



STATE OF NORTH CAROLINA
OFFICE OF STATE BUDGET AND MANAGEMENT



Employment First State for Individuals with Disabilities

ROY COOPER
GOVERNOR

KRISTIN WALKER
STATE BUDGET DIRECTOR

October 18, 2023

TO: Joint Legislative Commission on Governmental Operations

FROM: Kristin Walker *Kristin Walker*

SUBJECT: New Grant Award - Comprehensive Community Mental Health Services for Children with Serious Emotional Disturbances (SED)

Pursuant to Session Law 2023-134 Section 4.2(a), the Office of State Budget and Management (OSBM) submits the attached Notification of Grant Award – Comprehensive Community Mental Health Services for Children with Serious Emotional Disturbances (SED) - from the North Carolina Department of Health and Human Services, Division of Child and Family Wellbeing for consultation with the Joint Legislative Commission on Governmental Operations.

The Comprehensive Community Mental Health Services for Children with Serious Emotional Disturbances (SED) grant is a new funding opportunity from the U.S. Department of Health and Human Services, Substance Abuse and Mental Health Services Administration (SAMHSA).

If you have questions or concerns, please contact OSBM Budget Analyst Pamela Johnson by email at pamela.johnson@osbm.nc.gov.

cc: Chairs, Senate Committee on Appropriations/Base Budget
Chairs, House Appropriations Committee
Fiscal Research Division
Jennifer Neisner, OSBM
Pamela Johnson, OSBM

Notification of Application for Grant Funds/Awards, 2022-23

Office of State Budget and Management, 116 W. Jones Street, Raleigh, NC 27603, 984-236-0600.



Instructions at <https://www.osbm.nc.gov/budget/common-agency-requests/agency-reporting-grant-applicationsawards>

1 Department	Department of Health and Human Services
2 Division (<i>except in DHHS</i>)..... DHHS only, choose division from drop down list.....	Division of Child and Family Well-Being
3 Contact person (<i>name</i>)	Kristin Jerger
4 Phone number	(919) 830-1740
5 E-mail	kristin.jerger@dhhs.nc.gov
6 Funding Entity (grantor)	SAMHSA
7 CFDA number.....	93.104
8 Grant title	FY 2023 Grants for Expansion and Sustainability of the Comprehensive Community Mental Health Services for Children with Serious Emotional Disturbances (Short Title: CMHI, NOFO #SM-23-103)
9 Grant application deadline (<i>MM/DD/YY</i>)	03/21/23
10 Start date of grant (<i>MM/DD/YY</i>)	09/30/23
11 End date of grant (<i>MM/DD/YY</i>)	09/29/27
12 Application type	New
13 Is this grant already in agency's continuation budget?	No
14 Budget code the grant will be expended in (<i>XXXXX</i>).....	14435
15 Fund code (<i>XXXX</i> or <i>NA</i>)	1160
16 Is there a state matching requirement?	Yes
17 If yes, what is the matching requirement?	Years 1-3 -- \$1 for every \$3 (1:3), Year 4 -- \$3 for every \$3 (1:1)
18 If yes, what is the source of state funds being used to match grant funds.	General Fund
19 Is there a maintenance of effort (MOE) requirement?	No
20 If yes, what is the MOE?	
21 Is an additional General Fund appropriation required to meet the state match requirement?	No
22 Will any of these funds be passed through to local governments or non-state entities?	Yes
23 If yes, identify affected entities by type	local govt AND private non-profit
24 Will additional state monies be required to continue the program if grant expires or is reduced?	No
25 If yes, is this a requirement of the grant?	
26 Are new FTEs funded through the grant?.....	Yes

DocuSigned by:
Alexia Forte
BAA461884C3244D... 10/06/23 | 1:25 PM EDT

DocuSigned by:
Yvonne Copeland
4C0A837DFCB422... 10/05/23 | 12:20 PM EDT

	SFY 2021-22	For 2022-23		SFY 2023-24	SFY 2024-25	SFY 2025-26
	Actual	Complete either Authorized or Proposed	Authorized	Proposed	Proposed	Proposed
27 If yes, give the number by type for each year: <i>Permanent</i>						
<i>Time-Limited</i>				4.000	4.000	4.000
28 Amount of grants funds <u>applied for</u> in each year				\$2,250,000.00	\$3,000,000.00	\$3,000,000.00
29 Amount of grants funds <u>awarded</u> in each year				\$2,778,854.00	\$2,749,238.00	\$2,738,738.00

30 Purpose of grant or amendment

A three-tiered model will be used to address a hierarchy of integrated needs to better entrench SOC as central to supporting and sustaining Comprehensive Community Mental Health Services (CCMHS) for children/youth with or at risk of SED as standard practice and procedure in the State of North Carolina. The proposed model is based on the identified needs and will use an Implementation Team (IT) and an Evaluation Team (ET) to support the Project Director (PD) and Lead Family Coordinator (LFC) to meet the goals, objectives, required, and selected allowable activities outlined below. The Policy Level will engage a System of Care Advisory Council (SOC-AC) and committees to be determined, e.g., Executive, Data, Diversity/Equity, Legislative, Strategy, etc. The SOC-AC will eventually be subsumed into a state agency or other NC organization but will start as an autonomous body for the duration of the grant which will focus on establishing, resourcing, and coordinating its efforts. The Collaborative Level will engage up to 20 established Community Collaboratives including those in the area selected to receive the HFW teams. A process for selecting Collaboratives to be representative of the state will be used and activities to increase infrastructure, data management, RBA and SOC understanding, and tracking services and resources will help to focus direction and sustainable capacity. Services for SED youth require resources across a continuum, e.g., parenting courses, prevention, recovery, and SDOH needs, and the collaboratives will leverage their membership of Community-Based Organizations (CBOs) and Providers to identify resource needs and existing assets. The Service Level will ensure that voice and choice of youth and families are ensured, screening for SOC system component involvement for youth, e.g., juvenile justice, social services, foster care, education, as well as trauma impact and resilience screenings. Families will also be screened for SDOH needs with referral and follow-up. Three HFW teams will be formed and evaluated for offering quality service, assessing for obstacles and resource needs, and will refer for enhanced EBP based services directly to youth. By including the three levels, the SOC for CCMHS will aim to have policy and legislative support, improve community support via Collaborative leadership, routinely assess for and identify resource needs, and ensure that direct services for youth and families are of the highest quality. Implementation support and evaluation support will be used to complete all documentation, sustainability planning, planning documents, and to complete systems, process, and outcome evaluations.

31 Comments

Return completed form as email attachment and indicate in message that proper agency sign-offs have been obtained. Contact your OSBM budget analyst if you have questions.



<p>Recipient Information</p> <p>1. Recipient Name STATE OF NORTH CAROLINA DEPARTMENT OF HEALTH & HUMAN SERVICES 101 BLAIR DR RALEIGH, NC 27603</p> <p>2. Congressional District of Recipient 02</p> <p>3. Payment System Identifier (ID) 1561636462A3</p> <p>4. Employer Identification Number (EIN) 561636462</p> <p>5. Data Universal Numbering System (DUNS) 809785363</p> <p>6. Recipient's Unique Entity Identifier DKT3LLBWFVL3</p> <p>7. Project Director or Principal Investigator Kristin K Jerger , MD kristin.jerger@dhhs.nc.gov 919-830-1740</p> <p>8. Authorized Official Dr. Kristin Jerger kristin.jerger@dhhs.nc.gov 919-830-1740</p>	<p>Federal Award Information</p> <p>11. Award Number 1H79SM087732-01</p> <p>12. Unique Federal Award Identification Number (FAIN) H79SM087732</p> <p>13. Statutory Authority Sects 561-565 of the Public Health Service Act, as amended</p> <p>14. Federal Award Project Title NC System of Care Expansion: Focus on Governance Development and High-Fidelity Wraparound Program</p> <p>15. Assistance Listing Number 93.104</p> <p>16. Assistance Listing Program Title Comprehensive Community Mental Health Services for Children with Serious Emotional Disturbances (SED)</p> <p>17. Award Action Type New Competing</p> <p>18. Is the Award R&D? No</p> <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 10px;"> <tr> <th colspan="2" style="text-align: center;">Summary Federal Award Financial Information</th> </tr> <tr> <td colspan="2" style="background-color: #e0e0e0;">19. Budget Period Start Date 09/30/2023 – End Date 09/29/2024</td> </tr> <tr> <td>20. Total Amount of Federal Funds Obligated by this Action</td> <td style="text-align: right;">\$2,778,854</td> </tr> <tr> <td> 20a. Direct Cost Amount</td> <td style="text-align: right;">\$2,715,490</td> </tr> <tr> <td> 20b. Indirect Cost Amount</td> <td style="text-align: right;">\$63,364</td> </tr> <tr> <td>21. Authorized Carryover</td> <td></td> </tr> <tr> <td>22. Offset</td> <td></td> </tr> <tr> <td>23. Total Amount of Federal Funds Obligated this budget period</td> <td style="text-align: right;">\$2,778,854</td> </tr> <tr> <td>24. Total Approved Cost Sharing or Matching, where applicable</td> <td style="text-align: right;">\$926,287</td> </tr> <tr> <td>25. Total Federal and Non-Federal Approved this Budget Period</td> <td style="text-align: right;">\$3,705,141</td> </tr> <tr> <td colspan="2" style="border-top: 1px dashed black;"></td> </tr> <tr> <td colspan="2" style="background-color: #e0e0e0;">26. Project Period Start Date 09/30/2023 – End Date 09/29/2027</td> </tr> <tr> <td>27. Total Amount of the Federal Award including Approved Cost Sharing or Matching this Project Period</td> <td style="text-align: right;">\$3,705,141</td> </tr> </table> <p>28. Authorized Treatment of Program Income Additional Costs</p> <p>29. Grants Management Officer - Signature Lesley Schrier</p>	Summary Federal Award Financial Information		19. Budget Period Start Date 09/30/2023 – End Date 09/29/2024		20. Total Amount of Federal Funds Obligated by this Action	\$2,778,854	20a. Direct Cost Amount	\$2,715,490	20b. Indirect Cost Amount	\$63,364	21. Authorized Carryover		22. Offset		23. Total Amount of Federal Funds Obligated this budget period	\$2,778,854	24. Total Approved Cost Sharing or Matching, where applicable	\$926,287	25. Total Federal and Non-Federal Approved this Budget Period	\$3,705,141			26. Project Period Start Date 09/30/2023 – End Date 09/29/2027		27. Total Amount of the Federal Award including Approved Cost Sharing or Matching this Project Period	\$3,705,141
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30. Remarks																											

Acceptance of this award, including the "Terms and Conditions," is acknowledged by the recipient when funds are drawn down or otherwise requested from the grant payment system.



Notice of Award

FY23 System of Care Expansion & Sustainability
Department of Health and Human Services
Substance Abuse and Mental Health Services Administration

Issue Date: 09/14/2023

Center for Mental Health Services

Award Number: 1H79SM087732-01
FAIN: H79SM087732
Program Director: Kristin K Jerger MD

Project Title: NC System of Care Expansion: Focus on Governance Development and High-Fidelity Wraparound Program

Organization Name: STATE OF NORTH CAROLINA DEPARTMENT OF HEALTH & HUMAN SERVICES

Authorized Official: Dr. Kristin Jerger

Authorized Official e-mail address: kristin.jerger@dhhs.nc.gov

Budget Period: 09/30/2023 – 09/29/2024

Project Period: 09/30/2023 – 09/29/2027

Dear Grantee:

The Substance Abuse and Mental Health Services Administration hereby awards a grant in the amount of \$2,778,854 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to STATE OF NORTH CAROLINA DEPARTMENT OF HEALTH & HUMAN SERVICES in support of the above referenced project. This award is pursuant to the authority of Sects 561-565 of the Public Health Service Act, as amended and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Award recipients may access the SAMHSA website at www.samhsa.gov (click on "Grants" then SAMHSA Grants Management), which provides information relating to the Division of Payment Management System, HHS Division of Cost Allocation and Postaward Administration Requirements. Please use your grant number for reference.

Acceptance of this award including the "Terms and Conditions" is acknowledged by the grantee when funds are drawn down or otherwise obtained from the grant payment system.

If you have any questions about this award, please contact your Grants Management Specialist and your Government Project Officer listed in your terms and conditions.

Sincerely yours,
Lesley Schrier
Grants Management Officer
Division of Grants Management

See additional information below

SECTION I – AWARD DATA – 1H79SM087732-01

Award Calculation (U.S. Dollars)

Personnel(non-research)	\$154,875
Fringe Benefits	\$17,126
Travel	\$5,883
Supplies	\$58,688
Contractual	\$2,478,918
Direct Cost	\$2,715,490
Indirect Cost	\$63,364
Approved Budget	\$3,705,141
Federal Share	\$2,778,854
Non-Federal Share	\$926,287
Cumulative Prior Awards for this Budget Period	\$0
AMOUNT OF THIS ACTION (FEDERAL SHARE)	\$2,778,854

SUMMARY TOTALS FOR ALL YEARS	
YR	AMOUNT
1	\$2,778,854
2	\$2,749,238
3	\$2,738,738
4	\$2,728,238

Note: Recommended future year total cost support, subject to the availability of funds and satisfactory progress of the project.

Fiscal Information:

CFDA Number:	93.104
EIN:	1561636462A3
Document Number:	23SM87732A
Fiscal Year:	2023

IC	CAN	Amount
SM	C96J546	\$2,778,854

IC	CAN	2023	2024	2025	2026
SM	C96J546	\$2,778,854	\$2,749,238	\$2,738,738	\$2,728,238

SM Administrative Data:

PCC: CMHI-23 / OC: 4145

SECTION II – PAYMENT/HOTLINE INFORMATION – 1H79SM087732-01

Payments under this award will be made available through the HHS Payment Management System (PMS). PMS is a centralized grants payment and cash management system, operated by the HHS Program Support Center (PSC), Division of Payment Management (DPM). Inquiries regarding payment should be directed to: The Division of Payment Management System, PO Box 6021, Rockville, MD 20852, Help Desk Support – Telephone Number: 1-877-614-5533.

The HHS Inspector General maintains a toll-free hotline for receiving information concerning fraud, waste, or abuse under grants and cooperative agreements. The telephone number is: 1-800-HHS-TIPS (1-800-

447-8477). The mailing address is: Office of Inspector General, Department of Health and Human Services, Attn: HOTLINE, 330 Independence Ave., SW, Washington, DC 20201.

SECTION III – TERMS AND CONDITIONS – 1H79SM087732-01

This award is based on the application submitted to, and as approved by, SAMHSA on the above-title project and is subject to the terms and conditions incorporated either directly or by reference in the following:

- a. The grant program legislation and program regulation cited in this Notice of Award.
- b. The restrictions on the expenditure of federal funds in appropriations acts to the extent those restrictions are pertinent to the award.
- c. 45 CFR Part 75 as applicable.
- d. The HHS Grants Policy Statement.
- e. This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

Treatment of Program Income:

Use of program income – Additive: Recipients will add program income to funds committed to the project to further eligible project objectives. Sub-recipients that are for-profit commercial organizations under the same award must use the deductive alternative and reduce their subaward by the amount of program income earned.

In accordance with the regulatory requirements provided at 45 CFR 75.113 and Appendix XII to 45 CFR Part 75, recipients that have currently active Federal grants, cooperative agreements, and procurement contracts with cumulative total value greater than \$10,000,000 must report and maintain information in the System for Award Management (SAM) about civil, criminal, and administrative proceedings in connection with the award or performance of a Federal award that reached final disposition within the most recent five-year period. The recipient must also make semiannual disclosures regarding such proceedings. Proceedings information will be made publicly available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (FAPIIS)). Full reporting requirements and procedures are found in Appendix XII to 45 CFR Part 75.

SECTION IV – SM SPECIAL TERMS AND CONDITIONS – 1H79SM087732-01

REMARKS

New Award

1. This Notice of Award (NoA) is issued to inform your organization that the application submitted through the funding opportunity ***SM-23-013: Grants for Expansion and Sustainability of the Comprehensive Community Mental Health Services for Children with Serious Emotional Disturbances (System of Care (SOC) Expansion and Sustainability Grants) - CMHI-23*** has been selected for funding.
 - This award reflects approval of the budget submitted March 17, 2023 as part of the application by your organization.
 - This award also reflects acceptance of the Disclosure of Lobbying Activities (SF-LLL) form received via 2-way correspondence on June 29, 2023.

Please note the following and if applicable, reallocate any differences due to adjustments elsewhere in your revised budget for reasonable, allowable and necessary grant costs/activities that align with the goals and objectives of your application and [NOFO SM23-013](#):

- A. **Contractual Other Costs for Alliance Health, Contractual Other Costs for Eastpointe Human Service, Contractual Other Costs for Sandhills Center, Contractual Other Costs for Trillium Health Resources and Contractual Other Costs for Vaya Health - Collaborative HFW Project Scholarships \$5,000 each-** Per the [HHS Grants Policy Statement](#), *scholarships are allowable only when the purpose of the grant is to provide training to selected participants and the charge is approved by the OPDIV*. Since this is not a training grant, the requested *Scholarships* cost is not allowable. Your organization must use other sources of funds **other than the federal request and the non-federal match** for unallowable costs.
 - B. **Contractual Supplies Costs for Eastpointe Human Services, Contractual Supplies Costs for Partners Health Management, Contractual Other Costs for Trillium Health Resources and Contractual Other Costs for Vaya Health-** Provider compensation for completing all three NOMS interviews (\$50) and screening instruments (\$15): Per [NOFO SM-23-013](#), a recipient or treatment or prevention provider may provide up to \$30 non-cash incentive to individuals to participate in required data collection follow up. The use of incentives must be appropriate, judicious and conservative and that incentives do not provide an “undue inducement” that removes the voluntary nature of participation. Specifically, incentives may **only** be used to encourage participation in data collection follow-up activities, such as post-activity training or event surveys, questionnaires, evaluations, and follow-up interviews. Incentives may NOT be used to encourage attendance at any a programmatic activity, training, or event. These incentives may not be offered to staff, contractors or volunteers.
2. **Recipients are expected to plan their work and ensure that funds are expended within the 12-month budget period reflected on this Notice of Award.** If activities proposed in the approved budget cannot be completed within the current budget period, SAMHSA cannot guarantee the approval of any request for carryover of remaining unobligated funding.
 3. **All responses to award terms and conditions must be submitted as .pdf documents in eRA Commons.** For more information on how to respond to tracked terms and conditions or how to submit a post award amendment request please refer to <https://www.samhsa.gov/grants/grants-training-materials> under heading Grant Management Reference Materials for Grantees.
 4. **All Post-Award Amendments must be submitted in eRA Commons for prior approval.**

Please refer to the SAMHSA website for specific SAMHSA guidance on how to submit a post-award amendment in eRA Commons: <https://www.samhsa.gov/grants/grants-management/post-award-amendments>

Prior approval is required for but is not limited to: change in key personnel and level of effort, budget revision, change in scope, formal carryover request, and no cost extension. Reference the full prior approval term on the SAMHSA website under Standard Terms and Conditions at: <https://www.samhsa.gov/grants/grants-management/notice-award-noa/standard-terms-conditions>.

Technical questions regarding the submission of a post-award amendment in eRA Commons should be directed to the eRA Service Desk: <http://grants.nih.gov/support/>

5. Register Program Director/Project Director (PD) in eRA Commons:

If you have not already done so, you must register the PD in eRA Commons to assign a Commons ID. Once the PD has received their Commons ID, please send this information to your Grants Management Specialist. You can find additional guidance on Managing eRA User Accounts at <https://www.samhsa.gov/grants/grants-training-materials/managing-user-accounts>.

6. Key Personnel

Key personnel (or key personnel positions, if staff has not been selected) are listed below:

- **Kristin Jerger, Project Director @ 100% level of effort**
- **Carissa (Teka) Dempson, Lead Family Coordinator @ 100% level of effort**

Organizations receiving Federal Funds may not exceed 100% level of effort for any program staff member (Key Personnel or otherwise) across all federally funded sources.

Any changes to Key Personnel including level of effort involving separation from the project for any continuous period of three months or longer, or a reduction in time dedicated to the project of 25% or more requires prior approval and must be submitted as a post award amendment in eRA Commons.

Note: If an organization is awarded a grant and chooses to move forward with hiring an individual for a Key Personnel position before receiving SAMHSA's formal approval, this will be done at the organization's own risk.

SPECIAL TERMS

Disparity Impact Statement (DIS)

By November 29, 2023, submit a completed SAMHSA Disparity Impact Statement via the View Terms Tracking Details page in eRA Commons.

SAMHSA's Behavioral Health Disparity Impact Statement (DIS) is a data-driven, quality improvement approach to advance behavioral health equity for all. The DIS is a grant requirement that helps grantees identify racial, ethnic, sexual, and gender minority groups at the highest risk of experiencing behavioral health disparities within

their grant projects and implement a disparity reduction action plan with a quality improvement process to address and close the identified gap(s). The DIS should be consistent with the Population of Focus and Statement of Need identified in the grant application and include the components as described below. Please refer to the DIS worksheet, examples, and other resources on the SAMHSA website at:

<https://www.samhsa.gov/grants/grants-management/disparity-impact-statement>

The main components of the DIS are:

- Identify and describe the behavioral health disparity within the population of focus of the grant project that experience disparate access, use, and outcomes.
- Provide a demographic table of the proposed number of individuals to be served, reached, or trained in the grant project that covers the entire grant period. Identify the data sources used to support the rationale for how the determination of the disparity was made.
- Identify the social determinants of health (SDOH) domains and the Culturally and Linguistically Appropriate Services in Health and Health Care ([CLAS](#)) Standards that the grantee organization will work to address and improve for the identified population(s) of focus.
- Develop a disparity reduction quality improvement action plan to address behavioral health disparities based on the available data on access, use, and outcomes.

In accordance with the reporting requirements outlined in the Notice of Funding Opportunity (NOFO), the grantee is required to provide an update on the project's progress towards addressing quality care of underserved populations related to the Disparity Impact Statement (DIS), barriers encountered, including challenges serving populations of focus, efforts to overcome these barriers; evaluation activities for tracking DIS efforts; and a revised quality improvement plan if the DIS does not meet the quality of care requirements as stated in the DIS.

All responses to award terms and conditions must be submitted as .pdf documents via the View Terms Tracking Details page in eRA Commons. For more information on how to respond to tracked terms and conditions please refer to <https://www.samhsa.gov/grants/grants-training-materials> under heading **How to Respond to Terms and Conditions**.

Risk Assessment

The Office of Financial Advisory Services (OFAS), SAMHSA may perform an administrative review of your organization's financial management systems, policies, procedures and records. If the review discloses material weaknesses or other financial management concerns, grant funding may be restricted in accordance with [45 CFR 75/2 CFR 200](#), as applicable. The restriction will affect your organization's ability to withdraw funds from the Payment Management System account, until the concerns are addressed.

Cost Sharing and Match Requirements

Non-federal matching funds are required for this program under Section 520E-2 of the Public Health Service Act, as amended and Section 9031 of the 21st Century Cures Act, 42 U.S.C. 201. Recipients must provide matching non-federal funds (directly or through donations from

public or private entities) toward the costs of activities carried out with the grant and other activities by the institution to reduce mental health and substance use disorders. The non-federal matching requirement for this grant is as follows:

- For the first, second, and third fiscal years of the grant, you must provide at least \$1 of non-federal funds for each \$3 of Federal funds; and
- For the fourth fiscal year of the grant, you must provide at least \$1 of non-federal funds for each \$1 of Federal funds.

Matching contributions must meet the same test of reasonableness, allowability, and allocability as costs charged to federal grants.

Conflicts of Interest Policy

Consistent with 45 CFR § 75.112, recipients must establish written policies and procedures to prevent employees, consultants, and others (including family, business, or other ties) involved in grant-supported activities, from involvement in actual or perceived conflicts of interest. The policies and procedures must:

- address conditions under which outside activities, relationships, or financial interest are proper or improper;
- provide for advance disclosure of outside activities, relationships, or financial interest to a responsible organizational official;
- include a process for notification and review by the responsible official of potential or actual violations of the standards; and
- specify the nature of penalties that may be imposed for violations.

Flow Down of Requirements to Subrecipients

The recipient, as the awardee organization, is legally and financially responsible for all aspects of this award including funds provided to subrecipients, in accordance with 45 CFR § 75.351 – 75.352, Subrecipient Monitoring and Management.

SPARS

CMHI recipients are required to collect and report in SAMHSA's Performance Accountability and Reporting System (SPARS) two types of data: one data set [Infrastructure Development, Prevention, and Mental Health Promotion (IPP)] are reported on a quarterly basis; the second data set is for the National Outcome Measures (NOMs) and data are collected and reported at baseline (i.e., upon entry of each client into the project), at six-month follow-up and at discharge.

CMHI recipients are required to do the following:

1. Complete Annual Goals training and enter and enter IPP and NOMS annual goals data into SPARS **by December 30, 2023**;
2. Begin collecting and entering IPP data into SPARS in the second quarter (January - March 2024);
3. Begin entering NOMS baseline interview data into SPARS within 7 days after completion of each intake interview;
4. Conduct a NOMs reassessment interview six months following the intake interview and

-
- every 6 months thereafter and enter these data into SPARS; and
5. Conduct a Clinical Discharge NOMS interview at the time of client discharge and enter these data into SPARS.

SPARS training and technical assistance will be provided post award.

Subaward Agreements

Subaward Agreements are considered subrecipients as they participate in accomplishing the award's objectives and therefore must have executed subaward agreements in place. Subaward agreements must include all award requirements and clearly state that requirements flow down to the subrecipient. When established, the subaward agreements between your organization and the subrecipients should also include as a term and condition, the requirements cited below concerning Standards for Financial Management and Consistent Treatment of Costs.

SPECIAL CONDITIONS

Current Negotiated Indirect Cost Rate Agreement

By October 30, 2023, submit via eRA Commons,

Submit your organization's **current** Negotiated Indirect Cost Rate Agreement (NICRA) or Cost Allocation Plan (CAP) with HHS or any other federal agency that has an effective date covering the planned budget period start date of 09/30/2023, which is required to support the charge of indirect costs. If your organization is currently renegotiating its IDC rate agreement and the rate is yet to be approved, please provide supporting documentation.

All responses to award terms and conditions must be submitted as .pdf documents via the View Terms Tracking Details page in eRA Commons. For more information on how to respond to tracked terms and conditions or how to submit a post award amendment request please refer to <https://www.samhsa.gov/grants/grants-training-materials> under heading "**How to Respond to Terms and Conditions in the Notice of Award.**"

STANDARD TERMS AND CONDITIONS

Annual Programmatic Progress Report

By **December 28, 2024**, submit the Annual Programmatic Progress Report via the View Terms Tracking Details page in eRA Commons.

The Programmatic Report is required on an annual basis no later than 90 days after the end of each 12-month budget period.

The Annual Programmatic Report must, at a minimum, include the following information:

- Data and progress for performance measures as reflected in your application regarding goals and evaluation activities.
- A summary of key program accomplishments to-date.
- Description of the changes, if any, that were made to the project that differ from the application for this budget period.
- Description of any difficulties and/or problems encountered in achieving planned goals and objectives including barriers to accomplishing program objectives, and actions to

overcome barriers or difficulties.

Note: Recipients must also comply with the GPRA requirements that include the collection and periodic reporting of performance data as specified in the NOFO or by the Grant Program Official (GPO). This information is needed in order to comply with PL 102-62, which requires that Substance Abuse and Mental Health Services Administration (SAMHSA) report evaluation data to ensure the effectiveness and efficiency of its programs.

The response to this term must be submitted as .pdf documents via the View Terms Tracking Details page in eRA Commons. Please contact your Government Program Official (GPO) for program specific submission information.

For more information on how to respond to tracked terms and conditions please refer to <https://www.samhsa.gov/grants/grants-training-materials> under heading **How to Respond to Terms and Conditions**.

Additional information on reporting requirements is available at <https://www.samhsa.gov/grants/grants-management/reporting-requirements>

Annual Federal Financial Report (FFR or SF-425)

All financial reporting for recipients of Health and Human Services (HHS) grants and cooperative agreements will be consolidated through a single point of entry, which has been identified as the Payment Management System (PMS). The Federal Financial Report (FFR or SF-425) initiative ensures all financial data is reported consistently through one source; shares reconciled financial data to the HHS grants management systems; assists with the timely financial monitoring and grant closeout; and reduces expired award payments.

The FFR is required on an annual basis no later than 90 days after the end of each Budget Period. The FFR should reflect cumulative amounts. Additional guidance to complete the FFR can be found at <http://www.samhsa.gov/grants/grants-management/reporting-requirements>. SAMHSA reserves the right to request more frequent submissions of FFRs. If so, the additional submission dates will be shown below.

Your organization is required to submit a FFR for this grant funding as follows:

- By **December 28, 2024**, submit the Federal Financial Report (FFR)/(SF-425).
 - The grant recipient staff member(s) responsible for FFR preparation, certification and submission of the FFR must either submit a request for New User Access or Update User Access to the FFR Module as applicable. Refer to the PMS User Access website <https://pms.psc.gov/grant-recipients/user-access.html> for information on how to submit a New User Access, Update User Access or Deactivate User Access. You can also view PMS' Video on how to request new user access @ <https://youtu.be/kdoqaXfuI0> and PDF resource with instructions on Requesting Access @ https://pms.psc.gov/forms/New-User-Request_Grantee.pdf
 - Instructions on **how to submit a FFR via PMS** are available at <https://pmsapp.psc.gov/pms/app/help/ffr/ffr-grantee-instructions.html> (The user must be logged in to PMS to access the link). Updates to the FFR instructions effective 4/1/2022 are also available @ <https://pms.psc.gov/grant-recipients/ffr-updates.html>
 - While recipients must submit the FFR in PMS, the FFR can also be accessed by connecting seamlessly from the eRA Commons to PMS by clicking the “Manage FFR” link on the “Search for Federal Financial Report (FFR)” page in eRA Commons, which will redirect to PMS. SAMHSA will not accept FFRs submitted by email or uploaded as an attachment into eRA. To access the “Manage FFR” link in eRA Commons, the

individual must be registered in eRA Commons and assigned the Financial Status Reporter (FSR) role for their organization. The individual assigned the FSR role is responsible for reporting the statement of grant expenditures for their organization. Refer to the [Managing User Accounts: Add or Remove Roles, Unaffiliate Account](#) document for instructions on how to assign a the FSR role.

If you have questions about how to set up a PMS account for your organization, please contact the PMS Help Desk at PMSSupport@psc.hhs.gov or 1-877-614-5533.

Note: Recipients will use PMS to report all financial expenditures, as well as to drawdown funds; SAMHSA recipients will continue to use the eRA Commons for all other grant-related matters including submitting progress reports, requesting post-award amendments, and accessing grant documents such as the Notice of Award.

Standard Terms for Awards

Your organization must comply with the Standard Terms and Conditions for the Fiscal Year in which your grant was awarded. The Fiscal Year for your award is identified on your Notice of Award. SAMHSA's Terms and Conditions Webpage is located at: <https://www.samhsa.gov/grants/grants-management/notice-award-noa/standard-terms-conditions>.

Standards for Financial Management

Recipients and subrecipients are required to meet the standards and requirements for financial management systems set forth in 45 CFR part 75 Subpart D. The financial systems must enable the recipient and subrecipient to maintain records that adequately identify the sources of funds for federally assisted activities and the purposes for which the award was used, including authorizations, obligations, unobligated balances, assets, liabilities, outlays or expenditures, and any program income. The system must also enable the recipient and subrecipient to compare actual expenditures or outlays with the approved budget for the award. SAMHSA funds must retain their specific identity – they may not be commingled with non-federal funds or other federal funds. “Commingling funds” typically means depositing or recording funds in a general account without the ability to identify each specific source of funds with related expenditures.

Reasonable Costs for consideration

Recipients must exercise proper stewardship over Federal funds and ensure that costs charged to awards are allowable, allocable, reasonable, necessary, and consistently applied regardless of the source of funds according to “Reasonable Costs” consideration per 2 CFR § 200.404 and the “Factors affecting allowability of costs” per 2 CFR § 200.403. A cost is reasonable if, in its nature and amount, it does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the cost.

Consistent Treatment of Costs

Recipients must treat costs consistently across all federal and non-federal grants, projects and cost centers. Recipients may not direct-charge federal grants for costs typically considered indirect in nature, unless done consistently. If part of the indirect cost rate, then it may not also be charged as a direct cost. Examples of indirect costs include (administrative salaries, rent, accounting fees, utilities, office supplies, etc.). If typical indirect cost categories are included in the budget as direct costs, it is SAMHSA's understanding that your organization has developed a cost accounting system adequate to justify the direct charges and to avoid an unfair allocation of these costs to the federal government. Also, note that all awards are subject to later review in accordance with the requirements of [45 CFR 75.364](#), [45 CFR 75.371](#), [45 CFR 75.386](#) and [45 CFR Part 75, Subpart F](#), Audit Requirements.

Compliance with Award Terms and Conditions

FAILURE TO COMPLY WITH THE ABOVE STATED TERMS AND CONDITIONS MAY RESULT IN ACTIONS IN ACCORDANCE WITH [45 CFR 75.371](#), REMEDIES FOR NON-COMPLIANCE

AND [45 CFR 75.372](#) TERMINATION. THIS MAY INCLUDE WITHHOLDING PAYMENT, DISALLOWANCE OF COSTS, SUSPENSION AND DEBARMENT, TERMINATION OF THIS AWARD, OR DENIAL OF FUTURE FUNDING.

All previous terms and conditions remain in effect until specifically approved and removed by the Grants Management Officer.

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