

**DEPARTMENT OF HEALTH AND HUMAN SERVICES**

**Substance Abuse and Mental Health Services Administration  
Center for Mental Health Services**

**Guidance for Applicants (GFA) No. SM - 01- 005  
Part I - Programmatic Guidance**

**Cooperative Agreement for A Technical Assistance Center  
For Statewide Family Networks**

**Short Title: Statewide Networks Technical Assistance**

Application Due Date: August 10, 2001

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Authority: Section 520A of the Public Health Service Act, as amended  
and subject to the availability of funds

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## Agency

US Department of Health and Human Services (DHHS), Substance Abuse and Mental Health Services Administration (SAMHSA).

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## Action and Purpose

The Center for Mental Health Services (CMHS), SAMHSA, announces the availability of funds for a cooperative agreement for a Technical Assistance Center for Statewide Family Networks.

The Technical Assistance Center will serve Networks receiving a grant under SAMHSA GFA No. SM-01-004. The purpose of the Technical Assistance Center is to provide training, mentoring by peers in the field, help with problem solving, a communications link for the Center for Mental Health Services to the grantees, and logistical arrangements for a mandatory annual technical assistance meeting.

Approximately \$300,000-\$600,000 will be available for one award. Actual funding levels will depend on the availability of funds.

The project period is 3 years. An award will be made for the first year with annual continuation awards made in years 2 and 3 dependant on the availability of funds and progress achieved.

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## Who Can Apply?

Nonprofit private entities which meet all of the following requirements are eligible to apply:

Nonprofit private entities that have a board of directors comprised of no less than 25 to 51

percent family members whose children, youth, or adolescent have a serious emotional, behavioral, or mental disorder. The family member requirement may also include youth members serving as part of the board of directors.

The entity's organizational mission and scope of work must focus on families who have children, youth, and adolescents age 18 and under or 21 and under served by an Individual Education Plan (IEP); with a serious emotional, behavioral, or mental disorder.

Include evidence of eligibility conditions in Appendix A, which verifies that each requirement has been met.

CMHS is limiting eligibility to family-controlled organizations because the members have the experience of caring for and making decisions for their children, youth, and adolescents with a serious emotional, behavioral, and mental disorder which keeps the organization unequivocally focused on the needs of the children and families. They are also in the best position to develop effective technical assistance strategies to assist state and community family-controlled organizations in their efforts to develop networking and support services for family members.

NOTE: If the successful awardee currently does not have 51% of it's board made up of youth and family members whose children, youth, or adolescents have a serious emotional, behavioral, or mental disorder; terms and conditions will be added to the award requiring the 51% requirement be met by the close of the first year of funding.

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## Application Kit

**Application kits have several parts. The grant announcement has two parts.** Part I is different for each GFA. Part II has general policies and procedures that apply to **all** SAMHSA grant and cooperative agreements. You will need to use both Parts I and II for your application. **This document is Part I.**

The kit also includes the blank forms (SF 424 and PHS 5161) which you will need to submit with your application.

**A complete application kit, including Parts I and II, is included in this mailing.**

Additional copies of the application kit may be downloaded from the SAMHSA site at [www.SAMHSA.gov](http://www.SAMHSA.gov). Go to the “grants” link.

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## Where to Send the Application

Send the original and 2 copies of your grant application to:

Ray Lucero  
Division of Extramural Activities, Policy,  
& Review  
SAMHSA  
Room 17-89, Parklawn Building  
5600 Fishers Lane  
Rockville, MD 20857

\*Change the zip code to 20817 if you use express mail or courier service.

**Please note:**

1. Use application form PHS 5161-1.
2. Be sure to type:  
“SM -01-005 Cooperative Agreement

For A Technical Assistance Center For Statewide Family Networks ” in Item Number 10 on the face page of the application form.

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## Application Date

**Your application must be received by August 10, 2001.**

Applications received after this date will only be accepted if they have a proof-of-mailing date from the carrier no later than August 3,2001.

Private metered postmarks are not acceptable as proof of timely mailing. Late applications will be returned without review.

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## Contacts for Further Information

**For questions on *program issues*, contact:**

Elizabeth Sweet, M.Ed., and  
Gary DeCarolis, M.Ed.  
Child, Adolescent, and Family Branch  
Center for Mental Health Services  
Substance Abuse and Mental Health Services  
Administration  
5600 Fishers Lane, Room 11C-16  
Rockville, MD 20857  
(301) 443-1333  
E-Mail: [ESWEET@samhsa.gov](mailto:ESWEET@samhsa.gov)  
[gdecarol@samhsa.gov](mailto:gdecarol@samhsa.gov)

**For questions on *grants management issues*, contact:**

Gwendolyn Simpson  
Grants Management Specialist

Division of Grants Management, OPS  
Substance Abuse and Mental Health Services  
Administration  
5600 Fishers Lane, Room 13-103  
Rockville, MD 20857  
(301) 443-4456  
E-Mail: [gsimpson@samhsa.gov](mailto:gsimpson@samhsa.gov)

- ' community-based family and youth organizations
- ' statewide family organizations
- ' Provide coordination, support, and strategic operational advice to the awardee.
- ' Meet within 90 days of award and continue to hold regularly scheduled meetings.

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## Cooperative Agreements

This award is being made as a cooperative agreement because it will require substantial Federal staff involvement, including:

- ! technical assistance to the awardee,
- ! implementation of a program evaluation

### Role of Awardee:

- ' Collaborate with CMHS staff in project implementation and monitoring.
- ' Participate in program evaluation.

### Role of Federal Staff:

- ' Monitor, review, and approve project activities.
- ' Insure the technical assistance center's activities are coordinated with CMHS, SAMHSA, and other Federally funded technical assistance centers and their information dissemination activities.
- ' Participate on the Technical Assistance advisory committee

### Role of the Technical Assistance Advisory Committee:

- ' Represent the diverse stakeholders of the Statewide Family Network Program grantees, including:

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## Funding Criteria

Decisions to fund a grant under this announcement are based on:

1. The strengths and weaknesses of the application as determined by the Peer Review Committee and approved by the CMHS Advisory Council
2. Availability of funds
3. The awardee's willingness to move toward a board of directors comprised of no less than 51% family members whose children, youth, or adolescents have a serious emotional, behavioral, or mental disorder. The 51% family members may also include youth members serving as part of the board of directors. Applicants who are interested in applying but who do not currently meet the above eligibility requirement, may apply, and if the applicant is the successful awardee, the award will be made with terms and conditions that the successful applicant must meet the stated eligibility requirements by the close of the first year of funding.

# Post Award Requirements

1. Establish a Technical Assistance advisory committee:
  - < 12 - 14 members
  - < Meets at least twice a year to review the Technical Assistance Center's activities and make recommendations regarding strategic directions.
  - < Represents a variety of perspectives including but not limited to: families of color, urban families, rural families, the youth themselves, families with experience working on State Mental Health Planning Councils, and representatives of the academic sector providing research and technical assistance to families of children, youth and adolescents with a serious emotional disorder.
  - < Includes the CMHS project officer and Branch Chief with administrative responsibility for the Technical Assistance Center cooperative agreement.
2. Reports:
  - < Quarterly reports
  - < Annual report (in place of fourth quarterly report) summarizing project progress, problems, and alterations in approaches utilized. This report will be used to determine if the awardee has achieved its goals and will be eligible for a 2-year noncompetitive renewal.
  - < Final report at the end of the 3 year

project period summarizing project progress, problems, and alterations in approaches utilized.

3. Coordinate planning for and provide the logistics for the Statewide Family Network grantees annual technical assistance meeting. Funding for this meeting must be included in the technical assistance center's budget. Attendance at this annual meeting is mandatory for the principle investigator of each of the Statewide Family Network grantees.
4. Coordinate technical assistance activities with other currently funded CMHS technical assistance centers to minimize duplication of technical assistance efforts when possible.

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## Program Goals

This technical assistance center will provide technical assistance to the Statewide Family Network grantees as funded through CMHS's Statewide Family Network Program to:

- , provide support and information to the Statewide Family Network grantees as they work toward accomplishing the goals and objectives of their grants
- , help the Statewide Family Network grantees explore funding opportunities from all Federal funding sources and other public and private resources for their activities at the completion of their grant period.

The Statewide Family Network Program has three goals:

- (1) **Strengthen Organizational**

## Relationships

- (2) **Foster Leadership and Business Management Skills**
- (3) **Identify Technical Assistance Needs**

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## Use of Funds

### Allowable Items of Expenditure

Grant funds may be used for the costs of planning, developing, and implementing activities to support attainment of the project objectives.

- 1) Salaries, wages, and fringe benefits of project coordinator and other supporting staff engaged in the project activities (Grant support, for salaries and wages of staff who are engaged less than full-time in the grant-supported activities, must be commensurate with the effort under the grant).
- 2) Travel directly related to carrying out activities under the approved project;
- 3) Supplies, communications, and rental of space directly related to approved project activities;

Funds cannot be used to purchase a facility to house any portion of the proposed program. Any lease arrangements in association with the proposed program utilizing PHS funds may not extend beyond the project period or cover non-programmatic activities.

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## Detailed Information on What to Include in Your

## Application

In order for your application to be **complete and eligible**, it must include the following in the order listed. Check off areas as you complete them for your application.

' **1. FACE PAGE**

Use Standard Form 424. See Appendix A in Part II for instructions. In signing the face page of the application, you are agreeing that the information is accurate and complete. Be sure to sign the application.

' **2. ABSTRACT**

Your total abstract may not be longer 35 lines. In the first 5 lines or less of your abstract, write a summary of your project that can be used in publications, reporting to Congress, or press releases, if funded.

' **3. TABLE OF CONTENTS**

Include page numbers for each of the major sections of your application and for each appendix.

' **4. BUDGET FORM**

Standard Form 424A. See Appendix B in Part II for instructions.

' **5. PROJECT NARRATIVE AND SUPPORT DOCUMENTATION**

**These sections describe your project. The Project Narrative is made up of Sections A through E.** More detailed information of A-E follows #10 of this checklist. Sections A-E may not be longer than 25 pages.

- G Section A - Description of all Current Technical Assistance Activities and Resources in your Organization.**

**G Section B** - Needs of the Statewide Family Network Grantees.

**G Section C** - Implementation Plan for Statewide Family Network Technical Assistance

**G Section D** - Project Management and Staffing Plan

**G Section E** - Evaluation Plan

**The support documentation for your application is made up of sections F through I.**

There are no page limits for the following sections, except for Section H, the Biographical Sketches/Job Descriptions.

**G Section F**- Literature Citations  
This section must contain complete citations, including titles and all authors, for any literature you cite in your application.

**G Section G** - Budget Justification, Existing Resources, Other Support

Fill out sections B, C, and E of the Standard Form 424A. Follow instructions in Appendix B, Part II.

NOTE: Although the budget for the proposed project is not a review criterion, the Review Group will be asked to comment on the budget after the merits of the application have been considered.

**G Section H**- Biographical Sketches and Job Descriptions

-- Include a biographical sketch for the

project director and for other key positions. Each sketch should not be longer than **2 pages**. If the person has not been hired, include a letter of commitment with the sketch.

-- Include job descriptions for key personnel. They should not be longer than **1 page**.

-- *Sample sketches and job descriptions are listed in Item 6 in the Project Narrative section of the PHS 5161-1.*

**G Section I**- Confidentiality and SAMHSA Participant Protection (SPP)

The areas you need to address in this section are outlined after the *Project Narrative Sections A - E Highlighted* section of this document.

#### **6. APPENDICES 1 THROUGH 4**

--Use only the appendices listed below.

--**Don't** use appendices to extend or replace any of the sections of the Project Narrative (reviewers will not consider them if you do).

--**Don't** use more than **30 pages** (plus all instruments) for the appendices.

#### **Appendix 1:**

Documentation of nonprofit status.

#### **Appendix 2:**

Documentation that 25% to 51% of the board of directors are youth and family members with children age 18 and under, or 21 and under if served with an Individual Education Plan, who have a serious emotional disturbance.

#### **Appendix 3:**

Letters of support

**Appendix 4:**

Sample consent forms

**7. ASSURANCES**

Non- Construction Programs. Use Standard form 424B found in PHS 5161-1.

**8. CERTIFICATIONS**

**9. DISCLOSURE OF LOBBYING ACTIVITIES**

Please see Part II for lobbying prohibitions.

**10. CHECKLIST**

See Appendix C in Part II for instructions.

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## **Project Narrative— Sections A Through E Highlighted**

Your application consists of responding to sections A through I. **Sections A through E, the project narrative parts of your application, describe what you intend to do with your project.** Below you will find detailed information on how to respond to sections A through E.

**T** Sections A though E may not be longer than 25 pages.

**T** A peer review committee will assign a point score to your application based on how well you address these sections.

**T** The number of points after each main heading shows the maximum points a

review committee may assign to that category.

**T** Reviewers will also be looking for plans to address cultural competence. Points will be awarded to applications that adequately address the cultural aspects of the review criterion.

### **Section A: Description of all Current Technical Assistance Activities and Resources in your Organization. (20 Points)**

**C** Depict these technical assistance activities and resources in a graph/chart format.

**C** Describe your current use of field-driven and field-based training, mentoring, and problem solving technical assistance teams which include family members with children, youth and adolescents currently receiving services from multiple agencies for their emotional, behavioral, or mental disorders.

**C** Describe your ability to provide technology based communication links for the grantees using multiple technology strategies

**C** Discuss current communication mechanisms which will be used to facilitate communication between the grantees, the Center for Mental Health Services and the technical assistance center. Focus on multi-media and technological strategies for dissemination of information including products and publications from the

Center for Mental Health Services.

workshops, and material development as needed.

C Describe writing and editing support mechanisms which will be made available to grantees.

< Provide a plan for technical assistance to the family organizations funded by CMHS describing effective outreach strategies to address the needs of families of color who have children, youth, and adolescents with or at risk of a serious emotional disturbance.

**Section B: Needs of the Statewide Family Network Grantees.**  
**(10 Points)**

This section of your application should:

< Provide a detailed plan for developing specific strategies to assist organizations in reaching out to urban and rural families; and to assist them in designing family-support strategies that meet the differing requirements of these families.

C Discuss strategies for assisting the Statewide Family Network grantees in assessing the technical assistance needs of network members at the community level, who are seeking technical assistance from the Statewide Family Network.

< Provide a plan for engaging in activities with other national organizations and Federal Agencies committed to improving services and service delivery systems for children, youth, and adolescents with or at risk of a serious emotional disturbance and their families.

C Discuss strategies for assessing the technical assistance needs of the Statewide Family Network Grantees at the state level, who are seeking technical assistance from the national technical assistance provider.

< Provide evidence of inclusion of family members of diverse cultural, ethnic, and racial groups in the full range of the Technical Assistance Center's activities and for representation of these family members and the youth themselves on the Technical Assistance Center's advisory board.

**Section C: Implementation Plan for Statewide Family Network Technical Assistance**  
**(30 Points)**

Provide a detailed strategic implementation plan that identifies technical assistance in the field (including the use of family member expertise) for newly developing family organizations, for assessing the needs of these groups and providing appropriate technical assistance strategies including a combination of on-site consultation, coordinating and providing the logistical support for convening the mandatory annual grantees meetings, providing

< Develop a specific strategy for inclusion of both inner city and rural families and youth perspectives in the design of the Technical Assistance Center's activities.

< Provide assurances of adequate budgeting for travel and consultants (field team members) related to the

activities of the cooperative agreement.

- < Discuss capability and strategies to ensure that the diverse population of the grantees, the Center for Mental Health Services, and technical assistance staff may attend and participate in the mandatory annual technical assistance meeting
- < Provide approaches for prioritizing competing requests should insufficient resources be available to accommodate all requests;
- < Describe how the Technical Assistance Center will provide all the needed expertise, either on staff or through formal relationships with field-team members. Staff should include family members of children, youth and adolescents with serious emotional disorders who have direct experience in receiving services from multiple systems .
- < Describe how the Technical Assistance Center will include the use of technology in the provision of technical assistance.

**Section D: Project Management and Staffing Plan**  
(20 Points)

Provide a plan describing:

- T the plan to meet the 51% family participation goal for the board of directors, if the applicant does not currently meet the requirement.

- T an approach for forming the Technical Assistance Center Advisory Committee. Include its structure, membership, and coordinating functions.

- T a discussion of prior technical assistance experience and how it will contribute to meeting the demands of this cooperative agreement.

- T the qualifications and experience of the director and other key personnel.

- T an approach for considering age, culture/ ethnicity, language, gender, and disability diversity of the staff in the Project Management and Staffing Plan.

- T a time line showing all startup, implementation, and evaluation tasks.

**Section E: Evaluation Plan**  
( 20 Points)

The evaluation plan should explain how the Technical Assistance Center intends to:

1) Evaluate the extent to which the accomplishments of the Statewide Family Network grantees are a result of the technical assistance provided to them.

2) Evaluate the extent to which the Family Networks are achieving their goals and objectives.

The evaluation plan should explain how the Technical Assistance Center intends to:

- C document Family Network grantee technical assistance activities, changes and accomplishments.

C document what was actually done, what was learned, what barriers inhibited implementation, how such barriers were resolved, and what should be done differently in future Family Network grants. Discuss how you will summarize findings in the Final Report of the project.

C emphasize the use of narrative, ethnographic, and other methods that rely on secondary data methods that rely on secondary data sources (e.g., quarterly, annual and final reports, along with newsletters), unstructured interviews, field observations, and focus groups of nine or less individuals, and which are least intrusive and low in respondent burden.

C limit time and resources expended on evaluation activities to not more than 10%

C provide an adequate process for review, feedback, and dissemination of program findings and accomplishments back to the Statewide Family Network grantees.

C assess the extent to which Family Network grants are sensitive to age, gender, racial/ethnic and cultural characteristics of families in the State's population who have a serious emotional disturbance.

Use Appendix A, *Guidelines for the Evaluation Plan*, to help write this plan.

## **Confidentiality and SAMHSA Participant**

## **Protection (SPP)**

You must address confidentiality and SAMHSA participant protection in your supporting documentation. However, no points will be assigned to this section.

This information will:

- / reveal if the protection of participants is adequate or if more protection is needed.
- / be considered when making funding decisions.

Some projects may expose people to risks in many different ways. In Section I of your application, you will need to:

- C report any possible risks for people in your project,
- C state how you plan to protect them from those risks, and
- C discuss how each type of risk will be dealt with, or why it does not apply to the project.

The following issues must be discussed:

1. **Protect Clients and Staff from Potential Risks:**
  - C Identify and describe any foreseeable physical, medical, psychological, social, legal, or other risks or adverse effects.
  - C Discuss risks which are due either to participation in the project itself, or to the evaluation activities.
  - C Describe the procedures that will be followed to minimize or protect participants against potential health or

confidentiality risks. Make sure to list potential risks in addition to any confidentiality issues.

C Give plans to provide help if there are adverse effects to participants, if needed in the project.

## 2. Data Collection:

C Identify from whom you will collect data. For example, Statewide Family Network board members, family members, executive directors of Statewide Family Networks, or others. Explain how you will collect data. For example, will you use interviews, focus groups or secondary data sources?

C Provide in Appendix No. 3, "Data Collection Procedures," a description of strategies for obtaining data.

## 3. Privacy and Confidentiality:

C List how you will ensure privacy and confidentiality. Include who will collect data and how it will be collected.

C Describe:  
-How data will be obtained.  
- Where data will be stored.  
- Who will or will not have access to information.  
- How the identity of participants will be kept private. For example, through the use of a coding system on data records, limiting access to records, or storing identifiers separately from data.

## 4. Adequate Consent Procedures:

C List what information will be given to

people who participate in the project. Include the type and purpose of their participation. Include how the data will be used and how you will keep the data private.

C State:  
- If their participation is voluntary.  
- Their right to leave the project at any time without problems.  
- Risks from the project.  
- Plans to protect clients from these risks.

C Explain how you will get consent for youth, people with limited reading skills, and people who do not use English as their first language.

Note: If the project poses potential physical, medical, psychological, legal, social, or other risks, you should get written informed consent.

C Indicate if you will get informed consent from participants or from their parents or legal guardians. Describe how the consent will be documented. For example: Will you read the consent forms? Will you ask prospective participants questions to be sure they understand the forms? Will you give them copies of what they sign?

C Include sample consent forms in your Appendix 4, titled "Sample Consent Forms." If needed, give English translations.

Note: Never imply that the participant waives or appears to waive any legal rights, may not end involvement with the project, or releases your project or its agents from liability for negligence.

C Describe if separate consents will be obtained for different stages or parts of the project.

5. Risk/Benefit Discussion:

L Discuss why the risks are reasonable compared to expected benefits and importance of the knowledge from the project.

## **Appendix A**

### **Guidelines for Project Evaluation**

Applicants may wish to consider

a) Characteristics

C Demographics (e.g., population size, age, race/ethnicity, culture, gender, urban/rural distributions);

C Organizational chart and description of current and proposed technical assistance

b) Project Characteristics

C Structure (e.g., involvement of grassroots organizations; youth representation; parent representation; existing and evolving programs; changes in structure)

C Focus (e.g., focus prior to and after funding);

C Operation (e.g., State-wide networking characteristics; allocation of resources);

C Capacity (e.g., human and organizational resources).

c) Activities to Enhance the State/Community Environment

C Outreach and promotional activities aimed at increasing interest and participation in technical assistance

C Strategic activities related to ongoing efforts, approaches and projects intended to result in measurable outcomes (e.g., community education, family education and support

programs);

- C Policy and legislative activities at the State and community levels (e.g., custody non-relinquishment, children being sent out of state for mental health services, family representation on policy boards);
- C Outreach and promotional activities intended to maintain and increase support for the project, (e.g., media campaigns, billboards, bumper stickers, newsletters);
- C Development activities aimed at changing State and community conditions that affect support for family-controlled organizations (e.g., developing and supporting grassroots organizations, forums, youth councils, and development strategies.);
- C Coordination/collaboration among networks advocacy organizations, and programs.

#### Evaluation Data Collection Procedures

In the Evaluation Plan, the applicant should include a description of the work to be done with Statewide Family Network grantees in the proposed data collection approach, to encompass the following: a schedule for conducting the evaluation, strategies for data collection, processing, control, and storage, and a description of the types of analyses to be performed.

Evaluation data should be collected, analyzed, and synthesized into concise reports; these materials should be made available to SAMHSA/CMHS, as stated in the Terms and Conditions of the cooperative agreement award.

## **Appendix B**

### **Definitions Section**

#### **Family Controlled Organization -**

A family controlled organization is a private, nonprofit entity that meets these criteria:

- (1) its explicit purpose is to serve families who have **a child, youth or adolescent with a Serious emotional disorder (children, youth and adolescents who have an emotional behavioral or mental disorder, age 0-18, or age 21 if served by an Individual Education Plan (IEP)).**
- (2) it is governed by a board of directors comprised of a majority (at least 51%) of individuals who are family members
- (3) it gives preference to family members in hiring practices
- (4) it is incorporated as a private nonprofit entity

#### **Family Member -**

A family member is an individual who is a **primary** care giver for a child, youth or adolescent with a serious emotional disturbance (an emotional, behavioral or mental disorder). The primary care giver may be provided a significant level of support by extended family members. Families who have children, youth, and adolescents with serious emotional disturbance are organized in a wide variety of configurations regardless of social or economic status. Families can include biological parents and their partners, adoptive parents and their partners, foster parents and their partners, grandparents and their partners, siblings and their partners, kinship caregivers, friends, and others as defined by the family.

**Cultural Competence -** See definition as outlined in Part II of the application kit.

#### **Systems of Care:**

##### **Principles -**

- , Child - centered: Services meet the individual physical, emotional, social, and educational needs of the child, consider the child's and family's context, and are developmentally appropriate, strengths-based and child-specific.
- , Family-focused: Services recognize that the family is the primary support system for the child and they participate as full partners in all aspects of the planing, implementing, managing, delivery, and evaluation of the service delivery system responsible for serving their children. Through implementation of activities, family voice, access, and ownership is supported.

- , Community-based: Whenever possible, services are delivered in the child's home community, drawing on formal and informal resources to promote the child's successful participation in the community.
- , Multi-system: Case management and other services are planned in collaboration with the family and child-serving systems involved in the child's life, are delivered in a coordinated and therapeutic manner, and move through the system of services with the child and family in accordance with their changing needs.
- , Culturally competent: Services recognize and respect the behavior, ideas, attitudes, values, beliefs, customs, language, rituals, ceremonies and practices characteristic of the child's ethnic group.
- , Least restrictive/least intrusive: Clinically appropriate services take place in settings that are the least restrictive and intrusive available to meet the needs of the child and family.
- , Accountable: Service delivery systems that consolidate existing fragmented, categorical service funding streams so that accountability for effective care can be clearly attributed.
- , Outcomes based: Early identification and intervention by the system of care in order to enhance the likelihood of positive outcomes.
- , Transition: Appropriate services assure a smooth transition to the adult service system as adolescents reach maturity.
- , Protections: Children, youth and family's rights are protected and effective advocacy efforts are promoted. Services are sensitive and responsive to cultural and gender differences and special needs are provided without regard to race, religion, national origin, sex, physical disability, sexual orientation, or other characteristics.

#### **What Makes a System of Care Unique? -**

- , Every child and family receives an individualized service plan tailored to their unique needs.
- , A full array of services and supports is provided in the home community in which the child and his or her family lives.
- , No child or adolescent is ineligible to receive services based on the severity of his or her behavior or disability. Providers do "whatever it takes" to ensure children, youth, and families receive appropriate services and supports for as long as they are needed.

- , Services are delivered in the least restrictive, most natural environment that is appropriate for the child's needs.
- , Family members of children and youth who need mental health services work together with service providers to develop, manage, deliver, and evaluate policies and programs.
- , Child - and family - serving agencies establish formal linkages to ensure that the system of care is adequately coordinated and integrated.
- , Case Management services are provided to ensure that the full range of services are delivered and to help the child and family move through the system as their needs change.
- , Early identification and intervention are essential to promoting positive outcomes.
- , Adolescents are ensured a smooth transition to the adult service system as they reach maturity.
- , The rights of the child and family are always protected.
- , All services are delivered in a way that is responsive to the family's culture.

## **Appendix C**

### **Guidelines for Assessing 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 of 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 Healthcare Consumer Bill of Rights and Responsibilities: respect and non-discrimination; etc.
- , **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 Boards 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 conclusions. This includes consumers and family members being involved in all submission of journal articles. Evaluation and research should also include consumer satisfaction and dis-satisfaction measures.

## **Appendix D**

## Limited English Proficiency Assistance

Effective August 30, 2000, the Department of Health and Human Services issued policy guidance to assist health and social services providers in ensuring that persons with limited English skills (LEP) can effectively access critical health and social services. All organizations or individuals that are recipients of Federal financial assistance from DHHS including hospitals, nursing homes, home health agencies, managed care organizations, health and mental health service providers, and human services organizations have an obligation under Title VI of the 1964 Civil Rights Act to:

- , Have policies and procedures in place for identifying the language needs of their providers and client population;
- , provide a range of oral language assistance options, appropriate to each facility's circumstances;
- , provide notice to persons with limited English skills of the right to free language assistance;
- , provide staff training and program monitoring; and
- , a plan for providing written materials in languages other than English where a significant number or percentage of the affected population needs services or information in a language other than English to communicate effectively.

Providers receiving DDHS funding including SAMHSA's mental health block grants and discretionary grants must take steps to assure that limited English skills do not restrict access to full use of services.