

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

**State Protection and Advocacy for Individuals with Mental
Illness (PAIMI) Program**

Short Title: FY 2013 PAIMI Program

(Initial Announcement)

Request for Applications (RFA) No. SM-13-F1

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

Key Dates:

Application Deadline	Applications are due by October 15, 2012.
Intergovernmental Review (E.O. 12372)	Applicants must comply with E.O. 12372 if their State(s) participates. Review process recommendations from the State Single Point of Contact (SPOC) are due no later than 60 days after application deadline.
Public Health System Impact Statement (PHSIS)/Single State Agency Coordination	Applicants must send the PHSIS to appropriate State and local health agencies by application deadline. Comments from Single State Agency are due no later than 60 days after application deadline.

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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) 2013 State Protection and Advocacy for Individuals with Mental Illness (PAIMI) Program 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 2020 Mental Health and Mental Disorders Topic Area HP 2020-MHMD.

2. EXPECTATIONS

PAIMI Program grant awards shall be used only to support legal-based advocacy services that protect and advocate for the rights of individuals with significant (severe) mental illness (adults) and significant emotional impairments (children/youth) who are at risk for abuse, neglect, and rights violations.

PAIMI Program resources are to serve eligible individuals that meet the definitions of abuse and/or neglect as defined by the authorizing legislation [42 U.S.C.10802 (1), (A) – (D) - Abuse and 42 U.S.C. 10802(5) – Neglect].

Consistent with the PAIMI Act of 2000, the *Protection and Advocacy (P&A) systems must give priority services to representing PAIMI-eligible individuals residing in facilities/institutions, including jails, juvenile detention centers, prisons, etc., before using their annual allotments for PAIMI-eligible individuals residing in the community, including their own home* [42 U.S.C. 10804(d)].

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).

Recovery from mental disorders and/or substance use disorders has been identified as a primary goal for behavioral health care. SAMHSA's Recovery Support Strategic Initiative is leading efforts to advance the understanding of recovery and ensure that vital recovery supports and services are available and accessible to all who need and want them. Building on research, practice, and the lived experiences of individuals in recovery from mental and/or substance use disorders, SAMHSA has developed the following working definition of recovery: *A process of change through which individuals improve their health and wellness, live a self-directed life, and strive to reach their full potential.* See <http://store.samhsa.gov/product/SAMHSA-s-Working-Definition-of-Recovery/PEP12-RECDEF> for further information, including the four dimensions of recovery, and 10 guiding principles.

SAMHSA's standard, unified working definition is intended to advance recovery opportunities for all Americans particularly in the context of health reform, and to help to clarify these concepts for peers/persons in recovery, families, funders, providers, and others. The definition is to be used to assist in the planning, delivery, financing, and evaluation of behavioral health services. SAMHSA grantees are expected to integrate the definition and principles of recovery into their programs to the greatest extent possible. Applicants should indicate how the definition and principles are being applied within their proposed efforts.

2.1 Program Priorities

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

- Ensure that the rights of individuals with mental illness are protected;
- 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
- 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 these incidents occurred.

2.2 Program Limitations

PAIMI Program resources are limited and the number of prospective clients is much larger than the P&A systems are able to serve. Each P&A system may limit its case or case acceptance criteria (consistent with its PAIMI Program resources, i.e., staff, funding, existing obligations, etc.) as part of its annual priorities; however, prospective clients must be informed of any such limitations at the time they request service [42 CFR 51.31(b)].

Requests for assistance must be within the State P&A system's statement of priorities (goals) and objectives (SPO) as stated in its annual PAIMI Program application for that Fiscal Year (FY).

A P&A system that modifies any SPO included with its FY 2013 application must send copies of the modifications to the SAMHSA Grants Management Officer and the CMHS PAIMI Program Coordinator no later than September 30, 2013.

Requests for program services shall also meet the PAIMI client eligibility requirements, [see, 42 U.S.C. 10802(4), 10805(a), and 42 CFR 51.7]; the P&A system's written case or client acceptance criteria for the PAIMI Program; and be consistent with the PAIMI Act [42 U.S.C. 10804(d)], as well as, the SPO submitted to SAMHSA for that FY.

Each P&A system shall notify the CMHS PAIMI Program Coordinator and the SAMHSA Grants Management Officer **at least 30 calendar days prior to a planned or within 48 hours of any unexpected change of an Executive Director.**

Per the PAIMI Act [42 U.S.C. 10802(4)], program services shall target PAIMI-eligible individuals:

(A) Who have a significant mental illness or emotional impairment as determined by a mental health professional qualified under the laws and regulations of the State;

(B)(i)(I) Who is an inpatient or resident in a facility, rendering care or treatment, even if the whereabouts of such inpatient or resident are unknown;

(II) Who is in the process of being admitted to a facility rendering care or treatment, including persons being transported to such a facility; or

(III) Who are involuntarily confined in a municipal detention facility for reasons other than serving a sentence from conviction for a criminal offense; or

(ii) Who satisfy the requirements of subparagraph (A) and live in a community setting, including their own home [limited by 42 U.S.C. 10804(d)]; and

Who are abused, neglected, had rights violated, or who are at risk for abuse, neglect, or rights violations.

Priority for services shall be provided to individuals who are inpatients or residents of public or private care and 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.

2.3 Contracts for Program Operations

An eligible P&A system 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 [42 CFR 51.21(a)].

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:

- Any organization that will operate the full program, shall meet the requirements of the PAIMI Act [42 U.S.C. 10804(a)(1), 42 U.S.C. 10805, and 42 U.S.C. 10821] and have the capacity to perform protection and advocacy activities throughout the State [42 CFR 51.21(b)(1)].
- The eligible P&A system shall institute oversight and monitoring procedures which ensure that this system will be able to meet all applicable terms, conditions, and obligations of the Federal grant [42 CFR 51.21(b)(2)].
- The eligible P&A system and the contracting organization shall enter into a written agreement that meets at a minimum the criteria listed in 42 CFR 51.21(b)(3).

Additional Federal criteria are set forth in the PAIMI Rules at:

- 42 CFR 51.4 - Grants Administration Requirements
- 42 CFR 51.26 - Conflicts of Interest
- 45 CFR Part 74 and Part 92 - Health and Human Services Uniform Grants Requirements

2.4 System Requirements

Under the PAIMI Act [42 U.S.C. 10805(a)], a system established in each State to protect and advocate the rights of PAIMI-eligible individuals shall have the authority to:

- Investigate incidents of abuse and neglect of these individuals if the incidents are reported to the system or if there is probable cause to believe that the incidents occurred;
- Pursue administrative, legal and other appropriate remedies to ensure the protection of individuals who are receiving care or treatment in the State;
- Pursue administrative, legal and other remedies on behalf of an individual with a mental illness who is a resident of the State, but only with respect to matters that occur within 90 days after the discharge of such individual from a facility providing care and treatment;
- Be independent of any agency in the State which provides treatment or services (other than advocacy services) to individuals with mental illness;
- Have access to facilities in the State providing care or treatment; and
- Have access to all records in accordance with the PAIMI Act (42 U.S.C. 10806).

2.5 Governing Authority [42 CFR 51.22]

The governing authority of each State P&A system is responsible for the planning, designing, implementing, and functioning of that 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 P&A system is organized as a private nonprofit entity, the chairperson of the advisory council must be a member of that governing authority (this provision is not required of State-operated P&A systems). Each State P&A system must develop written policies and procedures for selecting its governing authority (board) members and for the annual evaluation of the system's Executive Director. These policies must include the criteria for appointments, staggered term limits, filling vacancies, etc.

At least annually, each State P&A system is required to provide its PAIMI Advisory Council (PAC) with the following information:

- Reports, materials, and fiscal data to enable the review of existing program policies, priorities, and performance outcomes.
- Expenditure reports for the past two fiscal years; and, 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.

2.6 Independent Status [42 U.S.C. 10805]

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

2.7 Access to Facilities and Records [42 CFR 51.42]

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

2.8 Advisory Council [42 CFR 51.23]

Each P&A system shall establish an advisory council to: (1) provide independent advice and recommendations to the P&A system, (2) work jointly with the governing authority in the development of policies and the annual priorities (goals), and (3) to submit a section of the system's annual report as required. The annual report should include the advisory council's **independent** assessment of the PAIMI Program administered by the P&A system.

Members of the PAIMI Advisory Council (PAC) shall include:

- Attorneys, mental health professionals, individuals from the public who are knowledgeable about mental illness, the advocacy needs of persons with mental illness and have demonstrated a substantial commitment to improving mental health services, a provider of mental health services, individuals who are current or former recipients of mental health services, and family members of such individuals. Efforts should be made to include members of racial and ethnic minority groups on the advisory council, to ensure that it reflects the diversity of the State population.
- At least 60 percent of the advisory council membership shall be comprised of individuals who are current or former recipients of mental health services or who are family members of such individuals. At least one family member shall be a primary caregiver for a minor child or youth who is a current or former recipient of mental health services.
- Be chaired by an individual, who is either a current or former recipient of mental health services or who is a family member of such an individual.
- Meet at least 3 times annually and the members terms of appointment must be staggered and of reasonable duration.*

**The Developmental Disabilities Assistance Act of 2000 [42 U.S.C. 15044 (d)] supersedes the term limits set forth in the PAIMI Rules at 42 CFR 51.23. The P&A system must have written policies and procedures to document any new term limits for the PAC].*

2.9 Public Comment [42 CFR 51.24]

On an annual basis, the P&A system shall provide the public with an opportunity to comment on the priorities established by, and the activities conducted by the system in their respective state.

2.10 Annual Reports [42 CFR 51.8]

On or before January 1 of each award year, the State P&A system must prepare and submit an annual Program Performance Report (PPR) to 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 PAIMI PPR must include the following information:

- A description of the P&A system's PAIMI activities and a report on the outcome of the PAIMI Program priorities (goals), objectives, and accomplishments;
- Outcome data for each of the goals and objectives submitted. (Percentages must include denominators and numerators). The actual PAIMI budget expenditures for the respective fiscal year; and,

- A separate section prepared by the PAC, the “Annual Report of the Advisory Council.” This section shall describe the council’s PAIMI Program activities, its independent assessment of the State P&A system’s operations, and its involvement in the grievance resolution process.

2.11 Grievance Procedures [42 CFR 51.25]

Each P&A system shall establish procedures to address grievances from:

- Clients or prospective clients of the P&A system to assure that individuals with mental illness have full access to the services of the program; and
- Individuals who have received or are receiving mental health services in the State, and the family members to assure that the eligible P&A system is operating in compliance with the Act.

At a minimum, the grievance procedures shall provide for:

- An appeal to the governing board or independent entity from any final staff review [See, 42 CFR 51.25(b)(1)].
- An annual report to the governing authority and the advisory council [See, 42 CFR 51.25(b)(2)].
- The identity of individuals responsible for review [See, 42 CFR 51.25(b)(3)].
- A timetable to ensure prompt notification and resolution [See, 42 CFR 51.25(b)(4)].
- A written response to the grievant [See, 42 CFR 51.25(b)(5)].
- The protection of client confidentiality [See, 42 CFR 51.25(b)(6)].

2.12 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 Modernization Act (GPRA) of 2010. Data shall be submitted annually using the most recent Office of Management and Budget (OMB) approved Program Performance Report (PPR) format. The PPR is due on January 1 [42 U.S.C. 10805(a) (7)]. PAIMI grantees shall be required to provide data necessary to compile its performance in the following areas:

- The number of eligible individuals [as defined by the PAIMI Act at 42 U.S.C. 10802(4) as limited by 10804(d)] served by the PAIMI Program.

- The 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.
- The 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.
- The percentage of interventions on behalf of groups of PAIMI-eligible individuals that were concluded successfully.
- The ratio of persons served/impacted per activity/intervention; and, cost per 100 individuals served/impacted.

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

II. AWARD INFORMATION

SAMHSA expects to provide PAIMI grant funds in FY 2013. The awards, which are made as grants, are based on a mandated formula - the population of each State weighted by its relative per capita income [42 U.S.C. 10822(a)(1)(A)(i)(ii)]. In anticipation of an annual PAIMI Program appropriation and for the purposes of this announcement, each eligible applicant shall submit a provisional budget for FY 2013 based upon its PAIMI Program award from the preceding FY (see [Appendix A](#) for FY 2012 PAIMI award amounts). Annual continuation awards will depend on the availability of funds.

In FY 2013, each P&A system shall complete a full application (see [Section IV-.2.2](#) Required Application Components). The FY 2013 application, certifications, and assurances shall remain in effect for 4 years - FY 2013 - 2016 [42 U.S.C. 10821(c)]. In FY 2014, 2015, and 2016, a P&A system shall submit its annual Statement of Priorities and Objectives (SPO) and proposed budget expenditures [42 U.S.C. 10821(a)(1) – (4)] directly to SAMHSA. **Please note that other documents may be required.**

Each annual PAIMI grant award is available for obligation by an eligible State P&A system for two fiscal years and for expenditure of the obligated funds in the next consecutive year, for a total of three years. For example, PAIMI awards made in FY 2013 (October 15, 2012) must be obligated by September 30, 2014 and expended by September 30, 2015.

III. ELIGIBILITY INFORMATION

1. ELIGIBLE APPLICANTS

The PAIMI Program grants are awarded only to “eligible systems,” as defined by the Developmental Disabilities and Bill of Rights Act of 2000 [42 U.S.C. 15053]. “Eligible systems” refers to the governor-designated P&A system established in each of the States, the District of Columbia, the American Indian Consortium, American Samoa, Guam, the Commonwealth of the Northern Mariana Islands, the Commonwealth of Puerto Rico, and the U.S. Virgin Islands.

2. COST SHARING AND MATCH REQUIREMENTS

Cost sharing/match are not required in this program.

IV. APPLICATION AND SUBMISSION INFORMATION

1. ADDRESS TO REQUEST APPLICATION PACKAGE

You may request a complete application package 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.

2. CONTENT AND GRANT APPLICATION SUBMISSION

2.1 Application Package

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

- The Face Page (SF-424); Budget Information form (SF-424A); Project/Performance Site Location(s) form; Disclosure of Lobbying Activities, if applicable; and Checklist. **Applications not submitted on the required forms will be returned for resubmission.**

- 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 PAIMI Program Application does not use Budget Form 424A included in the application package. See [Appendix D](#) for a sample budget and format.

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

2.2 Required Application Components

Applications must include the following 13 required application components:

- **Face Page – SF-424** is the face page. **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. In addition, you must be registered in the Central Contractor Registration (CCR) prior to submitting an application and maintain an active CCR registration during the grant funding period. **REMINDER: CCR registration expires each year and must be updated annually. It can take 24 hours or more for updates to take effect, so check for active registration well before your grant deadline. Grants.gov will not accept your application if you do not have current CCR registration. If you do not have an active CCR registration prior to submitting your paper application, it will be screened out and returned to you without review. The DUNS number you use on your application must be registered and active in the CCR. You can view your CCR registration status at <http://www.bpn.gov/CCRSearch/Search.aspx> and search by your organization's DUNS number. Additional information on the Central Contractor Registration (CCR) is available at <https://www.bpn.gov/ccr/default.aspx>].**
- **Table of Contents** – Include page numbers for each of the major sections of your application and for each attachment.
- **Budget Information Form – PAIMI Applicants do not use SF-424A that is included in the application kit.** You may submit the information either on the PAIMI Proposed Annual Budget form provided in [Appendix D](#) or use an Excel Spread Sheet using the same format.
- **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 is available in the application package at <http://www.samhsa.gov/Grants/ApplicationKit.aspx>.

- **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) 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) of the application.
- **Disclosure of Lobbying Activities –** 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. You must sign and submit this form. If this is not applicable please indicate N/A on the form, sign and submit the form.
- **Checklist –** 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.
- **Documentation of nonprofit status** as required in the Checklist.
- **Annual PAIMI Program Statement of Priorities (Goals) and Objectives (SPO) -** The governing authority, jointly with the PAIMI Advisory Council, must establish the P&A system's annual priorities (goals) and objectives. You must use the definitions and report the priorities (goals) and objectives in the format provided in [Appendix E](#).
- **PAIMI Program Assurances -** Either 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 the Governing Authority. See [Appendix F](#) for the PAIMI Program Assurances.
- **PAIMI Advisory Council (PAC) Chart -** Each State P&A system is required to submit a PAIMI Advisory Council (PAC) information chart with its annual application. See [Appendix G](#) for the format that must be used to provide the PAC 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 were selected for this program and how the program serves PAIMI-eligible constituents and their families. The State Profile shall include the following information:
 - the population of the State;
 - State identification, e.g., rural, frontier, etc.;
 - identify the major population centers;
 - the ethnic, cultural, and racial composition of the State and its major cities;
 - information on the state mental health system, including the number of State operated facilities/hospitals and the locations of these facilities;
 - 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
 - other contextual information that will facilitate SAMHSA's understanding of how the P&A system meets the needs of its PAIMI-eligible constituents and their families.

2.3 Application Formatting Requirements

Please refer to [Appendix B](#), *Checklist for Formatting Requirements for SAMHSA Grant Applications*, for SAMHSA's basic application formatting requirements. Applications that do not comply with these requirements will be returned to you for revision.

3. APPLICATION SUBMISSION REQUIREMENTS

Applications are due by October 15, 2012. SAMHSA provides two options for submission of grant applications: 1) electronic submission, or 2) paper submission. You are encouraged to apply electronically. 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

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

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 www.Grants.gov.

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:

Virginia Simmons
Grants Management Officer
Division of Grants Management
Substance Abuse and Mental Health Services Administration
1 Choke Cherry Road, Room 7-1091
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 "PAIMI Program, SM-12-F1" in item number 12 on the face page (SF-424) of any paper applications. If you require a phone number for delivery you may use (240) 276-1199.

Please send a courtesy Zip file of your application and any required attachments electronically to the PAIMI Program Coordinator at the following e-mail address: PAIMI@samhsa.hhs.gov . **There is a 20MB limit on each e-mailed document. Any document that exceeds the limit should be divided and sent in separate e-mails.**

Your application must be received by the application deadline. 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.

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

V. APPLICATION REVIEW INFORMATION

1. EVALUATION CRITERIA

Under the PAIMI Act and Rules, an eligible P&A system must be operational and must submit an application to SAMHSA at the beginning of each authorization period. SAMHSA is prohibited from making an award to a State P&A system that has not submitted a complete application [42 CFR 5.5(b)].

2. REVIEW AND SELECTION PROCESS

All PAIMI applications will be reviewed for fiscal and programmatic content. If additional information is required to evaluate an application, either a SAMHSA/DGM Grants Management Specialist or a CMHS PAIMI Program team member will contact the person listed on the application face page for additional information.

Each P&A system is expected to respond and resolve application issues/concerns in a timely manner. CMHS will not send funding recommendations forward until the requested information is received, reviewed, and approved.

SAMHSA and CMHS staff will review each application, as well as any other documents that will facilitate assessment of the P&A system, including but not limited to:

- The annual program performance reports (PPR), especially the data and activity narratives;
- Expenditures, program monitoring, and annual Federal audit reports; and
- Technical assistance and/or training requests.

Funding decisions to award State allotments are based on a determination that all application components required under Section IV-2.2 were submitted and meet program and grants management requirements.

VI. ADMINISTRATION INFORMATION

1. AWARD NOTICES

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.

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>).
- Each State P&A system is mandated to comply with certain provisions of the Developmental Disabilities Act [42 U.S.C. 5041 et seq.] and file an Assurance of Compliance Statement with the Administration on Intellectual and Developmental Disabilities (AIDD, Office of Human Development Services, within the Administration for Community Living, DHHS).
- 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:
 - requirements relating to additional data collection and reporting;
 - requirements to address problems identified in review of the application;
or
 - revised budget and narrative justification.
- 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 package 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

Applicants should be aware that the Secretary (DHHS) is required to use the data in the annual State P&A reports to prepare the Department's biannual report to Congress on PAIMI Program activities.

3.1 Annual Program Performance Reports (PPR)

Annual data reports on P&A system activities and relevant data supported by PAIMI Program funds are required on or before January 1 of each year following the grant award [42 U.S.C. 10805(7)].

3.2 Federal Financial Report (FFR)

The Federal Financial Report (FFR) Standard Form 425 (SF-425) is the financial reporting form that replaced and consolidated the Financial Status Report (FSR-269) and the Federal Cash Transaction Report (SF-272). The FFR should be provided to the SAMHSA Division of Grants Management no later than 90 days after the close of the budget period (December 28th). The FFR is submitted on the [SF- 425](#) as the report of expenditures documenting the financial status of the award, according to the official accounting records of the grantee organization.

For questions about the FFR contact Virginia Simmons at 240-276-1422 or Virginia.Simmons@samhsa.hhs.gov .

3.3 Audit Requirements

OMB Circular A-133 provides audit requirements for all entities. An audit is required for all entities that expend \$500,000 or more of Federal funds in each fiscal year. Audit reports for both SAMHSA and other HHS awards with fiscal periods ending on or after January 1, 2008 shall be submitted online via <http://harvester.census.gov/sac>. Audit reports with fiscal periods ending in 2002-2007 must be mailed to the following address: Federal Audit Clearinghouse, Bureau of the Census, 1201 E 10th Street, Jeffersonville, IN 47132.

3.5 The Federal Financial Accountability and Transparency Act (FFATA)

SAMHSA grantees must comply with the requirements of 2 CFR Part 170 - The Federal Financial Accountability and Transparency Act (FFATA) [2 CFR Part 170 – Sub award and Executive Compensation Reporting Requirements]. See <http://www.samhsa.gov/grants/subaward.aspx> for information on implementing this requirement.

VII. AGENCY CONTACTS

For questions about program issues contact:

Karen S. Armstrong, M.S.S.W., L.I.C.S.W., J.D.
PAIMI Program Coordinator
Protection and Advocacy Section, SPSDB – East
SAMHSA/Center for Mental Health Services
State Planning and Systems Development Branch
I Choke Cherry Road, Room 2-1105
Rockville, MD 20857
Office: (240) 276 -1741
Fax: (240) 276 -1770
E-mail: Karen.Armstrong@SAMHSA.hhs.gov

For questions on grants management and budget issues contact:

Virginia Simmons 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 -1422
Fax: (240) 276 -1430
E-mail: Virginia.Simmons@SAMHSA.hhs.gov

Appendix A – FY 2012 Protection and Advocacy for Individuals with Mental Illness State Awards

STATE	ALLOTMENT	STATE	ALLOTMENT
Alabama	\$451,372	New Hampshire	\$429,100
Alaska	\$429,100	New Jersey	\$686,332
Arizona	\$633,443	New Mexico	\$429,100
Arkansas	\$429,100	New York	\$1,591,215
California	\$3,134,571	North Carolina	\$880,448
Colorado	\$429,546	North Dakota	\$429,100
Connecticut	\$429,100	Ohio	\$1,069,448
Delaware	\$429,100	Oklahoma	\$429,100
Dist. of Col.	\$429,100	Oregon	\$429,100
Florida	\$1,642,108	Pennsylvania	\$1,099,025
Georgia	\$933,039	Rhode Island	\$429,100
Hawaii	\$429,100	South Carolina	\$444,614
Idaho	\$429,100	South Dakota	\$429,100
Illinois	\$1,102,843	Tennessee	\$595,224
Indiana	\$610,362	Texas	\$2,204,946
Iowa	\$429,100	Utah	\$429,100
Kansas	\$429,100	Vermont	\$429,100
Kentucky	\$429,100	Virginia	\$657,158
Louisiana	\$429,100	Washington	\$562,766
Maine	\$429,100	West Virginia	\$429,100

Maryland	\$456,215	Wisconsin	\$510,809
Massachusetts	\$521,358	Wyoming	\$429,100
Michigan	\$941,212		
Minnesota	\$450,085	Puerto Rico	\$618,294
Mississippi	\$429,100	American Samoa	\$229,900
Missouri	\$551,979	Guam	\$229,900
Montana	\$429,100	Amer. Ind. Cons.	\$229,900
Nebraska	\$429,100	No. Mariana Isl.	\$229,900
Nevada	\$429,100	U.S. Virgin Isl.	\$229,900

Appendix B – Checklist for Formatting Requirements 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 returned to you for further revisions.***

- Use the SF-424 Application form; Project/Performance Site Location(s) form; Disclosure of Lobbying Activities, if applicable; and Checklist.
- Applications must be received by the application due date and time, as detailed in Section IV-3 of this grant announcement.
- You must be registered in the Central Contractor Registration (CCR) prior to submitting your application. The DUNS number used on your application must be registered and active in the CCR prior to submitting your application.
- 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 Statement of Priorities and Objectives (SOP) submitted electronically, see separate requirements in Appendix C, "Guidance for Electronic Submission of Applications.")
- 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 result in your application being returned for revisions. 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 (SF-424) State Demographics and Contextual Profile
- Table of Contents
- Statement of Priorities and Objective (SOP)
- Proposed Annual Budget

- PAIMI Program Assurances
- PAIMI Advisory Council Chart
- Project/Performance Site Location(s) Form
- Disclosure of Lobbying Activities (Standard Form LLL, if applicable)
- Checklist
- Applications should comply with the following requirements:
 - 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 State Demographics and Contextual Profile should be page 1, the table of contents should be page 2, etc. Attachments should be labeled and separated from the Statement of Priorities and Objective (SOP) and the pages should be numbered to continue the sequence.
 - 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 C – 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. It can take 24 hours or more for updates to take effect, so check for active registration well before your grant deadline. Grants.gov will not accept your application if you do not have active CCR registration. The DUNS number you use on your application must be registered and active in the CCR. You can view your CCR registration status at <https://www.bpn.gov/CCRSearch/Search.aspx> and search by your organization's DUNS number. Additional information on the Central Contractor Registration (CCR) is available at <https://www.bpn.gov/ccr/default.aspx>. 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 Statement of Priorities and Objectives and other attached documents using Microsoft Office 2007 products (e.g., Microsoft Word 2007, Microsoft Excel 2007, etc.). If you do not have access to Microsoft Office 2007 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 2007 or PDF may result in your file being unreadable by our staff.

Formatting requirements for SAMHSA e-Grant application files are as follows:

- Project Narrative File (PNF): The PNF consists of the State Demographics and Contextual Profile, Table of Contents and the Statement of Priorities and Objectives in this order and numbered consecutively.
- Other Attachment File 1: The first Other Attachment file will consist of the PAIMI Proposed Annual Budget Expenditures
- Other Attachment File 2: Statement of PAIMI Assurances FY 2013 in this order and numbered consecutively.
- Other Attachment File 3: The PAIMI Advisory Council (PAC) Chart and other attachments.

Formatting requirements for SAMHSA grant applications are described in Appendix A of this announcement. These requirements also apply to applications submitted electronically. 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.

Be sure to scan all images at 75 dpi and save as a jpeg or pdf file. Also, be sure to label each file according to its contents, e.g., "Project Narrative", "Other Attachment 1", and "Other Attachment 2".

With the exception of 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 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 D- PAIMI Proposed Annual Budget Expenditures

FY _____ STATE _____

In the section below for each funded staff position provide the title, annual salary, portion of staff time (full time equivalent charged to the PAIMI grant, and the costs billed to the PAIMI grant for each position.

ESTIMATED PAIMI BUDGET/EXPENDITURE PLAN			
PAIMI Personnel/Position Title	Annual Salary	Percent/Portion Of Time Charged To PAIMI	Cost Billed to PAIMI
Example Attorney	\$50,000	.5	\$25,000
Subtotal			

In the section below include the fringe benefits of professional and other supporting staff engaged in the project activities.

CATEGORIES	COST
Fringe Benefits (PAIMI only)	
Travel Expenses (PAIMI only)	
Subtotal	

Include supplies, communications, and rental of equipment and space directly related to PAIMI project activities in the section below.

EQUIPMENT - TYPE (PAIMI ONLY)	COST
Subtotal	

SUPPLIES - TYPE (PAIMI ONLY)	COST
Subtotal	

In the section below provide the required budget expenditure information for each contractual arrangement for PAIMI Program services. Include copies of all contracts and sub-contracts (e.g., personal service contracts) in the budget section of the application. **Any contract or sub-contract that exceeds \$25,000 must be pre-approved by SAMHSA Grants Management Officer.**

CONTRACTUAL COSTS (include consultants) -PAIMI Program Only.					
Position or Entity	Service Provided	Salary or Fee	Fringe Benefit Costs	Travel Expenses	Other Costs
e.g., Legal services contracts					
Subtotal					

In the section below provide technical assistance and training costs for staff, governing board and advisory council members.

TECHNICAL ASSISTANCE/TRAINING COSTS (PAIMI Program Only)			
Categories	Travel Costs	Other Expenses	Subtotal
Staff			
Governing Board			
Advisory Council			
Subtotal			

In the section below include any additional PAIMI expenses including expenses for PAIMI litigation (new and current).

Other expenses (PAIMI only)	COST
Subtotal	

Indirect Costs (PAIMI only)		
Does your P&A have an approved Federal indirect cost rate?	Yes	No
If yes, what is the approved rate?		

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

Appendix E - Statement of Priorities and Objectives (SPO) Definitions and Format

DEFINITIONS

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.

Objective - is the activity or activities undertaken to achieve a particular annual program priority (goal). Objectives must have quantifiable targets, measurable outcomes and be completed within the FFY. Regulatory, legislative, and litigation activities may span several FFYs, and must be divided into sequential steps that are achievable in the FFY.

Target Population – is the identify the specific PAIMI-eligible populations to be served under each objective, e.g., adolescents in juvenile detention facilities, individuals in prisons, detention centers, jails, forensic units in State- hospitals, foster children in residential treatment centers, nursing facilities, etc.

Target - is a numerical statement of what is desired or expected, as a result of the objective. *All targets shall be quantifiable. Targets in the form of “development of a (one) protocol for facility monitoring, initiate one class action, etc.” will be acceptable. Any percentages used must include denominators and numerators.*

Expected Outcome - in the application, the P&A system shall include in quantifiable terms, the outcome expected as a result of the activity undertaken [Note: The actual results of each objective shall be addressed in the corresponding PPR].

Objective Met or Not Met - is a statement of whether the expected outcome target for each objective was “met or “not met.” is required, as well as a description of future activities to address the unmet objective as appropriate. [Note: This information shall be provided in the corresponding PPR].

Examples for the annual PAIMI Program Statement of Priorities (Goals) and Objectives and the format to be used for reporting the SOP within your application:

Example # 1

PRIORITY/GOAL: Prevent abuse in community-based or long-term care facilities.
OBJECTIVE: Investigate complaints of abuse and neglect in community-based or long-term care facilities.

TARGET POPULATION: 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.
Expected TARGET: 30 Investigations [Note: The actual target will be reported in the PPR for the same FFY].
Expected OUTCOME: 33 complaints investigated. [Note: The actual outcome resulting from each objective listed in the application shall be addressed in the corresponding PPR.]
OBJECTIVE MET OR NOT MET: Objective met. [Note: This information shall be provided in the PPR.]

Example #2

PRIORITY/GOAL: Prevent neglect in jails and detention facilities.
OBJECTIVE: Investigate complaints of neglect (e.g., failure to receive mental health treatment) in jails and detention centers.
TARGET POPULATION: PAIMI-eligible persons residing in jails and detention facilities.
Expected TARGET: 30 investigations
Expected OUTCOME: 23 complaints investigated. [Note: This information shall be provided in the PPR.]
OBJECTIVE MET OR NOT MET: Objective not met. Local jails neither cooperated in notifying PAIMI Program of incidences of neglect nor provided access to inmates. Improving access will be a goal for next year. [Note: This information shall be provided in the PPR.]

Appendix F – PAIMI Program Assurances

FY 2013 STATEMENT OF PAIMI ASSURANCES
<p>As the duly authorized representative of _____, the eligible (Official name of the P&A agency) Protection and Advocacy system for the State of _____, I certify that the applicant P&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 U.S.C. 10804 (a)] shall abide by the following assurances that the applicant P&A system:</p>
<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. 15044 <i>et seq.</i>] and will operate its system consistent with the all requirements of the Act.</p>
<p>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.</p>
<p>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.</p>
<p>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.</p>
<p>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.</p>
<p>6. PAIMI Program funds shall only be used to support services and activities related to PAIMI-eligible clients.</p>
<p>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).</p>
<p>8. Will provide such other information as the Secretary, U. S. Department of Health and Human Services may prescribe by regulation.</p>
<p>9. Its governing authority is fully compliant with PAIMI Regulation 42 CFR 51.22.</p>
<p>10. Establishes its program priorities as mandated under PAIMI Regulation 42 CFR 51.24.</p>
<p>11. Has a written grievance policy and procedures that complies with PAIMI Regulation 42 CFR 51.25.</p>

12. Has a written conflicts of interest policies and practices consistent with PAIMI Regulation 42 CFR 51.26.

13. Conducts its protection and advocacy activities consistent with PAIMI Regulation 42 CFR 51.31.

Print Name of the P&A System Executive Director

Signature of the P&A System Executive Director

Date

Appendix G - The PAIMI Advisory Council Chart (PAC)

FFY _____ STATE _____

Indicate the total number of mandated seats [B.1. b. – B.1.h.] on the PAIMI Advisory Council (PAC). Count each member once.		
The number of seats on the PAC.	Total	Primary Identification
B.1. a. How many PAC members are serving on the council as of September 30. Put a “V” if a seat is vacant.		
B.1. b. Individual(s) who are current recipients/former recipients (CR/FR) of mental health (MH) services.		
B.1. c. *Family member(s) of individuals who are CR/FR of MH services.		
*At least one (1) PAC member must be from B.1.d.		
B.1. d. Family member(s) of a minor child or youth (under 18 years old) who is a CR/FR of MH services.		
B.1. e. Mental health service provider(s)		
B.1. f. Mental health professional(s).		
B.1. g. Attorney(s)		
B.1. h. Individual(s) from the public knowledgeable about mental illness.		
B.1. i. Others (please identify by position held).		
B. 2. Demonstrate that at least 60% of the Advisory Council membership is comprised of individuals who are current or former recipients (C/FR) of mental health services (MHS), or who are family members of such individuals.	B.2. A. Total number of PAC members on 9/30	
	B. 2.B. Number of PAC members who are either C/FR of MH services or family members of these individuals	
	B. 2. C. Percentage of PAC members who are C/FR of MH services or family members of these individuals (B.2.B. divided by B.2.A.)	

* Each PAC member may only be counted once to meet the 60 percent requirement for individuals who are either CR/FR of mental health services or family members of such individuals. To meet the 60 percent requirement, at least 4 PAC seats must be filled by individuals that are CR/FR of mental health services, including at least one family member of a minor child/adolescent.

B.3. Number PAC seats vacant as of 9/30.	Total	Identify each vacant PAC position and the date it was vacated below.
Insert additional rows as needed.		

CATEGORIES AND DEFINITIONS

Racial/Ethnic Background

The following minimum standards shall be used for all federal administrative and grants reporting or record keeping requirements that include data on race and ethnicity which can be found at: http://www.whitehouse.gov/omb/fedreg_1997standards/ .

Ethnicity:

Hispanic or Latino: A person of Cuban, Mexican, Puerto Rican, South or Central American descent.

Not of Hispanic or Latino Origin:

Race:

American Indian or Alaska Native (include the tribal affiliation for the Alaska native when possible) - A person having origins in any of the original peoples of North and South America (including Central America), and who maintains tribal affiliation or community attachment.

Asian - A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian subcontinent, including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand and Vietnam.

Black or African American - A person having origins in any of the Black racial groups of Africa.

Native Hawaiian or other Pacific Islander - A person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific islands.

White - A person having origins in any of the original peoples of either Europe, the Middle East, or North Africa.

Respondents have the option of selecting one or more racial designations.

Appendix H - Additional Grant Award Requirements

Accounting Records and Disclosure: State P&A systems and their subcontractors must maintain records that 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

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*** [7 U.S.C. 7012].

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: Submission of audit reports in accordance with the procedures established in OMB Circular A-133 is required by the Single Audit Act Amendments of 1966 (P.L. 104-156). An audit is required for all entities that expend \$500,000 or more of Federal funds in each fiscal year and is due to the Federal Audit Clearinghouse within 30 days of receipt from the auditor or within nine (9) months of the fiscal year, whichever occurs first. The OMB Circular A-133, which is applicable for all entities other than for-profit organizations, now require all auditees to submit a completed data collection form (SF-SAC) in addition to the audit report.

Audit reports for both SAMHSA and other HHS awards with fiscal periods ending on or after January 1, 2008 shall be submitted online via <http://harvester.census.gov/sac/>.

Audit reports with fiscal periods ending in 2002 – 2007 must be mailed to the following address:

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; HHS/PHS Grants Policy Statement (Rev. June 2007); 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:

- Failure to submit an annual program performance report (PPR) and/or a PAIMI advisory council report in the SAMHSA designated format;
- Failure to submit the required annual reports by the statutory due date of January 1; and
- 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 Intellectual and Developmental Disabilities (AIDD), 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 AIDD, 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 HHS Grants Policy Statement (Rev. June

2007). A FFR (SF 425) 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 was already established **and is current** 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 Directors (ED) are considered key personnel for this grant. Therefore, the SAMHSA/GMO and PAIMI Program Coordinator must be notified **before** any changes in this key position are 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 includes "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 Federal Financial Report (FFR) Standard Form (SF) - 425. 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).

GPRA 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 FFY, 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 (this includes salaries on sub-awards and contracts).

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, tribal, 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 I- 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:

- 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
- 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.