is required to evaluate an application, SAMHSA staff will contact the person listed on the face page of the application to obtain written clarification, modification, etc., as needed.

The P&A system is expected to respond and resolve these concerns in a timely manner. CMHS will not forward a payment recommendation to the DGM until the requested information is submitted and reviewed.

To ensure that SAMHSA supported programs meet the GPRA criteria, SAMHSA staff will also carefully review the following documents submitted by each State P&A system:

- The annual PPR reports, especially the data and activity narratives, to ensure that services provided are consistent with the annual PAIMI Program goals (priorities) and objectives established by the governing authority, jointly with the Advisory Council, and are provided only to PAIMI- eligible individuals;
- Monitoring and audit reports; and

- Technical assistance and/or training requests.

After resolution of any outstanding issues, and subject to the availability of funds, CMHS will recommend to the DGM that PAIMI Program funds be awarded to the State P&A system.

## **VI AWARD ADMINISTRATION INFORMATION**

### **1. AWARD NOTICES**

After your application has been reviewed, your Government Project Officer (GPO) will contact you to discuss the results of the review and obtain any additional information in writing. After all outstanding issues/concerns have been successfully addressed, a Notice of Grant Award (NOGA) will be issued. The NOGA is the sole obligating document that allows the grantee to receive Federal funding for work on the grant project. It is sent by postal mail and is addressed to the contact person listed on the face page of the application.

### **2. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS**

- You must comply with all terms and conditions of the grant award. SAMHSA's standard terms and conditions are available on the SAMSHA website at [www.samhsa.gov/grants/generalinfo/grants\\_management.aspx](http://www.samhsa.gov/grants/generalinfo/grants_management.aspx). Additional terms and conditions for PAIMI grantees are provided in Appendix F.
- You must also comply with Uniform Administration requirements 45 CFR Part 74 or 45 CFR Part 92, as applicable;
- Grants must be administered in accordance with the PHS Grants Policy Statement, DHHS Publication No. (OASH) 94 – 50,000 (Rev. April 1, 1994).
- Each State P&A system is mandated to comply with the certain provisions of the DD Act [42 U.S.C. at 15041 et seq.] and file an **Assurances of Compliance** statement with the Administration on Developmental Disabilities (ADD), Office of Human Development Services, DHHS

### **3. REPORTING REQUIREMENTS**

Applicants should be aware that the Secretary (DHHS) is required to use the data in the State P&A reports to prepare its biannual report to congress on PAIMI program activities.

#### **3.1 Annual Program Performance Reports**

Reports of activities funded by the PAIMI Program, including relevant data, are required on or before December 31 of each year following the grant award.

#### **3.2 Financial Status Report – FSR**



An FSR must be sent annually to the SAMHSA Division of Grants Management no later than 90 days after the close of the budget period. The FSR is submitted on **Standard Form (SF) 269** long form as the report of expenditures documenting the financial status of the award, according to the official accounting records of the grantee organization.

### **3.3 Audit Report**

OMB Circular A-133 provides audit requirements for all entities. For fiscal years ending after December 31, 2003, an audit is required for all entities which expend \$500,000 or more of Federal funds in each fiscal year. Mail the audit report to the **Federal Audit Clearinghouse, Bureau of the Census, 1201 E 10th Street, Jeffersonville, IN 47132.**

### **3.4 Government Performance and Results Act (GPRA)**

The Government Performance and Results Act (GPRA) mandates accountability and performance-based management by Federal agencies. GPRA increases the emphasis on evaluation and on the collection and reporting of performance data, particularly outcome data, and may result in the need to request additional data, including client outcome data where appropriate, from funded programs.

In order for SAMHSA to meet its statutory requirements under GPRA, every eligible State P&A system will be required to use a standardized data collection format approved by the Office of Management and Budget (OMB). This approach is designed to document the number and type of activities engaged in by the P&A system, and to assess the percentage of activities that resulted in positive systemic changes within the State. See the “Data and Performance Measurement” section on page 6 for additional information.

## **VII. AGENCY CONTACTS**

For questions about program issues, contact:

Karen S. Armstrong, M.S.S.W., L.I.C.S.W., J.D.  
Senior Public Health Advisor  
Protection and Advocacy Program  
SAMHSA/Center for Mental Health Services  
State Planning and Systems Development Branch  
I Choke Cherry Road, Room 2-1115  
Rockville, MD 20857  
Office: (240) 276- 1741  
Fax: (240) 276- 1770  
E-mail: [Karen.Armstrong@SAMHSA.hhs.gov](mailto:Karen.Armstrong@SAMHSA.hhs.gov)

For questions about GPRA, program performance, measures/indicator development and/or data outcome statements, contact:

John Morrow, Ph.D.  
Public Health Advisor  
SAMHSA/Center for Mental Health Services  
State Planning and Systems Development Branch  
I Choke Cherry Road, Room 2-1116  
Rockville, MD 20857  
Office: (240) 276-1783  
Fax: (240) 276- 1770  
E-mail: [John.Morrow@SAMHSA.hhs.gov](mailto:John.Morrow@SAMHSA.hhs.gov)

For fiscal, audit, and grants management questions, contact:

LouEllen Rice  
Grants Management Officer  
SAMHSA/Division of Grants Management  
Office of Program Support  
I Choke Cherry Road, Room 7- 1091  
Rockville, Maryland 20857  
Office: (240) 276- 1404  
Fax: (240) 276- 1430  
E-mail: [LouEllen.Rice@SAMHSA.hhs.gov](mailto:LouEllen.Rice@SAMHSA.hhs.gov)

## APPENDIX A – FY 2006 PAIMI AWARDS

STATE OR TERRITORY	ALLOTMENT	STATE OR TERRITORY	ALLOTMENT
Alabama	\$429,377	New Hampshire	\$402,700
Alaska	\$402,700	New Jersey	\$672,643
Arizona	\$525,480	New Mexico	\$402,700
Arkansas	\$402,700	New York	\$1,560,042
California	\$2,998,370	North Carolina	\$771,321
Colorado	\$402,700	North Dakota	\$402,700
Connecticut	\$402,700	Ohio	\$1,019,251
Delaware	\$402,700	Oklahoma	\$402,700
District of Columbia	\$402,700	Oregon	\$402,700
Florida	\$1,516,393	Pennsylvania	\$1,071,461
Georgia	\$783,286	Rhode Island	\$402,700
Hawaii	\$402,700	South Carolina	\$402,700
Idaho	\$402,700	South Dakota	\$402,700
Illinois	\$1,072,233	Tennessee	\$533,389
Indiana	\$563,355	Texas	\$2,001,287
Iowa	\$402,700	Utah	\$402,700
Kansas	\$402,700	Vermont	\$402,700
Kentucky	\$402,700	Virginia	\$621,942
Louisiana	\$431,056	Washington	\$519,125
Maine	\$402,700	West Virginia	\$402,700
Maryland	\$441,699	Wisconsin	\$481,587
Massachusetts	\$504,204	Wyoming	\$402,700
Michigan	\$880,405		
Minnesota	\$423,707	Puerto Rico	\$627,807
Mississippi	\$402,700	American Samoa	\$215,800
Missouri	\$515,980	Guam	\$215,800
Montana	\$402,700	American Indian Consortium	\$215,800
Nebraska	\$402,700	Northern Mariana Islands	\$215,800
Nevada	\$402,700	Virgin Islands	\$215,800

TOTAL ALLOTMENTS: \$33,320,000
TECHNICAL ASSISTANCE: \$680,000
TOTAL PAIMI APPROPRIATION: \$34,000,000

## APPENDIX B - PAIMI ADVISORY COUNCIL INFORMATION TABLE

PAIMI ADVISORY COUNCIL INFORMATION TABLE*		
MEMBERSHIP		
<b>Indicate the number of the following mandated positions included on the Advisory Council. (Count each member only once).</b>		
Individuals who have received or are receiving mental health services:		
Family members of individuals who have received or are receiving mental health services:		
Family members of a minor child or youth who has received or is receiving mental health services:		
Mental health service providers:		
Attorneys:		
Individuals from the public knowledgeable about mental illness:		
Demonstrate that at least 60% of the membership of the Advisory Council is comprised of individuals who have received or are receiving mental health services, or who are family members of such individuals.	1) Total number of members:	
	2) Number of members who are receiving or have received MH services, or family members of these individuals:	
	3) Percentage of members who have or are receiving MH services, or family members of these individuals (#2 divided by #1):	
REPRESENTATION OF THE CHAIR		
Is the PAC Chair an individual who has received or is receiving mental health services, or a family member of an individual who has received or is receiving mental health services?	<b>Yes</b>	<b>No</b>
PAC ETHNICITY/RACIAL DIVERSITY		
<b>Indicate the number of the following positions included on the Advisory Council who identify with each ethnic/racial group below:</b>		
American Indian/Alaska Native		
Asian		
Black/African American		
Native Hawaiian/Other Pacific Islander		
White		
Hispanic/Latino(a)		
Other		

\* Since each Advisory Council member can only be counted once, to meet the 60 percent requirement of individuals who have received or are receiving mental health services or who are family members of such individuals, there must be at least 6 seats occupied by individuals who have received or are receiving mental health services or who are family members of such individuals in addition to the 4 other mandated positions.





<b>Training Costs for PAIMI Program Only</b>			
<b>Categories</b>	<b>Travel Costs</b>	<b>Other Expenses</b>	<b>Subtotal</b>
Staff			
Governing Board			
Advisory Council			
Subtotal			

<b>Other Expenses (PAIMI only)</b>	<b>Cost</b>	
Subtotal		
Indirect Costs (PAIMI only)		
Does your P&A have an approved Federal indirect cost rate?	<b>Yes</b>	<b>No</b>
If yes, what is the approved rate?		

ESTIMATED ANNUAL PAIMI BUDGET EXPENDITURES (cont'd.)



TOTAL ALL COSTS (PAIMI only)	
Resources (PAIMI Program Only)	Amount
PAIMI Allotment	
State	
Others (list)	
TOTAL ALL SOURCES	

## APPENDIX D – PAIMI PROGRAM ASSURANCES

<b>STATEMENT OF PAIMI ASSURANCES FY 200_</b>	
<p>As the duly authorized representative of _____, the eligible  <div style="text-align: center;">Official name of the P&amp;A agency</div>                     Protection and Advocacy system for the State of _____, I certify that the applicant P&amp;A system and any State agency or nonprofit organization with which the applicant may enter a contract to perform the duties and functions mandated by the Protection and Advocacy for Individuals with Mental Illness (PAIMI) Act [42 United States Code 10801 et seq. at 10804 (a)] shall abide by the following assurances that the applicant P&amp;A system:</p>	
1.	Is the eligible system established in State to protect and advocate for the rights of persons with developmental disabilities under Part C of the Developmental Disabilities Assistance and Bill of Rights Act, the DD Act [42 U.S.C. 6041 et seq.] and will operate its system consistent with the all requirements of the Act.
2.	Has an assurance signed by the Chief Executive of the State (the Governor) on file with the Administration on Developmental Disabilities (ADD) and the Center for Mental Health Services (CMHS) that is still valid.
3.	Will use its PAIMI allotment award to supplement and not to supplant the level of non-Federal funding available to the State for protection and advocacy activities on behalf of individuals with mental illness.
4.	Has a staff that is trained or being trained to provide advocacy services to individuals with mental illness and to work with family members of clients served by the system where the individuals with mental illness are minors, legally competent and do not object, and legally incompetent and the legal guardians, conservators, or other legal representatives are family members.
5.	Will not, in the case of any individual who a legal guardian, conservator, or representative other than the State, take actions which duplicate those taken on behalf of such individual by a guardian, conservator, or representative unless such guardian, conservator, or representative requests assistance of such system.
6.	PAIMI Program funds shall only be used to support services and activities related to PAIMI-eligible clients.
7.	The P&A system shall send a copy of its annual PAIMI Program Performance Report to the head of the State mental health agency and SAMHSA as required by 42 U.S.C. 10805(a)(7) and 10824(a)(1) and 42 CFR 51.5(b).
8.	Will provide such other information as the Secretary, U. S. Department of Health and Human Services may prescribe by regulation.

\_\_\_\_\_  
 Typed Name of the P&A System Executive Director

\_\_\_\_\_  
 Signature of the P&A System Executive Director

\_\_\_\_\_  
 Date

## Appendix E – Guidance for Electronic Submission of Applications

If you would like to submit your application electronically, you can search [www.Grants.gov](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 [www.Grants.gov](http://www.Grants.gov) apply site, on the Customer Support tab. In addition to the User Guide, you may wish to use the following sources for help:

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

**If this is the first time you have submitted an application through Grants.gov, you must complete four separate registration processes before you can submit your application. Allow at least two weeks (10 business days) for these registration processes, prior to submitting your application.** The processes are: 1) DUNS Number registration; 2) Central Contractor Registry (CCR) registration; 3) Credential Provider registration; and 4) Grants.gov registration.

**It is strongly recommended that you submit your grant application using Microsoft Office products (e.g., Microsoft Word, Microsoft Excel, etc.).** If you do not have access to Microsoft Office products, you may submit a PDF file. 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.

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

After you electronically submit your application, you will receive an automatic acknowledgement from Grants.gov that contains a Grants.gov tracking number. It is important that you retain this number. **Include the Grants.gov tracking number in the top right corner of the face page for any paper submission.** If you do not receive a Grants.gov Tracking Number, you may want to contact the Grants.gov help desk for assistance.

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

**For United States Postal Service:**

LouEllen Rice  
Grants Management Officer  
SAMHSA - Division of Grants Management  
Office of Program Support  
I Choke Cherry Road, Room 7- 1091  
Rockville, Maryland 20857  
ATTN: Electronic Applications

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

If you require a phone number for delivery, you may use (240) 276-1404.

## APPENDIX F – PAIMI TERMS AND CONDITIONS OF GRANT AWARD

**Accounting Records and Disclosure:** State P&A systems and their subcontractors must maintain records which adequately identify the source and application of funds provided for financially assisted program activities. These records must contain information pertaining to cooperative agreements, sub awards (i.e., subcontracts, sub grants) and authorizations, obligations, unobligated balances, assets, liabilities, expenditures and income. The State P&A grantee, and all of its subcontractors, should expect that SAMHSA may conduct a financial compliance audit and/or on-site monitoring and/or technical assistance review of its programs.

**Administrative Costs:** Administrative costs for P&A systems located within a State or local government agency may not exceed 5 percent of the total PAIMI grant awarded in a fiscal year.

**Allowable Items of Expenditure:** Subject to applicable cost principles, allowable items of expenditure for which grant support may be requested include: (1) Salaries, wages, and fringe benefits of professional and other supporting staff engaged in the project activities; (2) Travel required for carrying out activities under the approved project; (3) Supplies, communications, and rental of equipment and space directly related to approved project activities; (4) Contracts for performance of activities under the approved project; (5) Other items necessary to support approved State P&A program activities provided that they are allowable under the applicable cost principles. To the greatest extent practicable, all equipment and products purchased with the grant or contract funds should be American-made.

**Alterations and Renovations:** Costs for alterations and renovations (A&R) will be allowable only where such alterations and renovations are necessary for the success of the State P&A system, e.g., Americans with Disabilities Act accommodation issues, etc. Prior approval from the SAMHSA DGM Officer and a recommendation of approval from the PAIMI Program Officer are required. Construction costs are never allowed.

**Annual Audit:** An audit is required for all entities which expend \$500,000 or more of Federal funds in each fiscal year. OMB Circular A-133 is to be followed for all entities other than for-profit organizations. Please send the completed audit report to: the **Federal Audit Clearinghouse; Bureau of the Census; 1201 East 10th Street; Jeffersonville, Indiana 47132.**

**Authority and Regulations:** Grants awarded under this Request for Applications are authorized under the PAIMI Act and Subtitle C of the DD Act, op.cit. Other Federal statutes, regulations and provisions applicable to this grant, include but are not limited to, the following sources: the Single Audit Act of 1996; the PAIMI Rules; the generic requirements concerning the administration of HHS grants - Title 45 CFR Parts 74 and 92; restrictions on grantee lobbying - Title 45 CFR Part 93; the Freedom of Information Act (FOIA) - Title 5 CFR Part 294 Subpart A; PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000 (Rev. April 1, 1994); and the Catalog of Federal Domestic Assistance (CFDA) number 93.138 for this program

**Breach of Terms and Conditions:** A State P&A system will be considered in breach of the terms and conditions of this grant award for the following acts: (1) failure to submit an annual program performance report (PPR) and/or a PAIMI advisory council report in the SAMHSA designated format; (2) failure to submit the required annual reports by the statutory due date of January 1; (3) failure to satisfy any other requirements under the Act, CFR, or any other requisites, e.g., compliance with SAMHSA audit, on-site monitoring and/or technical assistance recommendations within specified time frames. A breach of the terms and conditions will require remedial action, which may include the following SAMHSA actions: recommendation for suspension or termination of the PAIMI Program grant; conversion to a reimbursement method of payment; and/or agency retention of grant payments.

**Designation Changes:** When the Governor of a State recommends re-designation and that decision is approved by the Administration on Developmental Disabilities (ADD), as outlined in the DD Act, a new application and set of assurances is required. Within 30 days of issuance of the official notice of re-designation by ADD, the newly designated State P&A system must submit an application, assurances, certifications, etc. to SAMHSA. The designated SAMHSA PAIMI Program Officer and Grants Management Officer will review the application before any recommendation on funding is issued to the new P&A system.

**Fiscal/Grant Requirements:** This formula grant allotment is subject to HHS generic requirements concerning the administration of grants, as set forth in Title 45 CFR Part 74 and/or Part 92 and in accordance with the PHS Grants Policy Statement, DHHS Publication No. (OASH) 94-50,000 (Rev. April 1, 1994). A FSR (SF 269) must be submitted annually to the Grants Management Officer within 90 days after the end of the fiscal year.

**Grant Use Limitations:** PAIMI grant funds may be used only for reasonable expenses clearly allocable to, and necessary for, carrying out approved system activities, including both direct and indirect costs. In order to recover the allowable indirect costs of a project, it may be necessary to negotiate and establish an indirect cost rate (unless such a rate has already been established for the applicant organization). For information and assistance regarding the timing and submission of an indirect cost rate proposal, applicants, except for nonprofit organizations, should contact the appropriate office of the DHHS Division of Cost Allocation referenced in the list of "Offices Negotiating Indirect Cost Rates," included in the application kit. State P&A grantees are also required to comply with the audit requirements as specified in Title 45 CFR Parts 74.26 and/or 92.26, as appropriate.

**Key Personnel:** The Executive Director (ED) or its equivalent is considered key personnel for this grant. Therefore, the SAMHSA/DGM and CMHS Program Officer must be notified **before** any changes in this key position may be made. You must provide the name, title, qualifications and a brief background of the person proposed/selected to fill the ED position, even on an interim basis.

**Lobbying Prohibitions:** No part of any appropriated funds contained in this Act may be used, other than for normal and recognized executive-legislative relationships, for publicity or propaganda purposes, for the preparation, distribution, or use of any information kit, pamphlet, booklet, publication, radio, television, or video presentation designed to support or defeat

legislation pending before the Congress, except in presentation to the Congress itself or any State legislature. This has been construed to include "grass roots" lobbying, which consists of appeals to the public suggesting that they contact their elected officials to indicate their support for or opposition to pending legislation, or to urge those representatives to vote a particular way.

No part of any appropriation made under this Act may be used to pay the salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any direct lobbying activity designed to influence legislation or appropriations pending before the Congress or any State legislature.

**Program Income:** No P&A system grantee may profit financially from this grant. All program income accrued under this grant award must be accounted for in accordance with Title 45 CFR Part 74.24 or Part 92, as applicable, and must be reported on the Financial Status Report (FSR) Standard Form (SF)-269 (long form). Program income must be used to further PAIMI grant objectives and must be used only for allowable costs as set forth in the applicable OMB administrative requirements. Program income accrued under this grant award must be used in accordance with the additional cost alternative described in Title 45 CFR Part 74.24 (private non-profit organizations) or 45 CFR Part 92 (State and Tribal organizations).

**Reporting Requirements:** In order for SAMHSA to meet its statutory requirements under GPRA, every eligible State P&A system who engages in knowledge application activities will be required to use a standardized data collection format approved by the Office of Management and Budget (OMB). This approach is designed to document the number and type of activities engaged in by the P&A system, and to assess the percentage of activities that resulted in positive systemic changes within the State. Information on the required data collection format will be provided to the grantees by the designated PAIMI Program Officer.

**Salary Limits:** In any FY, no funds allotted under the PAIMI Program grant may be used to pay the salary of an individual at a rate in excess of Level 1 of the Executive Schedule.

**Sub-Awards:** State P&A systems must assure that all sub awards for performance of PAIMI program activities include the appropriate provisions outlined in Title 45 CFR Parts 74 and 92. The State P&A systems will be responsible for assuring that all sub awards are made by competent contractual agreements consistent with the PAIMI Rules, other applicable federal statutory and regulatory requirements and, as appropriate, applicable State and local laws.

**Technical Assistance and Training Costs:** Costs for P&A system technical assistance and training activities, which include travel expenses for staff, contractors, members of the governing board or advisory council, may not exceed 10 percent of the annual PAIMI grant awarded in a fiscal year.

## APPENDIX G – KNOWLEDGE TRANSFER

It is SAMHSA policy to make the results and accomplishments of its funding activities available to the public. Therefore, eligible State P&A systems are also encouraged to make the results and accomplishments of their programs and activities available to the public through media such as, websites, publications that include informational products, audio-visuals, and performance data, etc.

- **Acknowledgement or Disclaimer Required** - Although no SAMHSA prior approval is required to publish the results of a State P&A system activity, State P&A systems must either place an acknowledgment or provide a disclaimer on all publications that report the results of, or describe, an agency funded activity. These publications must include the following information: 1) an acknowledgment of SAMHSA support, such as, "This publication was made possible by a grant from the U.S. Department of Health and Human Services, Substance Abuse and Mental Health Services Administration, Center for Mental Health Services "; and, 2) a disclaimer, such as, "The contents of this publication are the sole responsibility of the authors and do not represent the official views of the U.S. Department of Health and Human Services, Substance Abuse and Mental Health Services Administration, Center for Mental Health Services."
- **Copyrighted or Copyrightable Publications** - Pursuant to Title 45 CFR Parts 74.36 and 92.34, any copyrighted or copyrightable works developed under a PAIMI Program grant award will be subject to a royalty-free, nonexclusive, and irrevocable license to the government to reproduce, publish, or otherwise use them and to authorize others to do so for Federal government purposes.
- **FREEDOM OF INFORMATION ACT (FOIA)** - All documents produced under a grant award will be made available to the public through procedures established under the Freedom of Information Act (FOIA), as outlined in Title 5 CFR Part 294. If the Federal agency gathering the data does so solely at the request of a private party, the agency is authorized to charge a user fee equal to the additional cost of obtaining the information.