

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

**FY 2018-2019 Projects for Assistance in Transition  
from Homelessness**

**Short Title: PATH**

**Funding Opportunity Announcement No. SM-18-F2**

**Catalogue of Federal Domestic Assistance (CFDA) No.: 93.150**

**Key Dates:**

<b>Application Deadline</b>	<b>Applications are due Monday, July 09, 2018 (60 days after WebBGAS opens the system for posting)</b>
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## EXECUTIVE SUMMARY

The Substance Abuse and Mental Health Services Administration, Center for Mental Health Services, is accepting biennial applications for fiscal year (FY) 2018-2019 Projects for Assistance in Transition from Homelessness grants (Short Title: PATH). PATH was created as part of the Stewart B. McKinney Homeless Assistance Amendments Act of 1990 (P.L. 101.645). PATH funds are limited to the 50 states, the District of Columbia, Puerto Rico, and four U.S. Territories (the U.S. Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands). The goal of PATH formula grants is to reduce or eliminate homelessness for individuals with serious mental illnesses, co-occurring disorders, or are at imminent risk of becoming homeless. PATH funds are used to provide a menu of allowable services, including street outreach, case management, and services that are not supported by mainstream mental health programs.

<b>Funding Opportunity Title:</b>	Projects for Assistance in Transition from Homelessness (Short Title: PATH)
<b>Funding Opportunity Number:</b>	SM-18-F2
<b>Due Date for Applications:</b>	<b>Monday, July 09, 2018</b>
<b>Anticipated Total Available Funding:</b>	<b>\$64,635,000</b>
<b>Cost Sharing/Match Required</b>	Yes  Refer to <a href="#">Section III-2</a> for cost-sharing/match requirements.
<b>Length of Project Period:</b>	Two (2) years
<b>Eligible Applicants:</b>	States, the District of Columbia, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands  Refer to <a href="#">Section III-1</a> for more information about eligibility.

# I. FUNDING OPPORTUNITY DESCRIPTION

## 1. PURPOSE

The Substance Abuse and Mental Health Services Administration, Center for Mental Health Services, is accepting biennial applications for fiscal year (FY) 2018-2019 Projects for Assistance in Transition from Homelessness grants (Short Title: PATH). PATH was created as part of the Stewart B. McKinney Homeless Assistance Amendments Act of 1990 (P.L. 101.645). PATH funds are limited to the 50 states, the District of Columbia, Puerto Rico, and four U.S. Territories (the U.S. Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands). The goal of PATH formula grants is to reduce or eliminate homelessness for individuals with serious mental illnesses, co-occurring disorders,<sup>1</sup> or are at imminent risk of becoming homeless. PATH funds are used to provide a menu of allowable services, including street outreach, case management, and services that are not supported by mainstream mental health programs.

Through its services, PATH links a vulnerable population who experience persistent and pervasive health disparities to mainstream and other supportive services. Collectively these efforts help individuals experiencing homelessness with serious mental illness secure safe and stable housing, improve their health, and live a self-directed, purposeful life.

**Beginning in FY 2018, SAMHSA will require recipients to submit biennial applications (i.e., submit a full application every two years). During alternate years, states/territories would submit an abbreviated application. Refer to [Section II: Award Information](#).**

PATH grants are authorized under Section 521 of the Public Health Service (PHS) Act, (42 U.S.C. § 290cc-21) as amended, and Section 9004 of the 21<sup>st</sup> Century Cures Act (P.L. 114-255).

This announcement addresses Healthy People 2020 Mental Health and Mental Disorders Topic Area HP 2020-MHMD.

## 2. EXPECTATIONS

PATH funds are distributed to each state, the District of Columbia, Puerto Rico, and four U.S. Territories (the U.S. Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands) so that they may make grants to public and local non-profit organizations to provide a variety of legislatively authorized services. Recipients are expected to provide funding to organizations in areas with the highest concentration of individuals experiencing homelessness.

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<sup>1</sup> Co-occurring disorder refers to the presence of both a mental and substance use disorder.

## **Grant Funds**

Recipients must use third party and program income (other revenue realized from provision of services) to the extent possible. Recipients are also required to implement policies and procedures that ensure priority use of other available funding sources for PATH services.

Recipients are expected to assist eligible clients who seek health insurance in completing the application and enrollment process. Recipients should also help clients complete application processes for other benefits or supports they may seek and which they may be eligible for (e.g., Veterans Administration, senior services).

## **Electronic Health Records**

The Health Information Technology for Economic and Clinical Health (HITECH) Act places strong emphasis on the widespread adoption and implementation of electronic health record (EHR) technology. A certified EHR is an electronic health record system that has been tested and certified by an approved Office of National Coordinator's (ONC) certifying body. For more information and resources on EHRs, see [Appendix J](#).

## **Chronic Homelessness**

Although persons experiencing chronic homelessness represent a smaller share of all persons experiencing homelessness (24 percent in 2017; 2017 Annual Homeless Assessment Report (AHAR)), the mortality rate for these men and women is 4 to 9 times higher than that of the general population. Indeed, the public health imperative in working with people who are experiencing chronic homelessness is clear. Moreover, better access to health care, income supports, and work supports for this population can help further the goals of the United States Interagency Council on Homelessness (USICH) strategic plan, [Opening Doors: Federal Strategic Plan to Prevent and End Homelessness](#).

SAMHSA is strongly encouraging states to use and prioritize PATH funds proactively and comprehensively to address the service needs of individuals who experience chronic homelessness

## **Homeless Emergency Assistance and Rapid Transition to Housing (HEARTH) Act/Homeless Definition**

States are strongly encouraged to adopt the U.S. Department of Housing and Urban Development (HUD) [definition of homelessness](#) to determine eligibility for services provided with PATH funds. The statutory language for the definition is in the McKinney-Vento Homeless Assistance Act, as amended by S.896 and the HEARTH Act of 2009 which can be found at: <https://www.hudexchange.info/homelessness-assistance/earth-act/>

## Health Disparities

PATH recipients are encouraged to collect and use data to:

- Identify the number of individuals to be served during the grant period and identify subpopulations (i.e., racial, ethnic, sexual, and gender minority groups) vulnerable to behavioral health disparities;
- Implement a quality improvement plan for the use of program data on access, use, and outcomes to support efforts to decrease the differences in access to, use, and outcomes of service activities; and
- Identify methods for the development of policies and procedures to ensure adherence to the National Standards for Culturally and Linguistically Appropriate Services (CLAS) in Health and Health Care. (Refer to [Appendix H: Addressing Behavioral Health Disparities](#) for more information.)

## Disaster Preparedness and Emergency Planning

When disaster strikes, over-extended systems must work to meet the needs of the impacted population, including individuals experiencing homelessness. Prior planning and a coordinated response which reaches across agencies and systems can advance recovery from disasters. This program guidance is intended to encourage PATH recipients to design, review, update, and test their emergency response plans in consideration of continuity of care needs for people experiencing homelessness and have a serious mental illness and/or co-occurring disorder. Furthermore, recipients are encouraged to review current emergency services plans in collaboration with key stakeholders across shelter providers, housing agencies, mental health, substance use, and emergency management services - and where not present, propose for inclusion specific provisions that would address and or ensure continuity of services during and immediately following a disaster for people experiencing homelessness. Ultimately, the goal is to advance homeless and emergency services coordination and community resiliency following disasters ([see Appendix K](#)).

### 2.1 PATH-eligible services

- Outreach services;
- Screening and diagnostic treatment services;
- Habilitation and rehabilitation services;
- Community mental health services, including recovery support services (e.g., peer specialist/recovery coaches);
- Alcohol or drug treatment services;

- Staff training, including the training of individuals who work in shelters, mental health clinics, substance use programs, and other sites where individuals who experience homelessness require services;
- Case management services, including:
  - Preparing a plan for the provision of community mental health services to eligible homeless individuals, and reviewing such plan not less than once every 3 months;
  - Providing assistance in obtaining and coordinating social and maintenance services for eligible individuals who experience homelessness, including services related to daily living activities, peer support , personal financial planning, transportation , habilitation and rehabilitation , prevocational and vocational training, and housing ;
  - Providing assistance to eligible individuals who experience homelessness in obtaining income support services, including housing assistance, food stamps, and supplemental security income benefits;
  - Referring eligible individuals who experience homelessness for such other services as may be appropriate; and
  - Providing representative payee services in accordance with section 1631(a)(2) of the Social Security Act if the eligible individuals who experience homelessness are receiving aid under title XVI of such act and if the applicant is designated by the Secretary to provide such services;
- Supportive and supervisory services in residential settings;
- Referral for primary health services, job training, educational services, and relevant housing services; and,
- Housing services, as specified in Section 522(b)(10) of the PHS Act, as amended (U.S.C. § 290cc-22(b), including:
  - Minor renovation, expansion, and repair of housing;
  - Planning of housing;
  - Technical assistance in applying for housing assistance;
  - Improving the coordination of housing services;
  - Security deposits;
  - Costs associated with matching eligible individuals who are



experiencing homelessness with appropriate housing situations; and

- One-time rental payments to prevent eviction.

Although PATH funds can be used to support this array of services, applicants are encouraged to use these resources to fund street outreach, case management, and services which are not financially supported by mainstream services and/or behavioral health programs.

## **2.2 Data Collection and Performance Measurement**

### Data Submission Systems

All PATH recipients must submit required annual PATH data through the PATH Data Exchange (PDX). PATH provider data reports must be reviewed and approved by the State PATH Contact (SPC) prior to submission. SAMHSA will announce the due date for annual report submission in the fall of 2018.

All PATH providers should be collecting PATH client data through the Homeless Management Information System (HMIS) or other system approved by SAMHSA that supports interoperability with the local HMIS.

Participation in HMIS provides a platform for coordinating care and improving client access to mainstream programs and housing resources. This practice is effective in reducing duplicative intakes by numerous agencies within the Continuum of Care (CoC), thus increasing productivity and reducing service costs. It also helps enhance service providers' understanding of clients' needs. Use of HMIS for PATH enables SAMHSA to report reliable and consistent data on the performance of the PATH program. SAMHSA will continue to partner with HUD to support states and providers in collecting data through HMIS.

### Confidentiality of Alcohol and Drug Abuse Patient Records

States are reminded that compliance with applicable federal and state health information confidentiality regulations, including the regulations governing the Confidentiality of Alcohol and Drug Abuse Patient Records, 42 CFR Part 2, is required when submitting information to HMIS or other electronic health record system. 42 CFR Part 2 contains certain requirements for the disclosure of information by substance use disorder treatment programs; most notably, client consent is required for disclosures, with some limited exceptions.

42 CFR Part 2 applies to all federally funded individuals or entities that "hold themselves out as providing, and provide, alcohol or drug abuse diagnosis, treatment or treatment referral." A program is federally funded if it:

- Is authorized, licensed, certified, or registered by the federal government;

- Receives federal funds in any form, even if the funds do not directly pay for the alcohol or drug use services; or
- Is assisted by the Internal Revenue Service through a grant of tax-exempt status or allowance of tax deductions for contributions; OR is authorized to conduct business by the federal government; OR is conducted directly by the federal government.

### Technical Assistance

SAMHSA will provide technical assistance to states, jointly through the learning community structure and individually, as needed, to support achievement of PATH goals and compliance with federal requirements. States whose transition to HMIS for PATH is not yet complete are expected to provide the following:

- A status on HMIS implementation and submit a timeline for fully transitioning all providers to HMIS;
- An overview of the policies and procedures that are currently used by service providers funded through PATH to support compliance with 42 CFR Part 2 when sharing information with local CoC(s) or other systems;
- Indicate which PATH providers are subject to 42 CFR Part 2;
- Identify technical assistance needed to complete the transition;
- Fully participate in HMIS technical assistance (learning communities, webinars and consultation) and training activities;
- Facilitate flexible use of PATH funds to support HMIS activities;
- Connect and collaborate with CoC(s) to facilitate data collection transition and timely service coordination; and
- Work with local HMIS administrators to assure that all PATH providers are trained in the use of HMIS.

## **II. AWARD INFORMATION**

The PATH Program will distribute \$64,635,000 to states and territories. The awards will range from \$50,000 to \$8.8 million total (direct and indirect), depending upon a legislatively determined formula. [Appendix A](#) lists the funds allocated for each state and territory.

**NOTE: Beginning in FY 2018, SAMHSA will require recipients to submit biennial applications (i.e., submit a full application every two years). During alternate years, states/territories would submit an abbreviated application.**

The abbreviated application would include:

- A summary of state PATH activities;
- A signed certification from the Governor or his/her designee;
- Signed assurances;
- Budget information for each local provider funded under PATH; and
- Other documentation as required by SAMHSA's Division of Grants Management.

Additional information about the abbreviated application will be provided after award.

**Funding estimates reflect the final FY 2018 appropriation. Applicants should be aware that funding amounts are subject to the availability of funds.**

In addition to PATH statutes and regulations, additional grants administration requirements are set forth in 45 CFR Part 75 –Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards.

### **III. ELIGIBILITY INFORMATION**

#### **1. ELIGIBLE APPLICANTS**

Eligible applicants are limited to the 50 states, the District of Columbia, the Commonwealth of Puerto Rico, and four U.S. territories (the U.S. Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands) (42 U.S.C. Sections 521 and 534).

Section 522 of the PHS Act, as amended, requires that states and territories must expend their payments under the Act only for making grants to political subdivisions of the state (or territories), and to nonprofit private entities (including community-based veterans' organizations and other community organizations) for providing services specified in the Act. See [Section I-2](#) to review PATH-eligible services.

#### **2. COST SHARING and MATCH REQUIREMENTS**

Cost sharing is required as specified in 42 U.S.C Section 523(a) of the PHS Act, as amended., The state must match directly or through donations from public or private entities, non-federal contributions toward such costs in an amount that is not less than \$1 for each \$3 of federal PATH funds. Non-federal contributions required in subsection (a) may be in cash or in-kind, fairly evaluated, including plant, equipment, or services. Funding, or services assisted or subsidized to any significant extent by the federal government, shall not be included when determining the amount of non-federal contributions.

## IV. APPLICATION AND SUBMISSION INFORMATION

### 1. WebBGAS

Applications must be submitted electronically through WebBGAS. WebBGAS is a web-enabled grant management system that allows for the creation, submission, review, and archive of your PATH application. WebBGAS benefits both states and the federal government by significantly reducing the paperwork burden required for creation, submission, revision, and approval of documents. PATH providers can now directly enter their Intended Use Plans (IUPs) and budget information into WebBGAS and states can manage the IUP user accounts. The electronic system facilitates the preparation of required documents in the following ways:

- Eliminates redundant data entry by automatically pre-populating information that was previously entered.
- Allows multiple state and provider staff to work on different sections of the application at the same time.
- Integrates documents originally written in Microsoft Word, Microsoft Excel, or PDF when files are uploaded through WebBGAS.
- Enables uploading Intended Use Plans (IUPs) to WebBGAS in Microsoft Word, Microsoft Excel, or PDF OR may enter data directly into the online PATH forms provided in WebBGAS.
- Reduces the overall burden associated with submitting the application.

The application may be viewed by other state users, state citizens, and federal staff. IUP users may only view their own entries. In addition, once the application document has been generated, it may be viewed, searched, or printed with Adobe Acrobat. Archived applications and documents will be available in WebBGAS for future reference.

The Web site link to access [WebBGAS](https://bgas.samhsa.gov) is: <https://bgas.samhsa.gov>.

### 2. CONTENT AND GRANT APPLICATION SUBMISSION

#### 2.1 Application Kit

A complete list of documents can be accessed on the [WebBGAS](https://bgas.samhsa.gov) website at <https://bgas.samhsa.gov>. This includes:

- The State Information Page, budget forms, assurances, and certifications.

**Applications that do not include the required forms will be returned for resubmission.**

- This Funding Opportunity Announcement (FOA) provides a description of the program, specific information about the availability of funds, and instructions for completing the grant application. The FOA will be available on the [WebBGAS](https://bgas.samhsa.gov) website at <https://bgas.samhsa.gov>

## 2.2 Required Application Components

Recipients must complete the WebBGAS sections that include the following required application components:

- **State Information**
  - State Information Page – Refer to [Appendix B](#) for Supplementary Instructions.
  - Assurances – Non-Construction Programs. You must read the list of assurances provided on WebBGAS, print, sign, and upload into the Attachment Section of WebBGAS.
  - Certifications – You must read the list of certifications provided on the WebBGAS site and print, sign, and upload into the Attachment Section of WebBGAS.
  - Funding Agreement – Refer to Appendix D (this document is in WebBGAS) contains a set of agreements to be signed by the Governor or an individual designated to sign on behalf of the Governor assuring compliance with specific requirements of the PATH legislation. A copy of this agreement is available in WebBGAS. The letter should be addressed to SAMHSA’s Division of Grants Management and you must upload a copy of the signed letter into the Attachment Section of WebBGAS. If a designee signs the agreement, a letter from the Governor authorizing the individual to sign on his/her behalf must be included with the application. A letter from a prior year may be uploaded into WebBGAS as long as the letter includes language indicating that the designation is valid for more than one year, e.g., “As long as I am Governor ...”.
  - Disclosure of Lobbying Activities (SF LLL) – 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 “grassroots” lobbying, which consists of appeals to members of the public suggesting that they contact their elected representatives to indicate their support for or opposition to pending legislation, or to urge those representatives to vote in a particular way. If there are any lobbying activities, you must print, sign, and upload into the Attachments tab on WebBGAS.

- State PATH Regions – Describe each State PATH Region by listing name and location of each region. The State PATH Region Information was automatically transferred by the WebBGAS system from the prior year application. Please review and edit the information, if the State PATH Region differs this year.
- **Executive Summary**
  - Project Narrative – This narrative describes the state’s project.
  - **State Budget – Recipient prior year IUP user budget amounts will automatically be imported. IUP users will manually enter/update the budget in the WebBGAS section for providers from their IUPs. WebBGAS will automatically roll up this information to the state level budget forms under the contractual and/or housing column(s) in the WebBGAS.** States may request that providers use the [SF-424A](#) as a template to submit their budget. A sample budget and budget justification is included in [Appendix C](#) of this document
  - Local Area Provider Intended Use Plans (IUPs) must be uploaded into WebBGAS) **NOTE: Individual budgets for local provider agencies are to be submitted with the Local Provider IUPs.**
  - See [Section V](#): Application Review Information for guidance on completing each section of the Project Narrative.
- **Charitable Choice** –SAMHSA regulations implementing Charitable Choice provisions under Sections 581- 584 and Section 1955 of the Public Health Services Act, 42 USC 290k, et seq., and 42 USC 300x-65 et seq., respectively. Recipients will report on Charitable Choice implementation as part of the reporting requirements for the 2018 PATH application. The Charitable Choice provisions and their regulations allow religious organizations to provide SAMHSA-funded substance use prevention and treatment services without impairing their religious character and without diminishing the religious freedom of those who receive their services. These provisions and regulations contain important protections for religious organizations that receive SAMHSA funding and for individuals who receive their services, and apply to religious organizations and to state and local governments that provide substance use prevention and treatment services under SAMHSA grants. A copy of these regulations is available at HHS’s [The Partnership Center](#) webpage: <http://www.hhs.gov/fbci/waisegate21.pdf>. The Charitable Choice assurance is included in the agreement ([Appendix D](#)) and is a downloadable WebBGAS document.

### 2.3 Application Formatting Requirements

Please refer to [Appendix E](#), Checklist for Formatting Requirements for SAMHSA

Grant Applications, for SAMHSA's basic application formatting requirements. As states are entering the information into the WebBGAS system, the format is pre-set.

Providers who are submitting IUPs must adhere to the SAMHSA formatting requirements as stated in [Appendix E](#). IUPs that do not comply with these requirements will be returned for resubmission.

### **3. APPLICATION SUBMISSION REQUIREMENTS**

**Applications must be received no later than Monday, July 09, 2018.** You must select the "submit button" in the [WebBGAS](#) system (<https://bgas.samhsa.gov>) by 11:59 PM (Eastern Daylight Time). You may sign-in using the logon credentials sent by email to your official email on file with SAMHSA from the WebBGAS helpdesk. States also manage the IUP user accounts in WebBGAS. If the PATH State Contact has not received the logon credentials or has a problem accessing WebBGAS, contact the WebBGAS help desk at [BGASHelpdesk@SAMHSA.hhs.gov](mailto:BGASHelpdesk@SAMHSA.hhs.gov), enter a support ticket from the WebBGAS [Help Desk Page](#), or contact a support desk staff person at **1-888-301-BGAS (2427)**.

In order to submit the application, all items need to have a status of "complete" on the "Applications Forms Overview" screen within WebBGAS. As you complete each form you may set the status to "complete" by selecting the "complete" button under each screen. When all the items are marked as "complete" in the "Application Forms Overview" screen, a "State Supervisor Review" tab will appear on the left menu. Selecting the "State Supervisor Review" tab displays a confirmation window to confirm that the application is ready for review. Once you click the "State Supervisor Review" button within the "Application Ready for Review" window, the "Authorized Representative" will then receive a message indicating completion of the review. Once the "Authorized Representative" is ready to submit the application, select the "Submit to SAMHSA" tab within the "Application Submission" window, and then select the "Submit to SAMHSA" button. Once the "Authorized Representative" selects "Submit to SAMHSA", the State Dashboard shows the application as "Submitted".

**SAMHSA does not accept or give consideration to an application received in any other format, including those that are hand carried or sent by facsimile.**

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

This program is not subject to the intergovernmental review requirements of E.O. 12372, as implemented through DHHS regulations at 45 CFR Part 100. However, individual states or an applicant's State Mental Health Agency may require, procedures similar but separate to those specified in E.O. 12372.

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

Cost principles describing allowable and unallowable expenditures for federal recipients, including SAMHSA recipients, are provided in 45 CFR Part 75 Subpart F,

which are available at the [Electronic Code of Federal Regulations](http://www.ecfr.gov/cgi-bin/text-idx?SID=06a0b0411d1520fae5e2799030e64ebf&node=pt45.1.75&rgn=div5) webpage of the e-CFR website: <http://www.ecfr.gov/cgi-bin/text-idx?SID=06a0b0411d1520fae5e2799030e64ebf&node=pt45.1.75&rgn=div5>

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

- Grant funds must only be used for purposes supported by the program.
- **No more than 4 percent** of the federal PATH funds received shall be used for administrative expenses, as specified in Section 522(f) of the PHS Act, as amended (42 U.S.C. § 290cc-22(f)).
- **No more than 20 percent** of the federal PATH funds allocated to the state may be expended for eligible housing services, as specified in Section 522(h)(1) of the Public Health Services Act, as amended (42 U.S.C. § 290cc-22(h)).
- Grant funds may not be used:
  - To support emergency shelters or construction of housing facilities;
  - For inpatient psychiatric treatment;
  - For inpatient substance use treatment;
  - To make cash payments to intended recipients of mental health or substance use services; or
  - For lease arrangements in association with the proposed project utilizing PATH funds beyond the project period nor may the portion of the space leased with PATH funds be used for purposes not supported by the grant.

## **V. APPLICATION REVIEW INFORMATION**

### **1. PROJECT NARRATIVE**

The Project Narrative describes what you intend to do with your project and includes your responses to the criteria in the Executive Summary, State-Level Information, and Local Area Provider-Intended Use Plans.

- In developing the Project Narrative section of your application, use these instructions which have been tailored to this program.
- Your response should be as brief as possible but must convey the requested information. Some information may be presented in table format.



- WebBGAS has pre-populated sections for the Executive Summary and State-Level Information questions and the IUP budget templates from last year. You may enter the text directly into the boxes or upload as a document.
- Local Area Provider IUPs must be uploaded as a .pdf OR Microsoft Word document OR optionally entered directly into the online PATH form provided in WebBGAS.
- When uploading the document into WebBGAS, include footer on each page that identifies the title of the sub-section, page number, and other relevant information. This will assist in locating specific material.
- When uploading the document into WebBGAS, use the header of each sub-section for identifying your response. Incomplete applications, or those that are virtual re-submissions of applications from previous years, will be returned to the state for revision and re-submission, which may delay the grant award. Please contact your Government Project Officer (GPO) if you have any questions pertaining to this section. Refer to [Appendix G](#) for a listing of GPOs for each state and territory.
- You must provide a narrative justification of the items included in your proposed budget, as well as a description of existing resources and other support you expect to receive for the activities. Other support is defined as funds or resources, whether federal, non-federal, or institutional, in direct support of activities through fellowships, gifts, prizes, in-kind contributions, or non-federal means.

## **Executive Summary**

Provide a brief overview of the activities the state proposes to support through the PATH Formula Grant Program. The executive summary should provide an overview of the State PATH program, providing key points that will be expanded upon in the State-Level Information section in WebBGAS. The following items must be addressed:

- The organization(s) to receive funds – list name and type of organization (e.g., community mental health center, county or local government entity, health care provider, private non-profit organization).
- Amount of PATH funds received by each provider.
- Service area(s) – indicate the geographic area(s) to be served.
- Amount and source of matching funds to be provided.
- Number of individuals contacted – Estimate the total number of clients who

will be contacted by each provider using PATH funds in FY 2018 and how many will be adults and literally homeless.

- Number of individuals served (enrolled) – Estimate the total number of clients who will be enrolled in services by each provider using PATH funds.
- Services to be provided using PATH funds.

### State-Level Information

- Provide the state's operational definition for the terms below:
  - **Individual experiencing homelessness** - The state PATH-related operational definition for an individual experiencing homelessness must be as least restrictive as defined by the PHS Act: "an individual who lacks housing (without regard to whether the individual is a member of a family), including an individual whose primary residence during the night is a supervised public or private facility that provides temporary living accommodations, and an individual who is a resident in transitional housing."
  - **Imminent Risk of Becoming Homeless** – The definition of imminent risk of homelessness commonly includes one or more of the following criteria: doubled-up living arrangements where the individual's name is not on a lease, living in a condemned building without a place to move, having arrears in rent/utility payments, receiving an eviction notice without a place to move, living in temporary or transitional housing that carries time limits, and/or being discharged from a health care or criminal justice institution without a place to live.
  - **Serious Mental Illness** – Refers to adults, 18 years of age or older, with a diagnosable mental disorder of such severity and duration as to result in functional impairment that substantially interferes with or limits major life activities.
  - **Co-occurring Disorders** - Refers to individuals who have at least one serious mental illness and a substance use disorder, where the mental disorder and substance use disorder can be diagnosed independently of each other.
- **Veterans** – Describe how the state gives consideration in awarding PATH funds to entities with demonstrated effectiveness in serving veterans experiencing homelessness.
- **Alignment with PATH goals** – Describe how the services to be provided using PATH funds will target street outreach and case management as priority services, and maximize serving the most vulnerable adults who are literally

and chronically homeless.

- **Alignment with State Comprehensive Mental Health Services Plan** – Describe how the services to be provided using PATH funds are consistent with the State Comprehensive Mental Health Services Plans.
- **Process for Providing Public Notice** – Describe the process for providing public notice to allow interested parties (e.g., family members; individuals who are PATH-eligible; mental health, substance use disorder, and housing agencies; the general public) to review the proposed use of PATH funds including any subsequent revisions to the application. Describe opportunities for these parties to present comments and recommendations prior to submission of the state PATH application to SAMHSA.
- **Programmatic and Financial Oversight** – Describe how the state will provide necessary programmatic and financial oversight of PATH-supported providers, such as site visits, evaluation of performance goals, audits, etc. In cases where the state provides funds through intermediary organizations (i.e., county agencies, regional behavioral health authorities), describe how these organizations monitor the use of PATH funds.
- **Selection of PATH Local-Area Providers** – Describe the method(s) used to allocate PATH funds to areas and providers with the greatest number of individuals who experience homelessness with serious mental illnesses or co-occurring substance use disorders (i.e., through annual competitions, distribution by formula, data driven, or other means)
- **Location of Individuals with Serious Mental Illnesses who are Experiencing Homelessness** – Indicate the number of individuals with serious mental illnesses experiencing homelessness by each region or geographic area of the entire state. Indicate how the numbers were derived and where the selected providers are located on a map.
- **Matching Funds** – Describe the sources of the required PATH match contributions and provide assurances that these contributions will be available at the beginning of the grant period.
- **Other Designated Funding** – Indicate whether the mental health block grant, substance abuse block grant, or general revenue funds are designated specifically for serving people who experience homelessness and have serious mental illnesses.
- **Data** – Describe the state’s and providers’ participation in HMIS and describe plans for continued training and how the state will support new local-area providers. For any providers not fully participating in HMIS, please include a transition plan with an accompanying timeline for

collecting all PATH data in HMIS.

- **Supplemental Security Income/Social Security Disability Insurance (SSI/SSDI) Outreach, Access, Recovery (SOAR)** – Describe how the state encourages provider staff to be trained in SOAR. Indicate the number of PATH providers who have at least one trained SOAR staff. If the state does not use SOAR, describe state efforts to ensure client applications for mainstream benefits are completed, reviewed, and a determination made in a timely manner.
- **PATH Eligibility and Enrollment** - Describe how PATH eligibility is determined, when enrollment occurs, and how eligibility is documented.

### **Local Area Provider-Intended Use Plans**

**NOTE:** The state must submit an Intended Use Plan (IUP) for each PATH-funded organization. State may submit for a provider, or providers can directly enter their IUP into WebBGAS. If the state has not selected the organizations to receive PATH funding before the PATH application is due for submission to SAMHSA’s Center for Mental Health Services, provide as much information as possible about the intended use of PATH funds. For example, if the same organizations funded in the prior year will be funded in the current year, but the FOA process has not been completed, you may submit information about the organizations from the prior year. Once the selection process has been completed, you are required to submit a revised Intended Use Plan through WebBGAS to SAMHSA. Once you notify the GPO of a new or revised IUP after the application is submitted, the GPO will send a revision request through WebBGAS where you may upload this information. Indicate any changes in providers compared to FY 2017 and include a justification for the change(s).

The state must include the following information for each organization that provides services with PATH funds in the Intended Use Plan:

- **Local Area Provider Description** – Provide a brief description of the provider organization receiving PATH funds, including name, type of organization, region served, and the amount of PATH funds the organization will receive.
- **Collaboration with HUD Continuum of Care (CoC) Program** – Describe the organization’s participation with local HUD Continuum of Care (CoC) recipient(s) and other local planning activities and program coordination initiatives, such as coordinated entry activities. If the organization is not currently working with the Continuum(s) of Care, briefly explain the approaches to be taken by the organization to collaborate with the CoC(s) in the areas where PATH operates.
- **Collaboration with Local Community Organizations** – Provide a brief

description of partnerships and activities with local community organizations that provide key services (e.g., outreach teams, primary health, mental health, substance use disorder, housing, employment) to PATH-eligible clients, and describe the coordination of activities and policies with those organizations. Provide specific information about how coordination with other outreach teams will be achieved.

- **Service Provision** – Describe the organization’s plan to provide coordinated and comprehensive services to PATH-eligible clients, including:
  - How the services to be provided using PATH funds will align with PATH goals to target street outreach and case management as priority services, and maximize serving the most vulnerable adults who are literally and chronically homeless;
  - Any gaps that exist in the current service systems;
  - A brief description of the current services available to clients who have both a serious mental illness and a substance use disorder; and
  - A brief description of how PATH eligibility is determined, when enrollment occurs, and how eligibility is documented for PATH-enrolled clients.
- **Data** – Describe the provider’s participation in HMIS and describe plans for continued training and how providers will support new staff. For any providers not fully participating in HMIS, please describe plans to complete HMIS implementation.
- **SOAR (SSI/SSDI Outreach, Access and Recovery)** – Describe the provider’s plan to ensure that PATH staff have completed the SOAR Online Course and which staff plan to assist consumers with SSI/SSDI applications using the SOAR model and track the outcomes of those applications in the SOAR Online Application Tracking (OAT) system. If the provider does not use SOAR, describe the system used to improve accurate and timely completion of mainstream benefit applications (e.g. SSI/SSDI). Also describe the efforts used to train staff on this alternative system and what technical assistance or support they receive to ensure quality applications if they do not use the SAMHSA SOAR TA Center.
- **Housing** – Indicate the strategies that will be used for making suitable housing available for PATH clients (i.e., indicate the type of housing provided and the name of the agency).
- **Staff Information** – Describe how staff providing services to the population of focus will be sensitive to age, gender, disability, lesbian, gay, bisexual, and transgender, racial/ethnic, and differences of clients. Describe the

extent to which staff receive periodic training in cultural competence and health disparities.

- **Client Information** – Describe the demographics of the client population, the projected number of adult clients to be contacted and enrolled, and the percentage of adult clients to be served using PATH funds who are literally homeless.
- **Consumer Involvement** – Describe how individuals who experience homelessness and have serious mental illness, and their family members, will be meaningfully involved at the organizational level in the planning, implementation, and evaluation of PATH-funded services. For example, indicate whether individuals who are PATH-eligible are employed as staff or volunteers or serve on governing or formal advisory boards. See [Appendix I – Guidelines for Consumer and Family Participation](#).
- **Budget Narrative** – Provide a budget narrative that includes the local-area provider’s use of PATH funds. See [Appendix C](#) for a sample detailed budget.

## 2. REVIEW PROCESS

Decisions to award state allotments will be based on SAMHSA review and a determination that all of the documents and attachments described under “Required Application Components” have been included and meet program requirements.

# VI. ADMINISTRATION INFORMATION

## 1. AWARD NOTICES

After your application has been reviewed, your Government Project Officer (GPO) and/or your Grants Management Specialist (GMS) will contact you to discuss the results of the review and obtain any additional information in writing.

After all outstanding issues/concerns have been successfully addressed, the Notice of Award (NoA), signed by SAMHSA’s Grants Management Officer, will be sent by email to the authorized representative listed in the application.

## 2. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS

### ○ Special Rule Regarding Substance Use

Grants will not be made to the state unless the state agrees that sub-awards will not be made to any organization that: (1) has a policy of excluding individuals from mental health services due to the existence or suspicion of substance use; or (2) has a policy of excluding individuals from substance use services due to the existence or suspicion of a mental illness.

- 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 another federal grant.

- **Coordination**

As specified in Section 522(c) of the PHS Act, as amended, the state must agree to make grants only to entities that have the capacity to provide, directly or through arrangements, the PATH-eligible services specified above, including coordinating the provision of services in order to meet the needs of eligible individuals who are experiencing homelessness and who have serious mental illness or serious mental illness and substance use disorders.

- **Special Consideration Regarding Veterans**

As specified in Section 522(d) of the PHS Act, as amended, in making grants using PATH appropriations, the state must give special consideration in the awarding of PATH funds to entities with a demonstrated effectiveness in serving veterans who experience homelessness.

[Standard administrative and national policy requirements are included in Appendix L.](#)

### **3. REPORTING REQUIREMENTS**

#### **3.1 Post Award Requirements**

- Annual Data Reports - Annual data reports for activities funded with PATH funds are required on or before January 31 of each year following the grant award. Reporting guidelines will be distributed to State PATH Contacts approximately two months prior to the due date of the report.
- Federal Financial Report (FFR) - States must submit an annual Federal Financial Report (FFR) SF-425 no later than 90 days after the end of each 12 months of the project. period. The annual FFR SF-425 should be submitted to the Grants Management Resource Mailbox at: [grant.closeout@samhsa.hhs.gov](mailto:grant.closeout@samhsa.hhs.gov). The required non-federal contributions must be shown in the Recipient’s Share of Net Outlays section of the FFR. The FFR must show at least the minimum required match for the budget period – no less than \$1 in state funds for every \$3 in federal funds awarded. For questions about the Federal Financial Report contact Wendy Pang at (240) 276-1419 or [Wendy.Pang@samhsa.hhs.gov](mailto:Wendy.Pang@samhsa.hhs.gov).
- 45 CFR Part 75 Subpart F provides audit requirements for non-federal entities. This program follows OMB Compliance Supplement 93 150 – Project for Assistance in Transition from Homelessness (PATH). An audit is required for non-federal entities that expend \$750,000 or more of federal funds in each fiscal

year. Audit reports MUST be submitted to the Federal Audit Clearinghouse's [Internet Data Entry System](https://harvester.census.gov/facides/Account/Login.aspx) electronically via <https://harvester.census.gov/facides/Account/Login.aspx>.

- PATH states and providers are expected to collect PATH data through HMIS. PATH states and providers are expected to develop actions to facilitate flexible use of PATH administrative funds to support HMIS activities. SAMHSA expects that all PATH states and providers are collecting PATH data through HMIS.

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

SAMHSA has initiated several activities to increase consistent and reliable outcome reporting data for GPRA. Performance data will be reported to the public as part of SAMHSA's Congressional Justification. The following GPRA measures are reported:

- Percentage of enrolled homeless persons in the PATH program who receive community mental health services;
- Number of homeless persons contacted;
- Percentage of contacted homeless persons with serious mental illness who become enrolled in services; and
- Number of PATH providers trained on SOAR to ensure eligible homeless clients are receiving benefits.

SAMHSA also requires states to report data for the following three outcome measures:

- Number of persons referred to and attaining housing;
- Number of persons referred to and attaining mental health services; and
- Number of persons referred to and attaining substance use disorder services.

## **VII. AGENCY CONTACTS**

For questions about program issues contact:

Caroline Fernandez  
Division of Service and System Improvement  
Center for Mental Health Services  
Substance Abuse and Mental Health Services Administration  
Telephone: (240) 276-1625



[caroline.fernandez@samhsa.hhs.gov](mailto:caroline.fernandez@samhsa.hhs.gov)

For questions on grants management and budget issues contact:

Wendy Pang  
Office of Financial Resources  
Division of Grants Management  
Telephone: (240) 276-1419  
[wendy.pang@samhsa.hhs.gov](mailto:wendy.pang@samhsa.hhs.gov)

## Appendix A – FY 2018 Estimated Allocation of Federal PATH Funds

### MINIMUM MATCH REQUIREMENT DEMONSTRATED

State or Territory	FY2018 Allotment	Minimum Match Required
Alabama	\$613,043	\$204,348
Alaska	\$300,000	\$100,000
Arizona	\$1,349,251	\$449,750
Arkansas	\$303,934	\$101,311
California	\$8,812,865	\$2,937,622
Colorado	\$1,019,092	\$339,697
Connecticut	\$799,350	\$266,450
Delaware	\$300,000	\$100,000
District of Columbia	\$300,000	\$100,000
Florida	\$4,334,220	\$1,444,740
Georgia	\$1,669,966	\$556,655
Hawaii	\$300,000	\$100,000
Idaho	\$300,000	\$100,000
Illinois	\$2,705,121	\$901,707
Indiana	\$1,011,476	\$337,159
Iowa	\$334,549	\$111,516
Kansas	\$377,380	\$125,793
Kentucky	\$468,891	\$156,297
Louisiana	\$733,026	\$244,342
Maine	\$300,000	\$100,000
Maryland	\$1,271,500	\$423,833
Massachusetts	\$1,558,823	\$519,608
Michigan	\$1,729,520	\$576,507
Minnesota	\$810,964	\$270,321
Mississippi	\$300,000	\$100,000
Missouri	\$893,755	\$297,918
Montana	\$300,000	\$100,000
Nebraska	\$300,000	\$100,000
Nevada	\$615,921	\$205,307
New Hampshire	\$300,000	\$100,000
New Jersey	\$2,138,094	\$712,698
New Mexico	\$300,000	\$100,000
New York	\$4,223,019	\$1,407,673
North Carolina	\$1,379,574	\$459,858
North Dakota	\$300,000	\$100,000

Ohio	\$1,986,443	\$662,148
Oklahoma	\$452,820	\$150,940
Oregon	\$630,994	\$210,331
Pennsylvania	\$2,366,835	\$788,945
Rhode Island	\$300,000	\$100,000
South Carolina	\$680,202	\$226,734
South Dakota	\$300,000	\$100,000
Tennessee	\$909,746	\$303,249
Texas	\$4,995,434	\$1,665,145
Utah	\$591,460	\$197,153
Vermont	\$300,000	\$100,000
Virginia	\$1,472,175	\$490,725
Washington	\$1,329,133	\$443,044
West Virginia	\$300,000	\$100,000
Wisconsin	\$836,630	\$278,877
Wyoming	\$300,000	\$100,000
Puerto Rico	\$891,096	\$297,032
Guam	\$50,000	-0
Virgin Islands	\$50,000	-0
American Samoa	\$50,000	-0
Northern Mariana Islands	\$50,000	-0

## Appendix B – State Information Page

**NOTE:** Some information has been pre-populated within WebBGAS. Please review all information in WebBGAS and make any necessary changes to reflect your current information under the section titled “State Information and State Profile.”

- **Plan Year**
  - Federal Fiscal Year (2018)
- **State Identification Numbers**
  - DUNS Number
  - EIN/TIN
- **State Agency to be the Recipient for the PATH Grant**
  - a. Agency Name
  - b. Organizational Unit
  - c. Mailing Address
  - d. City
  - e. Zip Code
- **Authorized Representative for the PATH Grant**
  - First Name
  - Last Name
  - Agency Name
  - Mailing Address
  - City
  - Zip code
  - Telephone
  - Fax
  - Email Address
- **State Expenditure Period**
  - From
  - To
- **Contact Person Responsible for Application Submission**
  - Title and Organizational Unit name
  - First Name
  - Last Name
  - Telephone
  - Fax
  - Email Address

You may also add any footnote in the section provided. This may include clarifying such things as “the Authorized Representative” and the “Person Responsible for Application Submission” for the grant is the same, or any further clarification regarding the information identified above.

## **Appendix C – Supplementary Instruction for Standard Form 424A Budget Information – Non-Construction Programs (For Local Area Provider Intended Use Plans)**

NOTE: Providers may use the SF-424A to submit their budgets. Read generic instructions for SF-424A and then refer to the supplementary instructions below.

### **Budget Categories (SF-424A)**

List PATH Federal funds in column 1 and non-federal (i.e., state and local) funds in column 2. In column 1, provide budget detail by object class category (i.e., personnel, fringe, travel, equipment, supplies, contractual, etc.) for PATH federal funds only.

### **Budget Narrative and Justification**

Prepare a separate budget narrative that provides additional detail regarding PATH federal and match (i.e., state and local) funds requested for each object class category. See the example below for the level of detail to include in the budget for each local provider agency. Submit budgets for the local provider agency with Section C: Local Provider Intended Use Plan.

**Grant funds may only be used for expenses necessary to carry out PATH eligible services listed in Section I.1 of this FOA, including both direct and indirect costs.**

## BUDGET EXAMPLE

<b>PERSONNEL Position</b>	<b>Annual Salary</b>	<b>PATH-funded FTE</b>	<b>PATH-funded Salary</b>	<b>TOTAL</b>
Caseworker	\$30,000	1.0	\$30,000	\$30,000
Clinic Support Associate	\$18,000	0.5	\$ 9,000	\$ 9,000
Counselor	\$25,000	0.3	\$ 7,500	\$ 7,500
Resource Specialist	\$30,000	1.0	\$30,000	\$30,000
Outreach Worker	\$25,000	1.0	\$25,000	\$25,000
Enter sub-total on SF-424A, Section B, 6a				\$101,500
<b>FRINGE BENEFITS Position</b>	<b>Annual Salary</b>	<b>PATH-funded FTE</b>	<b>PATH-funded Salary</b>	<b>TOTAL</b>
Caseworker	\$30,000	.25	\$30,000	\$ 7,500
Clinic Support Associate	\$18,000	.25	\$ 9,000	\$ 2,250
Counselor	\$25,000	.25	\$ 7,500	\$ 1,875
Resource Specialist	\$30,000	.25	\$30,000	\$ 7,500
Outreach Worker	\$25,000	.25	\$25,000	\$ 6,250
Enter sub-total on SF-424A, Section B, 6b				\$ 25,375
<b>TRAVEL</b>	<b>Cost</b>	<b>Number Persons</b>	<b>Number Trips/Miles</b>	<b>TOTAL</b>
Local travel for Outreach Team	0.50	1	4,000	\$ 2,000
Travel to state-wide trainings, workshops, meetings	0.50	3	1,500	\$ 2,250
Enter sub-total on SF-424A, Section B, 6c				\$ 4,250
<b>EQUIPMENT</b>		<b>Per unit Cost</b>	<b>Number</b>	
Enter sub-total on SF-424A, Section B, 6d				
<b>SUPPLIES</b>		<b>Per Unit Cost</b>	<b>Number</b>	<b>TOTAL</b>
Office Supplies		\$ 100	12	\$1,200
Computer		\$1,200	3	\$3,600
Office Printer		\$ 500	3	\$1,500

Enter sub-total on SF-424A, Section B, 6e				\$ 6,300
<b>CONTRACTUAL/CONSULTANTS</b>		<b>Per Unit Cost</b>	<b>Number</b>	<b>TOTAL</b>

Integration Consultant		\$ 50/hour	200 hours	\$10,000
Primary Care Consultant		\$35/hour	100 hours	\$ 3,500
Outreach Consultant		\$35/hour	250 hours	\$ 8,750
Enter sub-total on SF-424 A, Section B, 6f				\$52,250
		Per Unit Cost	Number	Total
<b>HOUSING</b>				
One-time housing rental		800	10	\$8,000
Security deposits		300	10	\$3,000
<b>OTHER COSTS</b>				
Outreach Worker Transportation		.50/mile	3,000 miles	\$ 1,500
Enter sub-total on SF-424A, Section B, 6h				\$12,500
<b>TOTAL DIRECT CHARGES</b>				\$202,175
Enter sub-total on SF-424A, Section B, 6i				
<b>INDIRECT COSTS</b>				\$ 8,607
State Administrative Rate of 4%				
Enter sub-total on SF-424A, Section B, 6j				
<b>SUM OF COSTS</b>				\$210,782

# Appendix D – Agreements

FISCAL YEAR 2018

## PROJECTS FOR ASSISTANCE IN TRANSITION FROM HOMELESSNESS

### (PATH) AGREEMENT

I hereby certify that the State of \_\_\_\_\_ agrees to the following:

Section 522(a) (42 U.S. Code § 290cc–22(a) Amounts received under the PATH Formula Grant Program will be expended solely for making grants to political subdivisions of the State, and to nonprofit private entities for the purpose of providing the services specified in Section 522(b) to individuals who:

- Are suffering from serious mental illness;
- Are suffering from serious mental illness and have a substance use disorder; and
- Are homeless or at imminent risk of becoming homeless.

Section 522(b). Entities receiving grants under the PATH Formula Grant Program will expend funds for the following services:

- Outreach;
- Screening and diagnostic treatment;
- Habilitation and rehabilitation;
- Community mental health;
- Alcohol and/or drug treatment;
- Staff training, including the training of individuals who work in shelters, mental health clinics, substance use programs, and other sites where homeless individuals require services;
- Case management services, including:
  - Preparing a plan for the provision of community mental health services to the eligible homeless individual involved, and reviewing such plan not less than once every 3 months;



- Providing assistance in obtaining and coordinating social and maintenance services for eligible homeless individuals, including services relating to daily living activities, personal financial planning, transportation services, habilitation and rehabilitation services, prevocational and vocational services, and housing;
  - Providing assistance to eligible homeless individuals in obtaining income support services, including housing assistance, food stamps, and supplemental security income benefits;
  - Referring eligible homeless individuals for such other services as may be appropriate; and
  - Providing representative payee services in accordance with Section 1631(a) (2) of the Social Security Act if the eligible homeless individual is receiving aid under Title XVI of such act, and if the applicant is designated by the Secretary to provide such services.
- Supportive and supervisory services in residential settings;
  - Referrals for primary health services, job training, education services and relevant housing services;
  - Housing services [subject to Section 522(h)(1)] including:
    - Minor renovation, expansion, and repair of housing;
    - Planning of housing;
    - Technical assistance in applying for housing assistance;
    - Improving the coordination of housing services;
    - Security deposits;
    - The costs associated with matching eligible homeless individuals with appropriate housing situations; and
    - One-time rental payments to prevent eviction.
  - Other appropriate services, as determined by the Secretary.

Section 522(c). The State will make grants pursuant to Section 522(a) only to entities that have the capacity to provide, directly through arrangements, the services specified in Section 522(b), including coordinating the provision of services in order to meet the

needs of eligible homeless individuals who are both mentally ill and suffering from a substance use disorder.

Section 522(d). In making grants to entities pursuant to Section 522(a), the State will give special consideration to entities with a demonstrated effectiveness in serving homeless veterans.

Section 522(e). The state agrees that grants pursuant to Section 522(a) will not be made to any entity that:

- Has a policy of excluding individuals from mental health services due to the existence or suspicion of a substance use disorder; or
- Has a policy of excluding individuals from substance use services due to the existence or suspicion of mental illness.

Section 522(f). Not more than 4 percent of the payments received under the PATH Formula Grant Program will be expended for administrative expenses regarding the payments.

Section 522(g). The State agrees that

- Not more than 20 percent of the payments will be expended for housing services under section 522(b)(10); and
- The payments will not be expended:
  - To support emergency shelters or construction of housing facilities;
  - For inpatient psychiatric treatment costs or inpatient substance use treatment costs; or
  - To make cash payments to intended recipients of mental health or substance use services.

Section 523(a). The State will make available, directly or through donations from public or private entities, non-Federal contributions toward such costs in an amount that is not less than \$1 for each \$3 of funds provided in such payments. The amount of non-Federal contributions shall be determined in accordance with Section 523(b).

Section 523(c). The State will not require the entities to which grants are provided pursuant to Section 522(a) to provide non-Federal contributions in excess of the non-Federal contributions described in Section 523(a).

Section 526. The State has attached hereto a statement:

- Identifying existing programs providing services and housing to eligible homeless individuals and gaps in the delivery systems of such programs;
- Containing a plan for providing services and housing to eligible homeless individuals, which:
  - Describes the coordinated and comprehensive means of providing services and housing to homeless individuals; and
  - Includes documentation that suitable housing for eligible homeless individuals will accompany the provision of services to such individuals;
- Describing the source of the non-Federal contributions described in Section 523;
- Containing assurances that the non-Federal contributions described in Section 523 will be available at the beginning of the grant period;
- Describing any voucher system that may be used to carry out this part; and
- Containing such other information or assurances as the Secretary may reasonably require.

Section 527(a) (1), (2), and (3). The State has attached hereto a description of the intended use of PATH Formula grant amounts for which the State is applying. This description

- Identifies the geographic areas within the State in which the greatest numbers of homeless individuals with a need for mental health, substance use disorder, and housing services are located; and
- Provides information relating to the program and activities to be supported and services to be provided, including information relating to coordinating such programs and activities with any similar programs and activities of public and private entities.

Section 527(a) (4). The description of intended use for the fiscal year of the amounts for which the State is applying will be revised throughout the year as may be necessary

to reflect substantial changes in the programs and activities assisted by the State pursuant to the PATH Formula Grant Program.

Section 527(b). In developing and carrying out the description required in Section 527(a), the State will provide public notice with respect to the description (including any revisions) and such opportunities as may be necessary to provide interested clients, such as family members, consumers and mental health, substance use, and housing agencies, an opportunity to present comments and recommendations with respect to the description.

Section 527(c) (1) (2). The services to be provided pursuant to the description of the intended use required in Section 527(a), have been considered in the preparation of, have been included in, and are consistent with the State Plan for Comprehensive Community Mental Health Services under P.L. 102-321.

Section 528(a). The State will prepare and submit a report providing such information as is necessary for:

- Securing a record and description of the purposes for which amounts received under the PATH Formula Grant Program were expended during fiscal year 2016 and of the recipients of such amounts; and
- Determining whether such amounts were expended in accordance with the provisions of Part C – PATH.

SAMHSA will provide recipients with a due date to submit all needed data.

Section 528(b). The State further agrees that it will make copies of the reports described in Section 528(a) available for public inspection.

Section 529. Payments may not be made unless the State agreements are made through certification from the chief executive officer of the State.

**Charitable Choice Provisions:**

The State will comply, as applicable, with the Substance Abuse and Mental Health Services Administration’s (SAMHSA) Charitable Choice statutes codified at sections 581-584 and 1955 of the Public Health Service Act (42 U.S.C. §§290kk, et seq., and 300x-65) and their governing regulations at 42 C.F.R. part 54 and 54a respectively.

\_\_\_\_\_  
Governor

\_\_\_\_\_  
Date

## Appendix E – Checklist for Formatting Requirements for SAMHSA Grant Applications

Recipients (States and territories) must submit the application through the WebBGAS system. Providers that are submitting IUPs must comply with the following basic application requirements. IUPs that do not comply with these requirements will be returned for resubmission.

- Information provided must be sufficient for review.
- Text must be legible.
- Type size in the Project Narrative cannot exceed an average of 12 characters per inch, as measured on the physical page (type size in charts, tables, graphs, and footnotes will not be considered in determining compliance.).
- Text in the Project Narrative cannot exceed six lines per vertical inch.
- Paper must be white paper and 8.5 inches by 11.0 inches in size.
- Use black ink and number pages consecutively from beginning to end so that information can be located easily during review of the application. Appendices should be labeled and separated from the Project Narrative and Budget sections, and all pages should be numbered sequentially.
- Pages should be typed single-spaced with one column per page.
- Pages should not have printing on both sides.
- **It is strongly recommended that the providers prepare their Intended Use Plans 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.
- **Recipients and IUP users must upload the IUPs and name the uploaded form with the provider agency name, and a subsequent word which indicates the content** (for example: ABCAgency\_program narrative, ABCAgency\_budget detail or ABCAgency\_budget form). The document the provider uploads into the provider section of the WebBGAS must be a .pdf or Microsoft word document.
- Text legibility: **Use a font of Times New Roman 12, line spacing of single space, and all margins (left, right, top, and bottom) of at least one inch each.** Adhering to these standards will help to ensure the accurate transmission of your document.

## Appendix F – Guidance for Electronic Submission of Applications

Applications must be submitted electronically through WebBGAS. WebBGAS is a web-enabled grant management system that allows for the creation, submission, review, and archive of your PATH application. PATH providers can now directly enter their Intended Use Plans (IUPs) descriptions and budget information into WebBGAS and states can manage the IUP user accounts. WebBGAS benefits both states and the federal government by significantly reducing the paperwork burden required for creation, submission, revision, and approval of your application. The electronic system facilitates the preparation of required documents in the following ways:

- Eliminates redundant data entry by automatically pre-populating information that was previously entered.
- Allows multiple state and provider staff to work on different sections of the application at the same time.
- Integrates documents originally written in Microsoft Word, Microsoft Excel, or PDF when files are uploaded through WebBGAS.
- Enables uploading Intended Use Plans (IUPs) to WebBGAS in Microsoft Word, Microsoft Excel or PDF.
- Reduces the overall burden associated with submitting the application.

The application may be viewed by other state users, state citizens, and federal staff. IUP users may only view their own entries. In addition, once the application document has been generated, it may be viewed, searched, or printed with Adobe Acrobat. The historical applications and the documents will be available in WebBGAS for reference.

The Web site link to access [WebBGAS](https://bgas.samhsa.gov) is: <https://bgas.samhsa.gov>

You must follow the instructions in the User Guide available at <https://bgas.samhsa.gov>.

- Please refer to [Appendix E](#), Checklist for Formatting Requirements for SAMHSA Grant Applications, for SAMHSA's basic application formatting requirements. As states are entering the information into the WebBGAS system, there is a set format. For Providers who are submitting IUPs, they must adhere to the SAMHSA formatting requirements as stated in [Appendix E](#). IUPs that do not comply with these requirements will be returned for resubmission.

**Applications are requested as soon as possible but must be received by Monday, July 09, 2018.** You must select the "submit button" in the [WebBGAS](https://bgas.samhsa.gov) system (<https://bgas.samhsa.gov>) by 11:59 PM (Eastern Time). **You may sign-in using the logon credentials emailed to your official email on SAMHSA file from the WebBGAS**

**helpdesk.** If the PATH State Contact has not received the logon credentials, or has a problem accessing WebBGAS contact the WebBGAS help desk at [BGASHelpdesk@SAMHSA.hhs.gov](mailto:BGASHelpdesk@SAMHSA.hhs.gov) or enter a support ticket from the WebBGAS [Help Desk Page](#) or contact a support desk staff person at **1-888-301-BGAS (2427)**.

In order to submit the application all items need to have a status of “complete” on the “Applications Forms Overview” screen within WebBGAS. As you complete each form you may set the status to “complete” by selecting the “complete” button under each screen. When all the items are marked as “complete” in the “Application Forms Overview” screen, a “State Supervisor Review” tab will appear on the left menu. Selecting the “State Supervisor Review” tab displays a confirmation window to confirm that the application is ready for review. Once you click the “State Supervisor Review” button within the “Application Ready for Review” window, the “Authorized Representative” will then receive a message indicating completion of the review. Once the “Authorized Representative” is ready to submit the application, select the “Submit to SAMHSA” tab within the “Application Submission” window, and then select the “Submit to SAMHSA” button. Once the “Authorized Representative” selects “Submit to SAMHSA”, the State Dashboard shows the application as “Submitted”.

**SAMHSA will not accept or consider any applications that are received in another format or that are hand carried or sent by facsimile.**

**It is strongly recommended that the providers prepare their Intended Use Plans 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. **PowerPoint files are not acceptable.**

Applicants and providers must upload the IUP and name the uploaded form with the provider agency name, and a subsequent word which indicates the content (for example: ABCAgency\_program narrative, ABCAgency\_budget detail or ABCAgency\_budget form). The document the providers upload must be a .pdf or Microsoft word document into the provider section of the WebBGAS.

Scanned images must be scanned at 150-200 dpi/ppi resolution and saved as a jpeg or pdf file. Using a higher resolution setting or different file type could result in rejection of your application.

Formatting requirements for SAMHSA grant applications are described in [Appendix E](#) of this announcement. These requirements help ensure the accurate transmission and equitable treatment of applications.

Text legibility: Use a font of Times New Roman 12, line spacing of single space, and all margins (left, right, top, and bottom) of at least one inch each. Adhering to these standards will help to ensure the accurate transmission of your document.

## Appendix G – PATH Government Project Officer for Each State and Territory

STATE/TERRITORY	FEDERAL PROJECT OFFICER
Alabama	Maia Banks-Scheetz
Alaska	Sheryl Crawford
Arizona	Sheryl Crawford
Arkansas	Robert Grace
California	Sheryl Crawford
Colorado	Sheryl Crawford
Connecticut	Dorrine Gross
Delaware	Maia Banks-Scheetz
District of Columbia	Maia Banks-Scheetz
Florida	Maia Banks-Scheetz
Georgia	Maia Banks-Scheetz
Hawaii	Sheryl Crawford
Idaho	Sheryl Crawford
Illinois	Robert Grace
Indiana	Robert Grace
Iowa	Dorrine Gross
Kansas	Dorrine Gross
Kentucky	Maia Banks-Scheetz
Louisiana	Robert Grace
Maine	Dorrine Gross
Maryland	Maia Banks-Scheetz
Massachusetts	Dorrine Gross
Michigan	Robert Grace
Minnesota	Robert Grace
Mississippi	Maia Banks-Scheetz
Missouri	Dorrine Gross
Montana	Sheryl Crawford
Nebraska	Dorrine Gross
Nevada	Sheryl Crawford
New Hampshire	Dorrine Gross
New Jersey	Caroline Fernandez
New Mexico	Robert Grace
New York	Caroline Fernandez
North Carolina	Maia Banks-Scheetz
North Dakota	Sheryl Crawford
Ohio	Robert Grace
Oklahoma	Robert Grace



<b>STATE/TERRITORY</b>	<b>FEDERAL PROJECT OFFICER</b>
Oregon	Sheryl Crawford
Pennsylvania	Maia Banks-Scheetz
Rhode Island	Dorrine Gross
South Carolina	Maia Banks-Scheetz
South Dakota	Sheryl Crawford
Tennessee	Maia Banks-Scheetz
Texas	Robert Grace
Utah	Sheryl Crawford
Vermont	Dorrine Gross
Virginia	Maia Banks-Scheetz
Washington	Sheryl Crawford
West Virginia	Maia Banks-Scheetz
Wisconsin	Robert Grace
Wyoming	Sheryl Crawford
Puerto Rico	Caroline Fernandez
Guam	Sheryl Crawford
Virgin Islands	Caroline Fernandez
American Samoa	Sheryl Crawford
Northern Mariana Islands	Sheryl Crawford

## Appendix H – Addressing Behavioral Health Disparities

SAMHSA expects recipients to utilize their data to: (1) identify the number of individuals to be served during the grant period and identify subpopulations (i.e., racial, ethnic, sexual, and gender minority groups) vulnerable to behavioral health disparities; (2) implement a quality improvement plan for the use of program data on access, use, and outcomes to support efforts to decrease the differences in access to, use, and outcomes of service activities; and (3) identify methods for the development of policies and procedures to ensure adherence to the National Standards for Culturally and Linguistically Appropriate Services (CLAS) in Health and Health Care.

### **Definition of Health Disparities**

Healthy People 2020 defines a health disparity as a “particular type of health difference that is closely linked with social, economic, and/or environmental disadvantage. Health disparities adversely affect groups of people who have systematically experienced greater obstacles to health based on their racial or ethnic group; religion; socioeconomic status; gender; age; mental health; cognitive, sensory, or physical disability; sexual orientation or gender identity; geographic location; or other characteristics historically linked to discrimination or exclusion.”

### **Subpopulations**

SAMHSA grant applicants are routinely asked to define the population they intend to serve given the focus of a particular grant program (e.g., adults with serious mental illness [SMI] at risk for chronic health conditions; young adults engaged in underage drinking; populations at risk for contracting HIV/AIDS, etc.). Within these populations of focus are *subpopulations* that may have disparate access to, use of, or outcomes from provided services. These disparities may be the result of differences in language, beliefs, norms, values, and/or socioeconomic factors specific to that subpopulation. For instance, Latino adults with SMI may be at heightened risk for metabolic disorder due to lack of appropriate in-language primary care services; Native American youth may have an increased incidence of underage drinking due to coping patterns related to historical trauma within the Native American community; and African American women may be at greater risk for contracting HIV/AIDS due to lack of access to education on risky sexual behaviors in urban low-income communities. While these factors might not be pervasive among the general population served by a recipient, they may be predominant among subpopulations or groups vulnerable to disparities. It is imperative that recipients understand who is being served within their community in order to provide care that will yield positive outcomes, per the focus of that grant. In order for organizations to attend to the potentially disparate impact of their grant efforts, applicants are asked to address access, use and outcomes for subpopulations, which can be defined by the following factors:

- By race

- By ethnicity
- By gender (including transgender), as appropriate
- By sexual orientation (i.e., lesbian, gay, bisexual), as appropriate

The ability to address the quality of care provided to subpopulations served within SAMHSA's grant programs is enhanced by programmatic alignment with the federal CLAS standards.

### **National Standards for Culturally and Linguistically Appropriate Services (CLAS) in Health and Health Care**

The National CLAS Standards were initially published in the Federal Register on December 22, 2000. Culturally and linguistically appropriate health care and services, broadly defined as care and services that are respectful of and responsive to the cultural and linguistic needs of all individuals, is increasingly seen as essential to reducing disparities and improving health care quality. The National CLAS Standards have served as catalyst and conduit for the evolution of the field of cultural and linguistic competency over the course of the last 12 years. In recognition of these changes in the field, the HHS Office of Minority Health undertook the National CLAS Standards Enhancement Initiative from 2010 to 2012.

The enhanced National CLAS Standards seek to set a new bar in improving the quality of health to our nation's ever diversifying communities. Enhancements to the National CLAS Standards include the broadening of the definitions of health and culture, as well as an increased focus on institutional governance and leadership. The enhanced National Standards for Culturally and Linguistically Appropriate Services in Health and Health Care are comprised of 15 Standards that provide a blueprint for health and health care organizations to implement culturally and linguistically appropriate services that will advance health equity, improve quality, and help eliminate health care disparities.

You can learn more about the CLAS mandates, guidelines, and recommendations at HHS.gov's [Think Cultural Health](http://www.ThinkCulturalHealth.hhs.gov) webpage: <http://www.ThinkCulturalHealth.hhs.gov>.

### **Sample Health Disparities Impact Statement:**

#### **Access to Services**

Based on the general population who will receive services from this grant, the behavioral health outcomes for Latino/Hispanics and African Americans are significantly worse than other groups. We have prioritized the service needs of these populations for this grant and propose to serve the following numbers of clients:

	Total	FY1	FY2	FY3	FY4
<b>Direct Services: Number to be served</b>	400	100	100	100	100
<b><i>By Race/Ethnicity</i></b>					
African American	80	20	20	20	20
American Indian/Alaska Native	<20	<5	<5	<5	<5
Asian	<20	<5	<5	<5	<5
White	180	45	45	45	45
Hispanic or Latino	100	25	25	25	25
Native Hawaiian/Other Pacific Islander	n/a	n/a	n/a	n/a	n/a
Two or more Races	unknown	unknown	unknown	unknown	unknown
<b><i>By Gender</i></b>					
Female	192	48	48	48	48
Male	208	51	51	51	51
<b><i>By Sexual Orientation/Identity Status</i></b>					
Lesbian	unknown	unknown	unknown	unknown	unknown
Gay	unknown	unknown	unknown	unknown	unknown
Bisexual	unknown	unknown	unknown	unknown	unknown
Transgender	unknown	unknown	unknown	unknown	unknown

### **Service Use**

Services and activities will be designed and implemented in accordance with cultural and linguistic needs of the individuals enrolled in the program. Service completion rates will be consistent with the access to services projections noted above.

**Outcomes**

Access and service use data will be used to manage grant implementation activities to improve the behavioral health outcomes of Latino/Hispanic and African American clients by 10 percent from their baseline performance.

## **Appendix I – Guidelines for Consumer and Family Participation**

Applicants should have experience or track record of involving mental health consumers and their family members. The applicant organization should have a documented history of positive programmatic involvement of recipients of mental health services and their family members. This involvement should be meaningful and span all aspects of the organization's activities as described below.

**Program Mission** – An organization's mission should reflect the value of involving consumers and family members in order to improve outcomes.

**Program Planning** – Consumers and family members are involved in substantial numbers in the conceptualization of initiatives including identifying community needs, goals and objectives, and innovative approaches. This includes participation in grant application development including budget submissions. Approaches should also incorporate peer support methods.

**Training and Staffing** – The staff of the organization should have substantive training in and be familiar with consumer and family-related issues. Attention should be placed on staffing the initiative with people who are themselves consumers or family members. Such staff should be paid commensurate with their work and in parity with other staff.

**Informed Consent** – Recipients of project services should be fully informed about the benefits and risks of services and make a voluntary decision, without threats or coercion, to receive or reject services at any time.

**Rights Protection** – Consumers and family members must be fully informed of all of their rights including those designated by the President's Advisory Commission's Healthcare Consumer Bill of Rights and Responsibilities: information disclosure, choice of providers and plans, access to emergency services, participation in treatment decisions, respect and non-discrimination, confidentiality of healthcare information, complaints and appeals, and consumer responsibilities.

**Program Administration, Governance, and Policy Determination** – Consumers and family members should be hired in key management roles to provide project oversight and guidance. Consumers and family members should sit on all Board of Directors, Steering Committees and Advisory bodies in meaningful numbers. Such members should be fully trained and compensated for their activities.

**Program Evaluation** – Consumers and family members should be integrally involved in designing and carrying out all research and program evaluation activities. This includes determining research questions, designing instruments, conducting surveys and other research methods, and analyzing data and determining conclusion. Consumers and family members should also be involved in all submission of journal articles. Evaluation and research should also include consumer satisfaction and dissatisfaction measures.

## Appendix J – Electronic Health Record (EHR) Resources

The following is a list of websites for EHR information:

For additional information on EHR implementation please visit:

<http://www.healthit.gov/topic/health-it-basics/benefits-ehrs>

For a comprehensive listing of Complete EHRs and EHR Modules that have been tested and certified under the Temporary Certification Program maintained by the Office of the National Coordinator for Health IT (ONC) please see the [Certified Health IT Product List](#):

<https://chpl.healthit.gov/#/search>

For a listing of Regional Extension Centers (REC) for technical assistance, guidance, and information to support efforts to become a meaningful user of Electronic Health Records (EHRs), see [HealthIT.gov's RECs](#) webpage:

<http://www.healthit.gov/providers-professionals/regional-extension-centers-recs#listing>

Behavioral healthcare providers should also be aware of federal confidentiality regulations including HIPPA and 42CRF Part 2

(located under the [Health Information Technology](#) webpage on SAMHSA.gov:

<https://www.samhsa.gov/health-information-technology/laws-regulations-guidelines>).

EHR implementation plans should address compliance with these regulations.

For questions on EHRs and HIT, contact: [SAMHSA.HIT@samhsa.hhs.gov](mailto:SAMHSA.HIT@samhsa.hhs.gov).

## **Appendix K – Addressing Disaster Preparedness and Emergency Planning**

Integrating disaster preparedness and emergency planning while working with people experiencing homelessness can be quite challenging due to the transient nature of this population. These challenges are often exacerbated by mental health and substance use disorder issues. Thus, it is vital that recipients have an explicit (written) disaster preparedness plan for individuals experiencing homelessness within your state. PATH recipients are encouraged to ensure the participation of people experiencing homelessness in the design, review, updating, testing and implementation of emergency plans that currently exist or will be developed as a result of the adoption of this program guidance.

In forming disaster preparedness plans, PATH recipients should consider the challenges of reconnecting populations experiencing homelessness to essential services post disaster if services have been interrupted. Additionally, your disaster preparedness plan should consider from a behavioral health perspective, how a person experiencing homelessness (and any serious mental illness) may be prone to severe reactions (high risk), and perhaps are less resilient than survivors who are well connected in terms of social support systems. Furthermore, it is important to identify and contact your State Disaster Behavior Health Coordinator. If your state receives a presidential disaster declaration and requests Individual Assistance, this person will be integral in the coordination of disaster behavior health services and resources.

On a yearly basis, or as deemed consistent with existing emergency plan milestones for the State, PATH recipients, are encouraged to assess and adjust as appropriate, their emergency services plans to ensure it continues to meet the service needs of people experiencing homelessness. In addition, PATH recipients should create After Action Reports (AAR) for their documentation and review of best practices and challenges pertaining to disaster response. The AAR reports can be shared with other PATH recipients to increase capacity building for future disasters.

### **Definition of Disaster Behavior Health**

Disaster behavioral health is an integral part of the overall public health and medical preparedness, response, and recovery system. It includes the interconnected psychological, emotional, cognitive, developmental, and social influences on behavior, mental health, and substance use disorder, and the effect of these influences on preparedness, response, and recovery from disasters or traumatic events. Behavioral factors directly and indirectly influence individual and community risks, health, resilience, and the success of emergency response and recovery strategies and public health measures.



## **Resources**

### **Promising Practices in Disaster Behavioral Health Planning**

The goal of the webcast Introduction to Promising Practices in Disaster Behavioral Health Planning is to define promising practices in DBH planning and share examples that have been implemented.

[https://www.youtube.com/watch?v=\\_tpsXPB0UoA&list=PLBXgZMI\\_zqfRcTt9ndxkbieQ-pQslk-R6](https://www.youtube.com/watch?v=_tpsXPB0UoA&list=PLBXgZMI_zqfRcTt9ndxkbieQ-pQslk-R6)

### **Promising Practices in Disaster Behavioral Health Planning: Building Effective Partnerships**

This webcast provides information and examples of how to build effective working relationships with federal, state, and local government, and non-government partners, in developing a comprehensive DBH plan.

[https://www.youtube.com/watch?v=e95C4yMybP4&list=PLBXgZMI\\_zqfRcTt9ndxkbieQ-pQslk-R6](https://www.youtube.com/watch?v=e95C4yMybP4&list=PLBXgZMI_zqfRcTt9ndxkbieQ-pQslk-R6)

### **Promising Practices in Disaster Behavioral Health Planning: Implementing Your Disaster Behavioral Health Plan**

This webcast addresses the essential components and promising practices in implementing a DBH plan for a state, territory, or tribe. It focuses on identifying and defining the key mechanisms and processes that put a plan into action in response to an event.

[https://www.youtube.com/watch?v=EgXnfGP3LGc&list=PLBXgZMI\\_zqfRcTt9ndxkbieQ-pQslk-R6](https://www.youtube.com/watch?v=EgXnfGP3LGc&list=PLBXgZMI_zqfRcTt9ndxkbieQ-pQslk-R6)

### **Promising Practices in Disaster Behavioral Health Planning: Integrating Your Disaster Behavioral Health Plan**

This webcast discusses how states, territories, and tribes can update and integrate their DBH plans with their overarching disaster response plans.

[https://www.youtube.com/watch?v=lpg0\\_5IOgOg](https://www.youtube.com/watch?v=lpg0_5IOgOg)

[SAMHSA Disaster Behavioral Health Information Series \(DBHIS\) DBHIS](http://www.samhsa.gov/dtac/dbhis-collections) is a collection of resources on numerous subjects, including Children and Youth, Deployed Military Personnel and Their Families, Languages other than English, Older Adults, Persons with Functional and Access Needs, Rural Populations, Tribal Organizations, and many more. <http://www.samhsa.gov/dtac/dbhis-collections>

## **SAMHSA Disaster Response Template Toolkit**

This Disaster Response Template Toolkit features public education materials that disaster behavioral health response programs can use to create resources for reaching people affected by a disaster. The Template Toolkit includes print, website, audio, video, and multimedia materials that disaster behavioral health response programs can use to provide outreach, psycho-education, and recovery news for disaster survivors. Many of the links contain sample materials and online tools that have been used in previous disaster situations across the country. The templates can also be adapted for future use as desired.

<http://www.samhsa.gov/dtac>

## **SAMHSA Disaster App**

Access critical, disaster-related resources right from your phone with the [SAMHSA Disaster App](http://store.samhsa.gov/apps/disaster/). <http://store.samhsa.gov/apps/disaster/>

# Appendix L – Administrative and National Policy Requirements

## HHS Grant Regulations

If your application is funded, you must also comply with the administrative requirements outlined in 45 CFR Part 75. For more information see the [Requirements and Principles](http://www.samhsa.gov/grants/grants-management/policies-regulations/requirements-principles) webpage of the SAMHSA website at <http://www.samhsa.gov/grants/grants-management/policies-regulations/requirements-principles>.

## Additional Terms and Conditions

Depending on the nature of the specific funding opportunity and/or your proposed project as identified during review, SAMHSA may negotiate additional terms and conditions with you prior to grant award. These may include, for example:

- actions required to be in compliance with confidentiality and participant protection/human subjects requirements;
- requirements relating to additional data collection and reporting;
- requirements relating to participation in a cross-site evaluation;
- requirements to address problems identified in review of the application; or revised budget and narrative justification.

## Accessibility Provisions for All Grant Application Packages

Recipients of federal financial assistance (FFA) from HHS must administer their programs in compliance with federal civil rights law. This means that recipients of HHS funds must ensure equal access to their programs without regard to a person's race, color, national origin, disability, age and, in some circumstances, sex and religion. This includes ensuring your programs are accessible to persons with limited English proficiency. HHS provides guidance to recipients of FFA on meeting their legal obligation to take reasonable steps to provide meaningful access to their programs by persons with limited English proficiency. See the [Limited English Proficiency](http://www.hhs.gov/civil-rights/for-individuals/special-topics/limited-english-proficiency/index.html) article of the HHS.gov Civil Rights for Individuals and Advocates webpage <http://www.hhs.gov/civil-rights/for-individuals/special-topics/limited-english-proficiency/index.html>. The HHS Office for Civil Rights also provides guidance on complying with civil rights laws enforced by HHS. See the [Section 1557](http://www.hhs.gov/ocr/civilrights/understanding/section1557/index.html) article:

<http://www.hhs.gov/ocr/civilrights/understanding/section1557/index.html>; and the [Civil Rights for Providers of Health Care and Human Services](http://www.hhs.gov/civil-rights/for-providers/index.html) webpage:

<http://www.hhs.gov/civil-rights/for-providers/index.html>. Recipients of FFA also have specific legal obligations for serving qualified individuals with disabilities. See the [Disability](http://www.hhs.gov/ocr/civilrights/understanding/disability/index.html) article: <http://www.hhs.gov/ocr/civilrights/understanding/disability/index.html>.

Contact the [HHS Office for Civil Rights](https://www.hhs.gov/ocr/about-us/contact-us/index.html) for more information about obligations and prohibitions under federal civil rights laws at <https://www.hhs.gov/ocr/about-us/contact-us/index.html> or call 1-800-368-1019 or TDD 1-800-537-7697. Also note it is an HHS Departmental goal to ensure access to quality, culturally competent care, including long-

term services and supports, for vulnerable populations. For further guidance on providing culturally and linguistically appropriate services, recipients should review the [National Standards for Culturally and Linguistically Appropriate Services \(CLAS\)](#) in Health and Health Care at <https://minorityhealth.hhs.gov/omh/browse.aspx?lvl=2&lvlid=53>.

## **Cultural and Linguistic Competence**

Recipients of federal financial assistance (FFA) from HHS serve culturally and linguistically diverse communities that are not just defined by race or ethnicity, but also socio-economic status, sexual orientation, gender identity, physical and mental ability, age, and other factors. Organizational behaviors, practices, attitudes, and policies across all SAMHSA-supported entities respect and respond to the cultural diversity of communities, clients and students served.

If your application is funded, you must ensure access to quality health care for all. Quality care means access to services, information, and materials delivered by trained providers in a manner that factor in the language needs, health literacy, culture, and diversity of the populations served. Quality also means that data collection instruments used should adhere to culturally and linguistically appropriate norms. For additional information and guidance, refer to the [National Standards for Culturally and Linguistically Appropriate Services \(CLAS\)](#) published by the U.S. Department of Health and Human Services at <https://www.thinkculturalhealth.hhs.gov/>. Additional cultural/linguistic competency and health literacy tools, and resources are available online at [SAMHSA's Cultural Competence](#) webpage: <http://www.samhsa.gov/capt/applying-strategic-prevention/cultural-competence>

## **Acknowledgement of Federal Funding**

As required by HHS appropriations acts, all HHS recipients must acknowledge Federal funding when issuing statements, press releases, requests for proposals, bid invitations, and other documents describing projects or programs funded in whole or in part with Federal funds. Recipients are required to state (1) the percentage and dollar amounts of the total program or project costs financed with Federal funds and (2) the percentage and dollar amount of the total costs financed by nongovernmental sources

## **DOMA: Implementation of United States v. Windsor and Federal Recognition of Same-Sex Spouses/Marriages**

A special term of award may be included in the final NoA that states: "On June 26, 2013, in [United States v. Windsor](#), the Supreme Court held that section 3 of the Defense of Marriage Act (DOMA), which prohibited federal recognition of same-sex marriages, was unconstitutional. As a result of that decision and consistent with HHS policy, SAMHSA recognizes same-sex marriages and same-sex spouses on equal terms with opposite sex-marriages and opposite-sex spouses, regardless of where the couple resides. On June 26, 2015, in [Obergefell v. Hodges](#), the Court held that the Fourteenth Amendment requires a State to license a marriage between two people of the same sex and to recognize a marriage between two people of the same sex when their marriage was

lawfully licensed and performed out-of-state. Consistent with both of these decisions, you must treat as valid the marriages of same- sex couples. This policy does not apply to registered domestic partnerships, civil unions or similar formal relationships recognized under state law as something other than a marriage.”

### **Mandatory Disclosures**

Consistent with 45 CFR 75.113, applicants and recipients must disclose in a timely manner, in writing to the HHS awarding agency, with a copy to the HHS Office of Inspector General (OIG), all information related to violations of federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the federal award. Sub-recipients must disclose, in a timely manner, in writing to the prime recipient (pass through entity) and the HHS OIG, all information related to violations of federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the federal award. Disclosures must be sent in writing to the awarding agency and to the HHS OIG at the following addresses:  
SAMHSA

Attention: Office of Financial Advisory Services  
5600 Fishers Lane  
Rockville, MD 20857

### **AND**

U.S. Department of Health and Human  
Services Office of Inspector General  
ATTN: Mandatory Grant Disclosures, Intake  
Coordinator  
330 Independence Avenue, SW, Cohen Building  
Room 5527  
Washington, DC 20201

Fax: (202) 205-0604 (Include “Mandatory Grant Disclosures” in subject line) or email:  
[MandatoryGranteeDisclosures@oig.hhs.gov](mailto:MandatoryGranteeDisclosures@oig.hhs.gov)

Failure to make required disclosures can result in any of the remedies described in 45 CFR 75.371 Remedies for noncompliance; including suspension or debarment (See 2 CFR parts 180 & 376 and 31 U.S.C. 3321).”

### **System for Award Management (SAM) Reporting**

A term may be added to the NoA that states: “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

also must 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.”

### **Drug-Free Workplace**

You as the recipient must comply with drug-free workplace requirements in Subpart B (or Subpart C, if the recipient is an individual) of part 382, which adopts the Government-wide implementation (2 CFR part 182) of section 5152-5158 of the Drug-Free Workplace Act of 1988 (Pub. L. 100-690, Title V, Subtitle D; 41 U.S.C. 701-707).

### **Smoke-Free Workplace**

The Public Health Service strongly encourages all award recipients to provide a smoke-free workplace and to promote the non-use of all tobacco products. Further, Public Law (P.L.) 103-227, the Pro-Children Act of 1994, prohibits smoking in certain facilities (or in some cases, any portion of a facility) in which regular or routine education, library, day care, health care or early childhood development services are provided to children.

### **Standards for Financial Management**

Recipients are required to meet the standards and requirements for financial management systems set forth in 45 CFR part 75. The financial systems must enable the recipient 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 to compare actual expenditures or outlays with the approved budget for the award. SAMHSA funds must retain their award-specific identity – they may not be commingled with state 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 for any expenditure.]

### **Trafficking in Persons**

Awards issued by SAMHSA are subject to the requirements of Section 106(g) of the Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. 7104). For the full text of the award term, go to SAMHSA’s Notice of Award [Standard Terms and Conditions](http://www.samhsa.gov/grants/grants-management/notice-award-noa/standard-terms-conditions) webpage: <http://www.samhsa.gov/grants/grants-management/notice-award-noa/standard-terms-conditions>.

NOTE: The signature of the AOR on the application serves as the required certification of compliance for your organization regarding the administrative and national policy requirements.

## **Publications**

Recipients are required to notify the Government Project Officer (GPO) and SAMHSA's Publications Clearance Officer (240-276-2130) of any materials based on the SAMHSA-funded grant project that are accepted for publication. In addition, SAMHSA requests that recipients:

- Provide the GPO and SAMHSA Publications Clearance Officer with advance copies of publications
- Include acknowledgment of the SAMHSA grant program as the source of funding for the project.
- Include a disclaimer stating that the views and opinions contained in the publication do not necessarily reflect those of SAMHSA or the U.S. Department of Health and Human Services, and should not be construed as such.

SAMHSA reserves the right to issue a press release about any publication deemed by SAMHSA to contain information of program or policy significance to the substance abuse treatment/substance abuse prevention/mental health services community.

## **Healthy People 2020**

The PHS Act is committed to achieving the health promotion and disease prevention objectives of Healthy People 2020, a PHS Act led national activity for setting priority areas. The PATH FOA is related to the priority area of Mental Health and Mental Disorders Topic Area HP 2020-MHMD. Applicants may obtain a copy of [Health People 2020](#) online at <http://www.healthypeople.gov/2020/default.aspx>.