



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

Center for Mental Health Services

Grant Number: 1H79SM063549-01
FAIN: H79SM063549
Program Director: Daisy Rodriguez

Project Title: Pinellas County - Assisted Outpatient Treatment for Individuals with SMI

Grantee Address	Business Address
COUNTY OF PINELLAS Daisy Rodriguez 14 S. Ft. Harrison Ave. Clearwater, FL 337565105	Mark Woodard County Administrator Pinellas County 14 S. Ft. Harrison Ave. Clearwater, FL 337565105

Budget Period: 09/30/2018 – 09/29/2019
Project Period: 09/30/2018 – 09/29/2022

Dear Grantee:

The Substance Abuse and Mental Health Services Administration hereby awards a grant in the amount of \$997,160 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to COUNTY OF PINELLAS in support of the above referenced project. This award is pursuant to the authority of Section 224 of PAMA and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

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

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

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

Sincerely yours,
Roger George
Grants Management Officer
Division of Grants Management

See additional information below

SECTION I – AWARD DATA – 1H79SM063549-01**Award Calculation (U.S. Dollars)**

Other	\$997,160
Direct Cost	\$997,160
Approved Budget	\$997,160
Federal Share	\$997,160
Cumulative Prior Awards for this Budget Period	\$0
AMOUNT OF THIS ACTION (FEDERAL SHARE)	\$997,160

SUMMARY TOTALS FOR ALL YEARS	
YR	AMOUNT
1	\$997,160
2	\$997,160
3	\$997,160
4	\$997,160

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

Fiscal Information:

CFDA Number: 93.997
EIN: 1596000800A5
Document Number: 16SM63549A
Fiscal Year: 2018

IC	CAN	Amount
SM	C96J670	\$997,160

IC	CAN	2018	2019	2020	2021
SM	C96J670	\$997,160	\$997,160	\$997,160	\$997,160

SM Administrative Data:

PCC: AOT / OC: 4145

SECTION II – PAYMENT/HOTLINE INFORMATION – 1H79SM063549-01

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

The HHS Inspector General maintains a toll-free hotline for receiving information concerning fraud, waste, or abuse under grants and cooperative agreements. The telephone number is: 1-800-HHS-TIPS (1-800-447-8477). The mailing address is: Office of Inspector General, Department of Health and Human Services, Attn: HOTLINE, 330 Independence Ave., SW, Washington, DC 20201.

SECTION III – TERMS AND CONDITIONS – 1H79SM063549-01

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

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

Treatment of Program Income:

Additional Costs

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

SECTION IV – SM Special Terms and Conditions – 1H79SM063549-01

REMARKS

FY 2018 New Award

1. This Notice of Award (NoA) is issued to inform your organization that the application submitted through the funding opportunity **#SM-16-011 Assisted Outpatient Treatment Grant Program for Individuals with Serious Mental Illness (AOT)** has been selected for funding.

1a) This award **conditionally** approves the budget submitted **June 16, 2016** as part of the application by your organization. The approved amount of **\$997,160** was moved to the 'Other' budget category. This amount is restricted and may not be used for any purpose until the recipient has responded to the Special Condition of Award. Once the Special Condition of Award is lifted by the Division of Grants Management, a revised Notice of Award will be issued to allocate the funds among the budget categories.

2. Recipients are expected to plan their work to ensure that funds are expended within the 12-month budget period reflected on this Notice of Award. If activities proposed in the approved budget cannot be completed within the current budget period, SAMHSA cannot guarantee the approval of any request for carryover of remaining unobligated funding.

3. All responses to award terms and conditions and prior approval requests must be submitted as .pdf documents in the "View Terms Tracking Details" page in eRA Commons.

For more information on how to upload a document in response to a tracked term, please reference under heading "**4 Additional Materials – grantee**" in the User Guide located at:

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

If you have not already done so, you must register the PD listed on the HHS Checklist in eRA Commons to assign a Commons ID. Once the PD has received their Commons ID, please send this information to your Grants Management Specialist. You can find additional information about the eRA Commons registration process at https://era.nih.gov/reg_accounts/register_commons.cfm.

Key Staff

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

Daisy Rodriguez, Project Director @ unstated % level of effort

Unnamed, Evaluator @ unstated % level of effort

Recipient must confirm the correct Project Director, the level of effort and salary for this position and identify this individual in the detailed budget.

Recipient also must identify an Evaluator person and level of effort for the position listed above.

Any changes in key staff including level of effort involving separation from the project for more than three months or a 25 percent reduction in time dedicated to the project, requires prior approval. Reference the Prior Approval Standard Term for additional information and instructions.

SPECIAL TERMS

Disparity Impact Statement (DIS)

By **November 30, 2018** you must submit via eRA Commons.

The DIS should be consistent with information in your application regarding access, *service use and outcomes for the program and include three components as described below. Questions about the DIS should be directed to your GPO. Examples of DIS can be found on the SAMHSA website at <http://www.samhsa.gov/grants/grants-management/disparity-impactstatement>.

*Service use is inclusive of treatment services, prevention services as well as outreach, engagement, training, and/or technical assistance activities.

The disparity impact statement consists of three components:

1. Proposed number of individuals to be served and/or reached by subpopulations in the grant implementation area should be provided in a table that covers the entire grant period. The disparate population(s) should be identified in a narrative that includes a description of the population and rationale for how the determination was made.

2. A quality improvement plan for how you will use your program (GPRA) data on access, use and outcomes to monitor and manage program outcomes by race, ethnicity and LGBT status, when possible. The quality improvement plan should include strategies for how processes and/or programmatic adjustments will support efforts to reduce disparities for the identified sub-populations.

3. The quality improvement plan should include methods for the development and implementation of policies and procedures to ensure adherence to the Enhanced Culturally and Linguistically Appropriate Services (CLAS) Standards and the provision of effective care and services that are responsive to:

- a. Diverse cultural health beliefs and practices;
- b. Preferred languages; and
- c. Health literacy and other communication needs of all sub-populations within the proposed geographic region.

All responses to award terms and conditions must be submitted as .pdf documents in the “View Terms Tracking Details” page in eRA Commons.

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SPARS

All SAMHSA recipients are required to collect and report certain data so that SAMHSA can meet its obligations under the Government Performance and Results Act (GPRA) Modernization Act of 2010. These data are gathered using SAMHSA's Performance Accountability and Reporting System (SPARS). The recipient will be expected to complete SPARS Annual Goals and Budget training not later than December 30, 2018; and, will be expected to complete SPARS Annual Goals and Budget information and data no later than January 30, 2019.

SPECIAL CONDITIONS

Marginal

By **October 30, 2018**, submit via eRA Commons.

The application received a Marginal Rating for Section A: Population of Focus and Statement of Need. Reviewers noted the following:

The applicant organization provides national health disparities data rather than data specific to the county. It does not provide ample data specific to the population of individuals with SMI. It broadly describes how AOT may play a role with this population, but it does not specifically discuss the need for AOT for this specific county. The applicant organization states that it will improve the EHR system as an infrastructure enhancement for the proposed project. Given that the applicant organization does not have AOT services in place, it seems unlikely that EHR improvements are the only infrastructure developments that will need to take place.

To ensure that the recipient meets acceptable standards for this section, by October 30, 2018 you must submit in eRA (SAMHSA's Electronic Research Administration system) for review and approval a written response regarding the following:

- Quantitative data specific to Pinellas County that describes the need and service gaps and

current prevalence rates and/or incidence data for the selected population of focus.

- A detailed description of the need for AOT services in Pinellas County.
- A detailed description of all needed infrastructure improvements, including improvements to the electronic health records system.

The application also received a Marginal Rating for Section B: Proposed Evidence-Based Service/Practice. Reviewers noted the following:

Although the applicant organization lists goals and objectives that are consistent with the intent of the FOA, they are broad and non-specific to the county. It mentions a number of disparities, but it states that existing programs will meet the needs for these disparities so it is unclear whether the addition of new EBPs will further address disparities. The applicant organization describes one modification for an EBP, but it does not detail the modification or discuss other potential modifications. It identifies implementing a monitoring process depending on regular supervision and consultation for one EBP at one service agency, but it does not describe fidelity monitoring for any of the other EBPs it identified or at the second service agency.

To ensure that the recipient meets acceptable standards for this section by October 30, 2018 you must submit in eRA (SAMHSA's Electronic Research Administration system) for review and approval a written response regarding the following:

- Revised project objectives that are specific to the proposed project and measurable.
- A description regarding the addition of new EBPs for this project will address behavioral health disparities.
- A detailed description of the modifications to be made to the proposed EBP and any other potential modifications.
- A description of the monitoring process to be used to ensure that there is fidelity for EBP implementation for all agencies involved in the project.

Lastly, the application received a Marginal Rating for Section C: Proposed Implementation Approach. Reviewers noted the following:

The applicant organization states that the Board of County Commissioners must accept the grant award at its bi-monthly meetings, which may put the proposed project on hold and delay implementation. The applicant organization lists two agencies that will provide services, yet the missions of both do not include services to individuals with SMI. It is unclear how the applicant organization will incorporate the proposed project into these existing services. Although the applicant organization discusses how general services are culturally competent, it does not describe how it will ensure the cultural competency of AOT specific services. It proposes to screen clients coming from the Crisis Stabilization Unit, but it is unclear if it will screen individuals not in the unit. Furthermore, the applicant organization does not discuss how it will use the screening and assessment to develop treatment plans. Although the applicant organization quotes data from the Treatment Advocacy Center on the reduction of hospitalization, homelessness, incarceration, and interaction with the criminal justice system, it does not discuss what it will do to replicate these successes in its catchment area. The applicant organization restricts the individuals it will assess to Baker Act referrals, and it does not attempt to include individuals with repeat jail encounters, homeless individuals, or individuals with high system use. Furthermore, it does not discuss how its approach for identifying and assessing individuals considers the language, beliefs, norms, values, and socioeconomic factors of the population of focus. Although the applicant organization plans to use a biopsychosocial assessment to evaluate the medical and social needs of individuals, it does not describe this in any detail. It does not identify the criteria for determining the completion of court-ordered treatment. Furthermore, the applicant organization does not discuss how it will communicate noncompliance with the court system beyond stating the liaison will participate in the IDT. The applicant organization does not describe the specific medical and social service providers it will link clients to for services. It does not discuss the

process it will implement to protect and respect due process and civil rights of participants. It only states that it will follow the statute and will have licensed professionals provide treatment services. Lastly, it does not address the types and number of services to be provided to the unduplicated number of individuals it proposes to serve.

To ensure that the recipient meets acceptable standards for this section, by October 30, 2018 you must submit in eRA (SAMHSA's Electronic Research Administration system) for review and approval a written response regarding the following:

- The approach to be used to ensure timely acceptance of the grant award by the Board of County Commissioners.
- A description of the capabilities of the two proposed agencies to provide services to individuals with SMI.
- A description of how you will ensure the all AOT services are culturally competent.
- Clarification regarding if you will screen all clients or only clients from the Crisis Stabilization Unit. If the latter, a justification for limiting clients to those from the Crisis Stabilization Unit.
- A description of how you will use data and information from client screening assessments in treatment plan development.
- A description of the steps to be implemented to reduce hospitalizations, homelessness, incarceration, and interaction with the criminal justice system.
- A description of how you will include individuals with repeat jail encounters, homeless individuals, and individuals with high system use in the assessment process.
- A description of how you will consider language, beliefs, norms, values, and socioeconomic factors in the identification and assessment process,
- A detailed description of what the biopsychosocial attributes and process.
- The criteria to be used for determining the completion of court-ordered treatment.
- A specific description on how you will communicate individual non-compliance to the courts.
- A listing of the specific medical and social service provider who will link individual clients to their services
- A detailed description of how you will ensure that due process and individual's civil rights will be protected in the AOT program.
- A listing of the types and number of services to be provided. Project Summary

All responses to award terms and conditions must be submitted as .pdf documents in the "View Terms Tracking Details" page in eRA Commons.

For more information on how to upload a document in response to a tracked term, please reference under heading "**4 Additional Materials – grantee**" in the User Guide located at: https://era.nih.gov/files/TCM_User_Guide_Grantee.pdf

Revised Budget

By **October 30, 2018**, submit to the Program Official and Grants Management Specialist via eRA Commons:

1. An updated detailed budget broken down by cost categories and line item cost breakdown within each cost category.
2. An updated SF424A Budget form reflecting the updated budget by cost categories in Section B. Also, Section A - "Federal" column total cost must agree with the total cost in Section B.

3. Funding Limitations/Restriction: please list amount of total cost for each category:

- ? No more than 60 percent of the total grant award may be used for developing the infrastructure necessary for establishment and implementation of an AOT program
- ? No more than 20 percent of the grant funds can be used for expansion of treatment and support services
- ? No more than 20 percent of the total grant award may be used for data collection, performance measurement, and performance assessment, including incentives for participating in the required data collection follow-up.

Be sure to identify these expenses in your proposed budget.

All responses to award terms and conditions must be submitted as .pdf documents in the “View Terms Tracking Details” page in eRA Commons.

For more information on how to upload a document in response to a tracked term, please reference under heading “**4 Additional Materials – grantee**” in the User Guide located at: https://era.nih.gov/files/TCM_User_Guide_Granttee.pdf

Other

By **October 30, 2018** submit to the Program Official and Grants Management Specialist via eRA Commons:

Key Personnel:

1. Identity and submit resume and level of effort for the unidentified Evaluator as listed above.
2. Confirm and clearly identify the Project Director, their unspecified level of effort and submit a resume for this individual.

All responses to award terms and conditions must be submitted as .pdf documents in the “View Terms Tracking Details” page in eRA Commons. For more information on how to upload a document in response to a tracked term, please reference under heading “**4 Additional Materials – grantee**” in the User Guide located at: https://era.nih.gov/files/TCM_User_Guide_Granttee.pdf

System for Award Management (SAM) Exclusions

By October 30, 2018 submit via eRA Commons.

SAMHSA has conducted a review of one or more of the key staff for this award (Authorized Organization Representative (AOR)), Project Director, Business Official, and Key Personnel identified on the SF-424, PHS 5161, or required by the Funding Opportunity Announcement and included in the submitted application. A SAMHSA review of the General Services Administration System for Award Management (SAM) (<http://sam.gov>) has identified individual/individuals that is/are potentially excluded from participation in Federal programs or activities per 2 CFR Part 180.

Your organization must review and certify the person/s/ identified in the “RESPONSE REGARDING POTENTIAL EXCLUDED INDIVIDUAL” attachments. If the individual is the same person, a prior approval request for a change in key personnel must be submitted because excluded individuals are not permitted to be involved with or receive payments under federal grant awards. Work performed by excluded (suspended or debarred) individuals is at the organizations own risk.

Failure to comply with this Special Condition of Award may result in SAMHSA initiating

additional actions in accordance with 45 CFR §75.371, Remedies for noncompliance.

All responses to award terms and conditions must be submitted as .pdf documents in the “View Terms Tracking Details” page in eRA Commons.

For more information on how to upload a document in response to a tracked term, please reference under heading “**4 Additional Materials – grantee**” in the User Guide located at: https://era.nih.gov/files/TCM_User_Guide_Grantee.pdf

RESPONSE REGARDING POTENTIAL EXCLUDED INDIVIDUAL LETTER

The response must be provided on your organization’s letterhead.

RESPONSE REGARDING POTENTIAL EXCLUDED INDIVIDUAL

Name and role of individual in question: Mark Woodard, Authorized Representative/Business Official

Based on the entry of the name and address of the employee in question, into the SAM exclusions search, we found that he/she (check the appropriate response below):

_____ is not the same individual.

_____ is the same individual. A prior approval for a change in key personnel will be submitted following the instructions at: <https://www.samhsa.gov/grants/grants-management/post-award-changes/key-staff-level-effort>.

AOR Print Name/ Title/ Organization

AOR Signature/ Date

SAM Exclusion Search Instructions

- Go to the following link: <https://www.sam.gov/>
- On the web page, select “Search Records” on the menu bar.
- In the bottom right section of the page, under ADVANCED SEARCH click on the button.
- A dialog box will pop up providing important information about the results, once this is read click the button (in order to proceed this information must be acknowledged).
- You are now at the Advanced Search-Exclusion page. Click button to the left of the screen (2nd radio button down)
- The drop down box to the left is already populated with ‘All’. In the box to the right, enter the individual’s first and last name.

-
- Scroll down to the bottom left and click the blue button.
 - You are at the Search Results Screen. This may produce multiple results. If so, verify if the individual's entire name and state of residence are the same as the employee in question.
If a potential match is found, to the right of the individual's name, click the button.
 - Scroll down to the bottom of the page to the Primary Address section, and insert the individual's street address into the block under Verify Street Address.
 - Click button,
 - "No Match" will be displayed if no match is found.
 - Complete the section RESPONSE REGARDING POTENTIAL EXCLUDED INDIVIDUAL on this Notice of Award Condition.

STANDARD TERMS AND CONDITIONS

Standard Terms for Awards FY 2018

Your organization must comply with the Standard Terms and Conditions for grants awarded in Fiscal Year 2018 and the following award terms applicable to your award type as identified below:

- * New Grant

SAMHSA's Terms and Conditions Webpage is located at:

<https://www.samhsa.gov/grants/grants-management/notice-award-noa/standard-terms-conditions>.

Annual Federal Financial Report (SF-425)

The Federal Financial Report (FFR) (SF-425) is required on an annual basis and must be submitted no later than 90 days after the end of the budget period. The annual FFR should reflect only cumulative actual Federal funds authorized and disbursed, any non-Federal matching funds (if identified in the Funding Opportunity Announcement (FOA)), unliquidated obligations incurred, the unobligated balance of the Federal funds for the award, as well as program income generated during the timeframe covered by the report. Additional guidance to complete the FFR can be found at <http://www.samhsa.gov/grants/grants-management/reporting-requirements>.

FFR reporting must be entered directly into the eRA Commons system. Instructions on how to submit a Federal Financial Report (FFR) via the eRA Commons is available at <https://www.samhsa.gov/sites/default/files/samhsa-grantee-submit-ffr-10-22-17.pptx>.

Annual Programmatic Progress Report

Submission of an annual Programmatic Report is due no later than **December 30, 2019**.

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

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

For more information on how to upload a document in response to a tracked term, please reference under heading “**4 Additional Materials – grantee**” in the User Guide located at: https://era.nih.gov/files/TCM_User_Guide_Granttee.pdf

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

Compliance with Terms and Conditions

FAILURE TO COMPLY WITH THE ABOVE STATED TERMS AND CONDITIONS MAY RESULT IN ACTIONS IN ACCORDANCE WITH 45 CFR 75.3 71, REMEDIES FOR NON-COMPLIANCE AND 45 CFR 75.372 TERMINATION. THIS MAY INCLUDE WITHHOLDING PAYMENT, DISALLOWANCE OF COSTS, SUSPENSION AND DEBARMENT, TERMINATION OF THIS AWARD, OR DENIAL OF FUTURE FUNDING.

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

Staff Contacts:

Mariam Chase, Program Official

Phone: (240) 276-1904 **Email:** Mariam.Chase@samhsa.hhs.gov

Sarah Dayhoff, Grants Specialist

Phone: (240) 276-1688 **Email:** Sarah.Dayhoff@samhsa.hhs.gov **Fax:** (240) 276-1420