



DEPARTMENT OF HEALTH & HUMAN SERVICES

Substance Abuse and Mental
Health Services Administration

Center for Mental Health Services
Center for Substance Abuse
Prevention
Center for Substance Abuse
Treatment
Rockville MD 20857

JUN 3 0 2008

TO: Directors of the Single State Agency (SSA) for Substance Abuse Services

FROM: Chief, Performance Partnership Grant Branch, DSCA, CSAT

THROUGH: Director, Division of State and Community Assistance (DSCA), CSAT
Director, Division of State Programs, CSAP

SUBJECT: Summary of Changes to FY 2009 Uniform Application for the SAPT Block Grant

The content and format of the Uniform Application for the SAPT Block Grant was approved by the Office of Management and Budget on September 20, 2007. The FY 2009 Uniform Application was amended to reflect the applicable Federal fiscal years, State fiscal years, and calendar years, corresponding to the Annual Report, Progress Report, Intended Use (State) Plan, and the National Outcome Measures for substance abuse prevention and treatment required by the authorizing legislation and implementing regulations governing the SAPT Block Grant program. Further, the Uniform Application was amended to provide clarifications regarding the instructions in certain sections. The summary of changes is organized by the Sections I, II, III, IVa, IVb, Appendix A, and Appendix B.

Introduction

1. All references to the MS word version of the Uniform Application have been deleted; however, a MS Word version of the Uniform Application is available on CSAT's Treatment Improvement Exchange Website (<http://www.tie.samhsa.gov/sapt2009.html>)
2. The name of the individual within the Division of Grants Management, Office of Program Services, SAMHSA to whom a State must submit the original and two copies of the Funding Agreements and Certifications and to whom questions regarding fiscal and grants management issue should be addressed was changed.
3. The table describing the overview of the Uniform Application was amended to include references to page numbers.
4. The section "What to do if your State cannot complete all items in Sections I-IV," was amended to include an additional bullet that reads as follows: "Indicate when complete information will be available."
5. All references to the applicable Federal fiscal years were amended to correspond to the FY 2009 Uniform Application, i.e., FY 2006 Annual Report, FY 2008 Progress Report, and FY 2009 Intended Use Plan.

Section I

1. Form 1, Section II, State Expenditure Period was amended to include the following statement: “Most recent State expenditure period that is closed out.”
2. Form 2, Table of contents, was amended to include references to page numbers throughout the Uniform Application.
3. Form 2, Table of Contents, II.4, was amended to change the order of Disclosure of Lobbying Activity, and Assurances-Non-Construction Programs, to be consistent with OMB No. 0920-0428.
4. Form 2, Table of Contents, IVb, Prevention Performance Measures, was amended to include Prevention Attachment A, Prevention Attachment B, Prevention Attachment C, and Prevention Attachment D.

Section II

1. Attachment A: Prevention was amended to include the Healthy People 2010 URL (<http://www.healthypeople.gov>).
2. Attachment E: Tuberculosis was amended to include an additional statement that reads as follows: “Please refer to the FY 2006 Uniform Application, Section III.4, FY 2006 Intended Use Plan (Form 11), and Appendix A, List of HIV Designated States, to confirm applicable percentage and required amount of SAPT Block Grant funds expended for early intervention services for HIV.”
3. Goal 7 was amended to denote that any State that chose to operate a revolving loan fund is required to submit an annual report, progress report, or both, if a State operated a revolving loan fund during FY 2006 or FY 2008.
4. Attachment I: Charitable Choice was amended to instruct States to “...check the appropriate boxes that describe the State’s procedures and activities undertaken to comply with the provisions.”
5. Attachment J: Waivers was amended to “...submit the request for a waiver as an attachment to the application or following the submission of the application,” and to further clarify States must submit waiver requests “...to the SAMHSA Administrator following the submission of the application if not included as an attachment to the application.”
6. The instructions for Forms 4a and 4b were amended to reflect the correct reference to Form 4a and Form 4b.
7. The instructions for Form 4, Row 4: HIV Early Intervention Services, were amended to clarify that any State that was required to set-aside SAPT Block Grant funds for such services in FY 2006 was required to obligate and expend 5 percent of the grant for such services. The footnote was amended to reference the applicable HIV/AIDS Surveillance Report.
8. The instructions for completing Forms 4a and 4b: Detailing expenditures on primary prevention (Form 4, Row 2), was amended to reference the correct forms. The instruction was clarified to read as follows: “If a State chooses to complete Form 4b, a State must also complete Row 8, Section 1926 –Tobacco on Form 4a.”
9. The instructions for completion of Form 6 were amended to reflect the deletion of the following statement: “...and/or to which FY 2006 block grant funds have been obligated.”
10. The instructions for completion of Form 6, Column 5, were amended to clarify that “Column 5a is a subset of the expenditures reported in column 5. For example, a provider may operate an alcohol treatment program targeted toward women. The FY

2006 SAPT Block Grant funding for this provider would be entered twice, first in column 5 and again in column 5a.”

11. The instructions for completion of Form 6, Column 7, were amended to clarify that Column 7 was applicable to “Designated States” only.
12. The Entity Inventory, Form 6, Column 4, was amended to read as follows: “4. State Funds Spent during State Expenditure Period Designated on Form 1.”
13. The instructions for how to complete form 7a and 7b were amended to clarify that the number of persons served reported in Form 7a, Column B, is a subset of the number of admissions reported in Form 7a, Column A.
14. Form 7a, Treatment Utilization Matrix, was amended to reflect that Column A, Number of Admissions, is greater than or equal to () Column B, Number of Persons Served.
15. The instructions for completing Tables I-IV were amended to clarify that any State that did not report actual expenditures in the prior year Uniform Application may request to remove the pre-populated data (estimated expenditures) by clicking the button on the relevant MOE form in Web BGAS.

Section III

1. The instructions (footnote) for completing Form 11, Intended Use Plan, Row 4, HIV Early Intervention Services to reference the applicable HIV/AIDS Surveillance Report.
2. The instructions for completing Form 11, Intended Use Plan, Column A: FY 2009 SAPT Block Grant were amended to include the hyperlink to the Justification of estimates for the Appropriations Committees (<http://www.samhsa.gov/Budget/FY2009/index.aspx>).

Section IV

1. In Section IVa, Substance Abuse Treatment Performance Measures, the examples provided regarding the calculation of absolute change were deleted.
2. Calendar Year 2007 Treatment Episode Data Set (TEDS) are pre-populated in Web BGAS
3. In Section IVb, Substance Abuse Prevention Performance Measures, Calendar Year 2006 National Survey on Drug Use and Health (NHSDUH) are pre-populated in Web BGAS.
4. In Section IVb, Substance Abuse Prevention Performance Measures, Application to Substitute Data, the date for submission of a State’s request to substitute data and the date for a State’s submission of an appeal and the corresponding dates for CSAP’s response to a State were revised.
5. In Section IVb, Substance Abuse Prevention Performance Measures, Form P15, Services Provided within Cost Bands, the instruction was amended to reflect the applicable Calendar Year, i.e., CY 2006. The instruction regarding the transition year was deleted.
6. In Section IVb, Substance Abuse Prevention Performance Measures, Application to Substitute Data, the reference to the FY 2008 application only was deleted.
7. In Section IVb, Substance Abuse Prevention Performance Measures, Prevention Attachment D was amended to reflect the applicable calendar year (CY), i.e., CY 2006.
8. The List of Forms was amended to include Prevention Attachment A, Prevention Attachment B, Prevention Attachment C, and Prevention Attachment D.

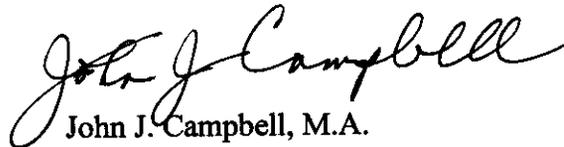
Appendix A

1. CSAT and CSAP State Project Officer (SPO) Directory was amended to reflect current SPO assignments in the Performance Partnership Grant Branch, Division of State and Community Assistance, CSAT and the Division of State Programs, CSAP, respectively.

Appendix B

1. FY 2009 Allocation Table from the Justification of Estimates for Appropriations Committees (http://www.samhsa.gov/Budget/FY2009/SAMHSA_CJ2009.pdf) was inserted. The FY 2009 Allocation Table also identifies “Designated States” that are required to set-aside 5 percent of the SAPT Block Grant for HIV early intervention services.

This document will be posted to CSAT’s Treatment Improvement Exchange Website (<http://www.tie.samhsa.gov/sapt2009.html>) on July 1.



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