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STATE OF NEW HAMPSHIRE  
DEPARTMENT OF HEALTH AND HUMAN SERVICES  
DIVISION OF COMMUNITY BASED CARE SERVICES  
*Bureau of Drug and Alcohol Services*

Nicholas A. Toumpas  
Commissioner  
  
Nancy L. Rollins  
Associate Commissioner

105 PLEASANT STREET, CONCORD, NH 03301  
603-271-6110 1-800-804-0909  
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October 30, 2012

Representative Ken Weyler, Chairman  
Fiscal Committee of the General Court, and

His Excellency, Governor John H. Lynch  
and the Honorable Executive Council  
State House  
Concord, New Hampshire 03301

*[Signature]*  
Approved by Fiscal Committee 12/21/12  
Date

**REQUESTED ACTION**

Pursuant to the provisions of Chapter 224:14, II, Laws of 2011, Additional Revenues, authorize the Department of Health and Human Services, Division of Community Based Care Services, Bureau of Drug & Alcohol Services to accept and expend New Hampshire Partnerships for Success Initiative federal funds from the Substance Abuse and Mental Health Services Administration in the amount of \$784,428.00 effective upon date of Fiscal Committee and Governor and Executive Council approval, through June 30, 2013, and further authorize the funds to be allocated as follows:

**05-95-95-958410-3338 HEALTH AND SOCIAL SERVICES, DEPT OF HEALTH AND HUMAN SVCS,  
HHS:COMMISSIONER, DCBCS TREATMENT & PREVENTION, PFS GRANT**

Class/Object	Class Title	Current Authorized Budget	Increase/(Decrease) Amount	Revised Modified Budget
<b>SFY 2013</b>				
000-403801	Federal Funds	\$0.00	\$784,428.00	\$784,428.00
	General Fund	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>
Total Revenue		<u>\$0.00</u>	<u>\$784,428.00</u>	<u>\$784,428.00</u>
020-500200	Current Expenses	\$0.00	\$700.00	\$700.00
030-500301	Equipment	\$0.00	\$1,200.00	\$1,200.00
040-500800	Indirect Costs	\$0.00	\$98,800.00	\$98,800.00
041-500801	Audit Fund Set Aside	\$0.00	\$784.00	\$784.00
070-500704	In-State Travel	\$0.00	\$1,300.00	\$1,300.00
080-500710	Out-of-State Travel	\$0.00	\$1,000.00	\$1,000.00
102-500731	Contracts for Program Svcs	<u>\$0.00</u>	<u>\$680,644.00</u>	<u>\$680,644.00</u>
Total Expense		<u>\$0.00</u>	<u>\$784,428.00</u>	<u>\$784,428.00</u>

### EXPLANATION

The Department of Health and Human Services, Division of Community Based Care Services, Bureau of Drug & Alcohol Services seeks approval to accept and expend New Hampshire Partnerships for Success Initiative funds in the amount of \$784,428.00 for State Fiscal Year 2013 from the Substance Abuse and Mental Health Services Administration. This request represents the first year of a multi-year grant award (September 30, 2012 – September 29, 2015). This grant does not have a matching funds requirement. The balance of this grant will be budgeted in future fiscal years. A copy of the grant award is attached.

The New Hampshire Partnerships for Success Initiative will allow the Bureau of Drug & Alcohol Services to leverage the state's existing prevention system, its resources and capacities to effect change in priority substance abuse areas among high need populations in the communities where those populations reside. Specifically, this grant seeks to 1) reduce underage drinking among persons aged 12 to 20; and 2) reduce prescription drug misuse and abuse among persons aged 12 to 25.

Funds are budgeted for Current Expenses (Class 020) for monthly telephone charges, office supplies, copying, postage, and miscellaneous supplies.

Funds are budgeted for Equipment (Class 030) for a laptop and software needed for Project Director to conduct both project work and presentations.

Funds are budgeted for Indirect Costs (Class 040) to offset administrative costs associated with the grant.

Funds are budgeted for Audit Fund Set Aside (Class 041) per state requirements.

Funds are budgeted for In-State Travel (Class 070) to cover in-state travel expenses staff incur while performing their job.

Funds are budgeted for Out-of-State Travel (Class 080) to cover out-of-state travel expenses staff incurs while attending mandatory national trainings required by SAMHSA.

Funds are budgeted for Contracts for Program Services (Class 102) to support a number of sub recipients for direct prevention services specifically designed to impact the high-risk individuals identified above. In addition funds will help support a centralized contract providing training and technical assistance to sub recipients to ensure the standards are met for evidence-based practices, quality of programming, and evaluation. Lastly a portion of these funds will be used to support the maintenance and hosting of the New Hampshire Web Infrastructure Prevention Performance Data System in the collection of process measures at community sub recipient level on % of numbers served, evidence-based programs, policies, and/or practices implemented.

Area served: Statewide.

Representative Ken Weyler, Chairman, and  
His Excellency, Governor John H. Lynch

October 30, 2012

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Source of Funds: 100% Federal Substance Abuse and Mental Health Services Administration.

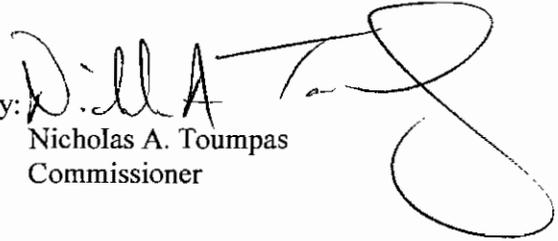
In the event that federal funds become no longer available, general funds will not be requested to support the program expenditures.

Respectfully submitted,



Nancy L. Rollins  
Associate Commissioner

Approved by:



Nicholas A. Toumpas  
Commissioner

Enclosures

Division of Community Based Care Services  
Bureau of Drug & Alcohol Services

New Hampshire Partnerships for Success Initiatives

Fiscal Situation

010-095-3338

Total Year 1 Award	\$1,188,528.00
SFY 13 portion	<u>\$ 784,428.00</u>
Balance to be budgeted in SFY14	<u>\$ 404,100.00</u>



SPF-PFS II  
 Department of Health and Human Services  
 Substance Abuse and Mental Health Services Administration  
 Center for Substance Abuse Prevention

Notice of Award

Issue Date: 09/13/2012

Grant Number: 1U79SP019425-01

Program Director:  
 Valerie T Morgan

Project Title: New Hampshire Partnerships For Success Initiative

Grantee Address	Business Address
NH STATE DEPT OF HEALTH AND HUMAN SERS Bureau of Drug & Alcohol Serv  105 Pleasant Street Concord, NH 033013852	NH DHHS, Bureau of Drug and Alcohol Serv Director 105 Pleasant Street Concord, NH 03301

Budget Period: 09/30/2012 – 09/29/2015  
 Project Period: 09/30/2012 – 09/29/2015

Dear Grantee:

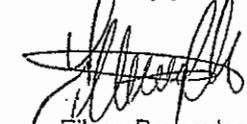
The Substance Abuse and Mental Health Services Administration hereby awards a grant in the amount of \$3,565,584 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to NH STATE DEPT OF HEALTH AND HUMAN SERS in support of the above referenced project. This award is pursuant to the authority of Authorized under Section 516 of the PHS Act, as amended and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Award recipients may access the SAMHSA website at [www.samhsa.gov](http://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,



Eileen Bermudez  
 Grants Management Officer  
 Division of Grants Management

See additional information below

*Original - Val*  
 Copies to JH, Eileen C, Donna F,  
 [unclear]

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**SECTION I - AWARD DATA - 1U79SP019425-01**

**Award Calculation (U.S. Dollars)**

Other	\$3,565,584
Direct Cost	\$3,565,584
Approved Budget	\$3,565,584
Federal Share	\$3,565,584
Cumulative Prior Awards for this Budget Period	\$0

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**AMOUNT OF THIS ACTION (FEDERAL SHARE) \$3,565,584**

SUMMARY TOTALS FOR ALL YEARS	
YR	AMOUNT
1	\$3,565,584

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

**Fiscal Information:**

CFDA Number: 93.243  
EIN: 1026000618B3  
Document Number: 12SP19425A  
Fiscal Year: 2012

IC	CAN	Amount
SP	C96P124	\$3,565,584

**SP Administrative Data:**

PCC: SPF-PFS / OC: 4145

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**SECTION II - PAYMENT/HOTLINE INFORMATION - 1U79SP019425-01**

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.

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**SECTION III - TERMS AND CONDITIONS - 1U79SP019425-01**

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:

- The grant program legislation and program regulation cited in this Notice of Award.
- The restrictions on the expenditure of federal funds in appropriations acts to the extent those restrictions are pertinent to the award.
- 45 CFR Part 74 or 45 CFR Part 92 as applicable.
- The HHS Grants Policy Statement.
- This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

**Treatment of Program Income:  
Additional Costs**

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**SECTION IV -- SP Special Terms and Condition -- 1U79SP019425-01**

**REMARKS:**

This award approves the amount of \$3,565,584 for this Strategic Prevention Framework Partnerships for Success II (SPF-PFS II) grant. The full approved amount has been moved to "other" budget category.

This cooperative agreement funds and sets out the terms and conditions governing a collaborative effort between the New Hampshire Department of Health & Human Services, Bureau of Drug and Alcohol Services and the Center for Substance Abuse Prevention (CSAP), Substance Abuse and Mental Health Services Administration (SAMHSA).

While the responsibility for conducting these activities lies primarily with Missouri State Department of Mental Health, Center for Substance Abuse Prevention (CSAP), Substance Abuse and Mental Health Services Administration (SAMHSA), through its designated representatives shall provide continuing technical assistance, consultation, and coordination in the conduct of the project during the period of this agreement. In addition to these terms and conditions and the applicable statutes and regulations, grantees are bound by the HHS Grants Policy Statement and all requirements in the Request for Applications (RFA) document.

**Role of Grantees:**

**Grantees must:**

- (1) Comply with terms and conditions of the cooperative agreement award.
- (2) Collaborate with CSAP staff in project implementation and monitoring.

**Role of Federal Project Officer:**

The Project Officer (PO) will have overall responsibility for monitoring the conduct and progress of Grantee Sites, including conducting site visits. The PO will provide substantial input, in collaboration with the grantees, both in the planning and implementation of the program and in evaluation activities, and will make recommendations regarding program continuance. Likewise, POs will participate in the publication of results and packaging and dissemination of products and materials in order to make the findings available to the field. CSAP/SAMHSA staff will receive authorship/co-authorship credit on all publications to which they have made substantial contributions.

**Role of the Grants Management Officer:**

The Grants Management Officer (GMO) is responsible for all business management aspects of negotiation, award, and financial and administrative aspects of the cooperative agreement. The GMO utilizes information from site visits, reviews of expenditure and audit reports, and other appropriate means to assure that the project is operated in compliance with all applicable Federal laws, regulations, guidelines, and the terms and conditions of award. Questions concerning the applicability of regulations and policies to this cooperative agreement, and all requests for required prior approvals such as requests for permission to expend funds for certain items should be directed to the GMO. Required approvals must be provided in writing and the GMO is the only person, except for the SAMHSA Administrator, who may grant such required approvals. Written approvals granted by other officials are not binding on the government. All changes in the terms of the cooperative agreement award must be issued in writing by the GMO.

**SPECIAL TERMS OF AWARD:**

1. This award reflects multi-year funding for a total of three 12 month incremental periods within a three year/36 month project period in the amount of \$3,565,584. The first 12 month period, the grantee

organization may expend \$1,188,528. Funding for each of the subsequent 12 month period(s) are restricted and the grantee organization may not expend more than the amounts noted below:

9/30/2012- 9/29/2013: \$1,188,528  
9/30/2013 -9/29/2014: \$1,188,528  
9/30/2014 -9/29/2015: \$1,188,528

2. Grant funds are intended for the implementation of evidence-based prevention programs, policies and practices. A total of 85% of the funds must go toward State sub recipient communities of high need in accordance with SAMHSA's guidelines and subsequent to approval from SAMHSA for the implementation of the Partnerships for Success grant. Additionally, the State may use up to 15% of its award (direct and indirect) for administrative, State-level evaluation and epidemiological expenses. This portion of the funds may be used to enhance the State's prevention data infrastructure and the capacity to collect and analyze prevention data.

3. Partnerships for Success representatives are required to attend a minimum of two CSAP Grantee Meetings each year. Grant funds will be used to support attendance of the Project Director, Lead Evaluator, and Epidemiological Workgroup (EPI) Lead.

4. Although grantees are expected to draw from the allocation for State level Administrative funds (i.e., 15%) to establish and maintain a State Epidemiological Workgroup and State-level evaluation, grantees may, following written approval from the Government Project Officer, charge the costs associated with evaluation and epidemiological analyses performed at the community level to the 85% community portion of the grant, including the statewide needs assessment.

5. Grantees are required to expend a minimum of \$150,000 each year from the grant or other funds on the State epidemiological workgroup (SEW) activities, including the statewide needs assessment and data system development/maintenance.

6. Partnerships for Success grantees are required to implement evidence-based programs, policies and practices. Grantees will be required to provide sufficient proof interventions used are evidenced based.

#### SPECIAL CONDITIONS OF AWARD:

BY OCTOBER 31, 2012, grantee must provide a revised detailed budget justification, budget narrative, and SF-424-A corresponding to the approved amount.

By OCTOBER 31, 2012, you must submit your written response regarding the Participant Protection concerns raised by our Initial Review Group (IRG) as stated in your review summary statement. Be sure you have submitted your sample consent forms (i.e., informed consent for participation in treatment services, informed consent for participation in the data collection activities (e.g., GPRA), and informed consent form for disclosure/exchange of confidential information - either grantee releasing confidential information to another party or requesting confidential information from another party). All grant funds are available for this project except for those funds directly related to Participant Protection issues as outlined in the RFA. Currently, only activities that do not directly involve Participant Protection issues (i.e., are clearly severable and independent from those activities that do involve Participant Protection issues) may be conducted under this award. This restriction of funds will only be lifted if the Participant Protection issues are appropriately addressed by the grantee and resolved to the satisfaction of your designated Government Project Officer and approved by the Grants Management Officer, SAMHSA by issuance of a Notice of Award.

BY OCTOBER 31, 2012, you must submit the following:

1. A behavioral health disparities impact statement that includes all sub-populations identified in your proposal.
2. A plan regarding implementation of policies and procedures, including the translation of materials as appropriate, to ensure the cultural and linguistic needs of all sub- populations identified in your proposal.

3. A plan of how you will review your data for outcomes regarding race, ethnicity, and LGBT status, including processes or programmatic adjustments to address identified issues, across the following domains:

- a. Program services and activities development and implementation.
- b. Data collection activities.
- c. Data reporting, including access, use and outcomes measures.

The grantee may refer to the HHS published final standards for data collection on race, ethnicity, sex, primary language and disability status, as required by Section 4302 of the Affordable Care Act in October 2011, <http://www.minorityhealth.hhs.gov/templates/browse.aspx?lvl=2&lvlid=208>.

4. A plan for the establishment of policies and procedures to ensure adherence to the National Culturally and Linguistically Appropriate Services (CLAS) Standards to ensure the provision of effective care and services that are responsive to the:

- a. Diverse cultural health beliefs and practices;
- b. Preferred languages;
- c. Health literacy, and other communication needs of all sub-populations all sub-populations identified in your proposal.

In order to comply with Title VI of the Civil Rights Act of 1964, the grantee must take reasonable steps to provide meaningful access by limited English proficient (LEP) persons to their programs and activities. The grantee may assess the extent to which language assistance services is necessary in their programs and activities by utilizing the HHS Guidance to Federal Financial Assistance Recipients Regarding Title VI Prohibition Against National Origin Discrimination Affecting Limited English Proficient Persons: <http://www.hhs.gov/ocr/civilrights/resources/specialtopics/lep/policyguidancedocument.html>

BY JANUARY 11, 2013, grantee must submit the following for the second 12 month period of 9/30/2013 through 09/29/2014:

1. SF-424 - Face Page

- a) Include your grant number (SP-Number) as reflected on your last Notice of Award (NoA)

2. SF-424A - budget page (add total amount for each budgeted cost category)

3. In addition, submit an attestation from the Authorized Representative on your organization's letterhead signed and dated which states that the detailed budget and narrative justification has not changed above 25% of the total budget from the current period. If not, only submit a budget and explanation/justification including supporting documentation for any changes over 25% for this current budget period. Grantee should identify Federal and Non-Federal dollars separately by funding source and dollar amounts.

4. Key staff changes (NEW or ANTICIPATED) must be requested in advance as stated in the terms/conditions of award. Describe the change and submit resumes and job descriptions, level of effort and annual salary for each position.

5. The Project/Program Narrative which is limited to five (5) pages only must outline any changes, progress and accomplishments resulting from the past year of support and progress or milestones anticipated with this continuation funding request and must use the Supplementary Instructions as follows:

- a. Description and explanation of changes, if any, made during this budget period affecting the following:

1. Goals and objectives
2. Projected time line for project implementation
3. Approach and strategies proposed in the initially approved and funded application
4. Report on progress relative to approved objectives, including progress on evaluation activities.
5. Summary of key program accomplishments to date and list progress

6. Description of difficulties/problems encountered in achieving planned goals and objectives including:

- a. Barriers to accomplishment and
- b. Actions to overcome difficulties
- c. Report on milestones anticipated with the new funding request

\* Specific programmatic instructions may be provided by the Government Project Officer.

FAILURE TO COMPLY WITH THE SPECIAL CONDITIONS MAY RESULT IN YOUR PAYMENT MANAGEMENT ACCOUNT'S FEDERAL FUNDS TO BE RESTRICTED AND CONSIDERED HIGH RISK, SUSPENSION, TERMINATION AND/OR RESULT IN YOUR FUTURE FUNDS BEING DENIED.

STANDARD TERMS OF AWARD:

1. As required by the Federal Funding Accountability and Transparency Act of 2006, this new award is subject to the subaward and executive compensation reporting requirement of 2 CFR Part 170. Although the full text of this regulation is attached, you may access the language online at <http://www.samhsa.gov/grants/subaward.aspx>.

The following SAMHSA Term of Award is applicable to all (Type 1) new SAMHSA grants which start on or after Oct. 1, 2010. At this time, Type 2s (competing renewals) and Type 3s (competing supplements) are not included, but may be subject to this requirement in the future:  
Reporting Subawards and Executive Compensation

a. Reporting of first-tier subawards.

1. Applicability. Unless you are exempt as provided in paragraph d. of this award term, you must report each action that obligates \$25,000 or more in Federal funds that does

2. Where and when to report.

i. You must report each obligating action described in paragraph a.1. of this award term to <http://www.fsr.gov>.

ii. For subawards information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2012, the obligation must be reported by no later than December 31, 2012.)

3. What to report. You must report the information about each obligating action that the submission instructions posted at <http://www.fsr.gov> specify.

b. Reporting Total Compensation of Recipient Executives.

1. Applicability and what to report. You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if-

- i. the total Federal funding authorized to date under this award is \$25,000 or more;
- ii. in the preceding fiscal year, you received-

(A) 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

(B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

iii. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities

Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>.)

2. Where and when to report. You must report executive total compensation described in paragraph b.1. of this award term:

- i. As part of your registration profile at <http://www.ccr.gov>.
- ii. By the end of the month following the month in which this award is made, and annually thereafter.

c. Reporting of Total Compensation of Subrecipient Executives.

1. Applicability and what to report. Unless you are exempt as provided in paragraph d. of this award term, for each first-tier subrecipient under this award, you shall report the names and total compensation of each of the subrecipient's five most highly compensated executives for the subrecipient's preceding completed fiscal year, if-

i. in the subrecipient's preceding fiscal year, the subrecipient received-

(A) 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

(B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and subawards); and

ii. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>.)

2. Where and when to report. You must report subrecipient executive total compensation described in paragraph c.1. of this award term:

- i. To the recipient.
- ii. By the end of the month following the month during which you make the subaward. For example, if a subaward is obligated on any date during the month of October of a given year (i.e., between October 1 and 31), you must report any required compensation information of the subrecipient by November 30 of that year.

d. Exemptions

If, in the previous tax year, you had gross income, from all sources, under \$300,000, you are exempt from the requirements to report:

- i. Subawards, and
- ii. The total compensation of the five most highly compensated executives of any subrecipient.

e. Definitions. For purposes of this award term:

1. Entity means all of the following, as defined in 2 CFR part 25:

- i. A Governmental organization, which is a State, local government, or Indian tribe;
- ii. A foreign public entity;
- iii. A domestic or foreign nonprofit organization;
- iv. A domestic or foreign for-profit organization;

v. A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.

2. Executive means officers, managing partners, or any other employees in management positions.

3. Subaward:

i. This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.

ii. The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see Sec. II.210 of the attachment to OMB Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations").

iii. A subaward may be provided through any legal agreement, including an agreement that you or a subrecipient considers a contract.

4. Subrecipient means an entity that:

- i. Receives a subaward from you (the recipient) under this award; and
- ii. Is accountable to you for the use of the Federal funds provided by the subaward.

5. Total compensation means the cash and noncash dollar value earned by the executive during the recipient's or subrecipient's preceding fiscal year and includes the following (for more information see 17 CFR 229.402(c)(2)):

i. Salary and bonus.

ii. Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.

iii. Earnings for services under non-equity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.

iv. Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.

v. Above-market earnings on deferred compensation which is not tax-qualified.

vi. Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

2) Grantees must adhere to all applicable requirements of the Fiscal Year 2012 Consolidated Appropriations Act provisions in PL 112-74 for the Department of Labor, Health and Human Services, and Education and the Department of Interior and Related Agencies and from the Consolidated and Further Continuing Appropriations Act, Fiscal Year 2012, Public Law 112-55 for the United States Department of Agriculture, and Related Agencies on the SAMHSA website at <http://www.samhsa.gov/Grants/management.aspx> and reference #4 under Important Reminders.

3) This grant is subject to the terms and conditions, included directly, or incorporated by reference on the Notice of Award (NoA). Refer to the order of precedence in Section III (Terms and Conditions) on the NoA and can be found at [www.samhsa.gov](http://www.samhsa.gov).

4) The grantee organization is legally and financially responsible for all aspects of this grant, including funds provided to sub-recipients.

5) The Department of Health and Human Services' (HHS), Office of General Counsel (OGC) has provided guidance on how the lobbying restrictions in the Fiscal Year 2012 Consolidated Appropriations Act (CAA, 2012) will affect HHS programs. Section 503 of the Labor, HHS, and Education Appropriation Act (Division F of the CAA, 2012) is the most comprehensive provision focused on lobbying restrictions. Recent changes to this section may have implications for SAMHSA and its grantees. Using the language provided by OGC, this provides specific guidance on: agency actions; grantee lobbying; tax increases and other restrictions on legal consumer products; and clarification of Internal Revenue Code provisions.

#### SEC. 503. - Agency Actions

(a) No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 shall be used, other than for normal and recognized executive-legislative relationships, for publicity or propaganda purposes, for the preparation, distribution, or use of any kit, pamphlet, booklet, publication, electronic communication, radio, television, or video presentation designed to support or defeat the enactment of legislation before the Congress or any State or local legislature or legislative body, except in presentation to the Congress or any State or local legislature itself, or designed to support or defeat any proposed or pending regulation, administrative action, or order issued by the executive branch of any State or local government, except in presentation to the executive branch of any State or local government itself.

#### Section 503(b) - Grantee and Contractor Lobbying

(b) No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 shall be used to pay the salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before the Congress or any State government, State legislature or local legislature or legislative body, other than for normal and recognized executive-legislative relationships or participation by an agency or officer of a State, local or tribal government in policymaking and administrative processes within the executive branch of that government.

(c) The prohibitions in subsections (a) and (b) shall include any activity to advocate or promote any proposed, pending or future Federal, State or local tax increase, or any proposed, pending, or future requirement or restriction on any legal consumer product, including its sale or marketing, including but not limited to the advocacy or promotion of gun control.

6) Grant funds cannot be used to supplant current funding of existing activities. Under the HHS Grants Policy Directives, 1.02 General -- Definition: Supplant is to replace funding of a recipient's existing program with funds from a Federal grant.

7) The recommended future support as indicated on the NoA reflects TOTAL costs (direct plus indirect). Funding is subject to the availability of Federal funds, and that matching funds, (if applicable), is verifiable, progress of the grant is documented and acceptable.

8) For FY 2012, the Consolidated Appropriations Act, 2012 (Public Law 112-74) signed into law on December 23, 2011, restricts the amount of direct salary to Executive Level II of the Federal Executive Pay scale. The Executive Level II salary is \$179,700 annually.

9) "Confidentiality of Alcohol and Drug Abuse Patient Records" regulations (42 CFR 2) are applicable to any information about alcohol and other drug abuse patients obtained by a "program" (42 CFR 2.11), if the program is federally assisted in any manner (42 CFR 2.12b).

Accordingly, all project patient records are confidential and may be disclosed and used only in accordance with (42 CFR 2). The grantee is responsible for assuring compliance with these regulations and principles, including responsibility for assuring the security and confidentiality of all electronically transmitted patient material.

10) Accounting Records and Disclosure - Awardees and sub-recipients must maintain records which adequately identify the source and application of funds provided for financially assisted activities. These records must contain information pertaining to grant or subgrant awards and authorizations, obligations,

unobligated balances, assets, liabilities, outlays or expenditures, and income. The awardee, and all its sub-recipients, should expect that SAMHSA, or its designee, may conduct a financial compliance audit and on-site program review of grants with significant amounts of Federal funding.

11) Per (45 CFR 74.36 and 45 CFR 92.34) and the HHS Grants Policy Statement, any copyrighted or copyrightable works developed under this cooperative agreement/grant shall be subject to a royalty-free, nonexclusive and irrevocable license to the government to reproduce, publish, or otherwise use them and to authorize others to do so for Federal Government purposes. Income earned from any copyrightable work developed under this grant must be used a program income.

12) A notice in response to the President's Welfare-to-Work Initiative was published in the Federal Register on May 16, 1997. This Initiative is designed to facilitate and encourage grantees and their sub-recipients to hire welfare recipients and to provide additional needed training and/or mentoring as needed. The text of the notice is available electronically on the OMB home page at <http://www.whitehouse.gov/omb/fedreg/omb-not.html>.

13) Program Income accrued under the award must be accounted for in accordance with (45 CFR 74.24) or (45 CFR 92.25) as applicable. Program income must be reported on the Federal Financial Report, Standard Form 425.

Program income accrued under this award may be used in accordance with the additional costs alternative described in (45 CFR 74.24(b)(1)) or (45 CFR 92.25(g)(2)) as applicable. Program income must be used to further the grant objectives and shall only be used for allowable costs as set forth in the applicable OMB Circulars A-102 ("Grants and Cooperative Agreements with State and Local Governments") and A-110 ("Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations").

14) Actions that require prior approval must be submitted in writing to the Grants Management Officer (GMO), SAMHSA. The request must bear the signature of an authorized business official of the grantee organization as well as the project director. Approval of the request may only be granted by the GMO and will be in writing. No other written or oral approval should be accepted and will not be binding on SAMHSA. For postaward requirements and instructions may be found at [www.samhsa.gov](http://www.samhsa.gov) then click on "grants", then "grants management".

15) The recipient is required to notify the GMO in writing if the Project Director (PD) or key personnel specifically named in the NoA will withdraw from the project entirely, be absent from the project during any continuous period of 3 months or more, or reduce time devoted to the project by 25 percent or more from the level that was approved at the time of award (for example, a proposed change from 40 percent effort to 30 percent or less effort). SAMHSA must approve any alternate arrangement proposed by the recipient, including any replacement of the PD or key personnel named in the NoA. The request for approval of a substitute PD/key person should include a justification for the change, the biographical sketch of the individual proposed, other sources of support (if applicable), and any budget changes resulting from the proposed change. If the arrangements proposed by the recipient, including the qualifications of any proposed replacement, are not acceptable to SAMHSA, the grant may be suspended or terminated. If the recipient wants to terminate the project because it cannot make suitable alternate arrangements, it must notify the GMO, in writing, of its wish to terminate, and the GMO will forward closeout instructions.

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

Valerie Morgan, Project Director @ 15% level of effort  
Unnamed Lead Evaluator @ unstated level of effort  
Unnamed EPI Lead @ unstated level of effort

16) Refer to the NoA under Section II (Payment/Hotline Information) regarding the Payment Management System and the HHS Inspector General's Hotline concerning fraud, waste or abuse.

17) As the grantee organization, you acknowledge acceptance of the grant terms and conditions by drawing or otherwise obtaining funds from the Payment Management System. In doing so, your

organization must ensure that you exercise prudent stewardship over Federal funds and that all costs are allowable, allocable and reasonable.

18) No HHS funds may be paid as profit (fees) per (45 CFR Parts 74.81 and 92.22(2)).

19) Where a conference is funded by a grant or cooperative agreement the recipient must include the following statement on all conference materials (including promotional materials, agenda, and Internet sites):

Funding for this conference was made possible (in part) by (insert grant or cooperative agreement award number) from SAMHSA. The views expressed in written conference materials or publications and by speakers and moderators do not necessarily reflect the official policies of the Department of Health and Human Services; nor does mention of trade names, commercial practices, or organizations imply endorsement by the U.S. Government.

20) This award is 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 <http://samhsa.gov/grants/trafficking.aspx>.

21) Grantees must comply with the requirements of the National Historical Preservation Act and EO 13287, Preserve America. The HHS Grants Policy Statement provides clarification and uniform guidance regarding preservation issues and requirements (pages I-20, "Preservation of Cultural and Historical Resources"). Questions concerning historical preservation, please contact SAMHSA's Office of Program Services, Building, Logistics and Telecommunications Branch at 240-276-1001.

22) Executive Order 13410: Promoting Quality and Efficient Health Care in Federal Government Administered or Sponsored Health Care Programs promotes efficient delivery of quality health care through the use of health information technology, transparency regarding health care quality and price, and incentives to promote the widespread adoption of health information technology and quality of care. Accordingly, all grantees that electronically exchange patient level health information to external entities where national standards exist must:

a) Use recognized health information interoperability standards at the time of any HIT system update, acquisition, or implementation, in all relevant information technology systems supported, in whole or in part, through this agreement/contract. Please consult <http://www.hhs.gov/healthit> <http://www.hhs.gov/healthit> for more information, and

b) Use Electronic Health Record systems (EHRs) that are certified by agencies authorized by the Office of the National Coordinator for Health Information Technology (ONC), or that will be certified during the life of the grant. For additional information contact: Jim Kretz at 240-276-1755 or [Jim.Kretz@samhsa.hhs.gov](mailto:Jim.Kretz@samhsa.hhs.gov); Richard Thoreson at 240-276-2827 or [Richard.Thoreson@samhsa.hhs.gov](mailto:Richard.Thoreson@samhsa.hhs.gov); or Ken Salyards at 2240-276-2003 or [Kenneth.Salyards@samhsa.hhs.gov](mailto:Kenneth.Salyards@samhsa.hhs.gov).

23) If federal funds are used by the grantee to attend a meeting, conference, etc. and meal(s) are provided as part of the program, then the per diem applied to the Federal travel costs (M&IE allowance) must be reduced by the allotted meal cost(s).

24) By signing the SF-424 (face page) in Item #21, the Authorized Representative (AR) certifies (1) to the statements contained in the list of certifications\* and (2) provides the required assurances\* and checking the "I AGREE" box provides SAMHSA with the AR's agreement of compliance. It is not necessary to submit signed copies of these documents, but should be retained for your records.

25) The Division of Grants Management created a Public Assistance (P) Account in the Division of Payment Management's (DPM) payment management system to provide a separate accounting of federal funds per SAMHSA grant. When discussing your account with the DPM's Account Representative, provide the document number identified on Page 2 of the Notice of Award under Section I - AWARD DATA, Fiscal information.

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\*The documents are available on the SAMHSA website at <http://www.samhsa.gov/Grants/new.aspx> or contained within the Request for Applications (RFA).

## REPORTING REQUIREMENTS:

1) Federal Financial Report (FFR), (Standard Form 425) is required on an annual basis and must be submitted for each budget period as stated on the attached report due date(s) schedule after the close of the 12 month budget period. The FFR is required for each 12 month period, regardless of the overall length of the approved extension period authorized by SAMHSA. In addition, a final FFR is due within 90 days after the end of the extension. NOTE: SINGLE GRANT REPORTING IS REQUIRED FOR EACH SAMHSA PROJECT AS STATED ON THE FFR (#10 d-o). Do not include any amount in Line 10f that has been reported in Line 10e. If applicable, include the required match on this form under Recipient Share (#10 i-k) and Program Income (l-o) in order for SAMHSA to determine whether matching is being provided and the rate of expenditure is appropriate. Adjustments to the award amount, if necessary, will be made if the grantee fails to meet the match. The FFR must be prepared on a cumulative basis and all program income must be reported. THE STATUS OF ANY FEDERAL SHARE OF UNLIQUIDATED OBLIGATIONS FOR EACH 12 MONTH BUDGET PERIOD MUST BE EXPLAINED IN THE REMARKS SECTION (#12). IN ADDITION, YOUR INTENTION TO CARRYOVER THE UNOBLIGATED BALANCE OF FUNDS UP TO 25% OF THE CURRENT FEDERAL SHARE DOLLAR AMOUNT MUST BE STATED IN THE REMARKS SECTION. SUBSEQUENT FFRS MUST REFLECT THE ACTUAL CARRYOVER AMOUNT. If possible, disbursements reported on the FFR should equal/or agree with the top portion of the FFR (#10 a-c). The FFR may be accessed from the following website at [http://www.whitehouse.gov/omb/grants\\_forms](http://www.whitehouse.gov/omb/grants_forms) including instructions. The data can be entered directly on the form and the system will calculate the figures, then it can be printed and mailed to this office.

2) Submission of a Programmatic Quarterly Report is due no later than the dates as follows:

- 1st Report - January 31, 2013
- 2nd Report - April 30, 2013
- 3rd Report - July 31, 2013
- 4th Report - October 31, 2013

3) Submission of the Required Performance Measures Report is due no later than the dates as follows:

- 1st Report - January 31, 2013
- 2nd Report - April 30, 2013
- 3rd Report - July 31, 2013
- 4th Report - October 31, 2013

### Required Performance Measures

Grantees are required to collect report and share PFSII data and associated data documentation. These data may be used for performance monitoring, and/or cross site evaluations and/or cross-program analyses. A description of the required data is included in the PFSII RFA Sections 2.3 and 2.4. In addition, grantees will be required to report quarterly on the number of people served or reached by PFS II interventions and the number of interventions supported in that quarter. Specific measures and data submission timelines, procedures and guidelines will be communicated shortly after award. Program specific data collection and reporting are critical for SAMHSA to comply with PUBLIC LAW 111-352: the Government Performance and Results Modernization Act of 2010 and to support SAMHSA, HHS and ONDCP strategic plans.

To monitor progress toward meeting the goals of the SPF PFS II projects, grantees and their subrecipient communities will be required to report on the following performance measures:

#### Process Measures at the Grantee (State) Level (all required)

Number of training and technical assistance activities per funded community provided by the grantee to support communities;

- i. Reach of training and technical assistance activities (numbers served) provided by the grantee;
- ii. Percentage of subrecipient communities that have increased the number or percent of evidence based programs, policies, and/or practices;

- iii Percentage of subrecipient communities that report an increase in prevention activities supported by leveraging of resources; and
- iv Percentage of subrecipient communities that submit data to the grantee data system.

Process Measures at the Community (Subrecipient) Level (all required)

- i Number of evidence based programs, policies, and/or practices implemented;
- ii Number of active collaborators/partners supporting the grantee's comprehensive prevention approach;
- iii Number of prevention activities supported by leveraging of resources; and
- iv Number of people reached by IOM category (universal, selected, indicated) and demographic group.

4) The grantee must comply with the GPRA requirements that include the collection and periodic reporting of performance data as specified in the RFA or by the Project Officer. This information is needed in order to comply with PL 102-62 which requires that SAMHSA report evaluation data to ensure the effectiveness and efficiency of its programs.

5) Audit requirements for Federal award recipients are detailed at [http://www.whitehouse.gov/sites/default/files/omb/assets/a133/a133\\_revised\\_2007.pdf](http://www.whitehouse.gov/sites/default/files/omb/assets/a133/a133_revised_2007.pdf). Specifically, non-Federal entities that expend a total of \$500,000 or more in Federal awards, during each Fiscal Year, are required to have an audit completed in accordance with OMB Circular A-133. The Circular defines Federal awards as Federal financial assistance (grants) and Federal cost-reimbursement (contracts) received both directly from a Federal awarding agency as well as indirectly from a pass-through entity and requires entities submit, to the Federal Audit Clearinghouse (FAC), a completed Data Collection Form (SF-SAC) along with the Audit Report, within the earlier of 30 days after receipt of the report or 9 months after the fiscal year end.

The Data Collection Forms and Audit Reports MUST be submitted to the FAC electronically at <http://harvester.census.gov/fac/collect/ddeindex.html>. For questions and information concerning the submission process, please visit <http://harvester.census.gov/sac/> or call the FAC 1-800-253-0696.

FAILURE TO COMPLY WITH THE ABOVE STATED TERMS AND CONDITIONS MAY RESULT IN SUSPENSION, CLASSIFICATION AS HIGH RISK STATUS, TERMINATION OF THIS AWARD OR DENIAL OF FUNDING IN THE FUTURE.

INDIRECT COSTS:

If the grantee chooses to establish an indirect cost rate agreement, it is required to submit an indirect cost rate proposal to the appropriate office within 90 days from the start date of the project period. For additional information, please refer to HHS Grants Policy Statement Section I, pages 23-24.

SAMHSA will not accept a research indirect cost rate. The grantee must use other-sponsored program rate or lowest rate available. Please contact the appropriate office of the Division of Cost Allocation to begin the process for establishing an indirect cost rate. To find a list of HHS Division of Cost Allocation Regional Offices, go to the SAMHSA website [www.samhsa.gov](http://www.samhsa.gov), then click on "grants"; then "grants management"; then "Contact Information".

All responses to special terms and conditions of award and postaward requests must be mailed to the Division of Grants Management, Office of Financial Resources (OFR), SAMHSA below:

For Regular Delivery:  
Division of Grants Management,  
OFR, SAMHSA  
1 Choke Cherry Road, Room 7-1091  
Rockville, MD 20857

For Overnight or Direct Delivery:  
Division of Grants Management,  
OFR, SAMHSA  
1 Choke Cherry Road, Room 7-1091  
Rockville, MD 20850

CONTACTS:

Andrea Harris, Program Official  
Phone: (240) 276-2441 Email: [andrea.harris@samhsa.hhs.gov](mailto:andrea.harris@samhsa.hhs.gov) Fax: (240) 276-2595

 Andrew Payne, Grants Specialist

Phone: (240) 276-1238 Email: Andrew.Payne@samhsa.hhs.gov Fax: (240) 276-1430



**Grant Number:** 1U79SP019425-01 REVISED

**Program Director:**  
 Valerie T Morgan

**Project Title:** New Hampshire Partnerships For Success Initiative

Grantee Address	Business Address
NH STATE DEPT OF HEALTH AND HUMAN SERS Bureau of Drug & Alcohol Serv  105 Pleasant Street Concord, NH 033013852	NH DHHS, Bureau of Drug and Alcohol Serv Director 105 Pleasant Street Concord, NH 03301

**Budget Period:** 09/30/2012 – 09/29/2015

**Project Period:** 09/30/2012 – 09/29/2015

Dear Grantee:

The Substance Abuse and Mental Health Services Administration hereby revises this award (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to NH STATE DEPT OF HEALTH AND HUMAN SERS in support of the above referenced project. This award is pursuant to the authority of Authorized under Section 516 of the PHS Act, as amended and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Award recipients may access the SAMHSA website at [www.samhsa.gov](http://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,

Eileen Bermudez  
 Grants Management Officer  
 Division of Grants Management

**RECEIVED**  
 10-15-12

See additional information below



**COPY**

*Handwritten notes at the bottom of the page, including a date '10-15-12' and other illegible scribbles.*

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**SECTION I – AWARD DATA – 1U79SP019425-01 REVISED**

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**Award Calculation (U.S. Dollars)**

Other	\$3,565,584
Direct Cost	\$3,565,584
Approved Budget	\$3,565,584
Federal Share	\$3,565,584
Cumulative Prior Awards for this Budget Period	\$3,565,584
<b>AMOUNT OF THIS ACTION (FEDERAL SHARE)</b>	<b>\$0</b>

**SUMMARY TOTALS FOR ALL YEARS**

YR	AMOUNT
1	\$3,565,584

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

**Fiscal Information:**

CFDA Number: 93.243  
EIN: 1026000618B3  
Document Number: 12SP19425A  
Fiscal Year: 2012

IC	CAN	Amount
SP	C96P124	\$3,565,584

**SP Administrative Data:**

PCC: SPF-PFS / OC: 4145

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**SECTION II – PAYMENT/HOTLINE INFORMATION – 1U79SP019425-01 REVISED**

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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.

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**SECTION III – TERMS AND CONDITIONS – 1U79SP019425-01 REVISED**

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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:

- The grant program legislation and program regulation cited in this Notice of Award.
- The restrictions on the expenditure of federal funds in appropriations acts to the extent those restrictions are pertinent to the award.
- 45 CFR Part 74 or 45 CFR Part 92 as applicable.
- The HHS Grants Policy Statement.
- This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

Treatment of Program Income:  
Additional Costs

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**SECTION IV – SP Special Terms and Condition – 1U79SP019425-01 REVISED**

REMARKS:

Due to an administrative error, this award removes the Special Condition and restriction regarding Participant Protection Concerns.

SPECIAL CONDITIONS OF AWARD

NONE

SPECIAL TERMS OF AWARD:

NONE

STANDARD TERMS OF AWARD:

All previous terms and conditions remain in effect.

CONTACTS:

Andrea Harris, Program Official

Phone: (240) 276-2441 Email: andrea.harris@samhsa.hhs.gov Fax: (240) 276-2595

 Andrew Payne, Grants Specialist

Phone: (240) 276-1238 Email: Andrew.Payne@samhsa.hhs.gov Fax: (240) 276-1430

