

Adult Treatment Drug Courts
Department of Health and Human Services
Substance Abuse and Mental Health Services Administration

Center for Substance Abuse Treatment

Grant Number: 5H79TI023106-03

Program Director: Deborah Hoem

Project Title: Lake County Therapeutic Intensive Monitoring (TIM) Court Service Enhancement

**Grantee Address** 

COUNTY OF LAKE Chief Judge 18 North County Street

18 North County Street Waukegan, IL 60085 **Business Address** 

Issue Date: 06/22/2012

Lake County 19th Judicial Circuit Director of Administrative Services 18 North County Street Waukegan, IL 60085

**Budget Period:** 09/30/2012 – 09/29/2013 **Project Period:** 09/30/2010 – 09/29/2013

Dear Grantee:

The Substance Abuse and Mental Health Services Administration hereby awards a grant in the amount of \$208,333 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to COUNTY OF LAKE in support of the above referenced project. This award is pursuant to the authority of Authorized under Section 509 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 <a href="www.samhsa.gov">www.samhsa.gov</a> (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

#### **SECTION I – AWARD DATA – 5H79TI023106-03**

Award Calculation (U.S. Dollars) Consortium/Contractual Cost Travel Costs	\$197,929 \$9,000
Direct Cost Indirect Cost Approved Budget Federal Share Cumulative Prior Awards for this Budget Period	\$206,929 \$1,404 \$208,333 \$208,333 \$0
AMOUNT OF THIS ACTION (FEDERAL SHARE)	\$208,333

SUMMARY TOTALS FOR ALL YEARS	
YR AMOUNT	
3	\$208.333

<sup>\*</sup> 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:

1366006600A5

**Document Number:** 

10TI23106A

Fiscal Year:

2012

IC

CAN

Amount

TI

C96T511

\$208,333

TI Administrative Data: PCC: ADRUG-CR / OC: 4145

# SECTION II - PAYMENT/HOTLINE INFORMATION - 5H79TI023106-03

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

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

### SECTION III - TERMS AND CONDITIONS - 5H79TI023106-03

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

- a. The grant program legislation and program regulation cited in this Notice of Award.
- b. The restrictions on the expenditure of federal funds in appropriations acts to the extent those restrictions are pertinent to the award.

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c. 45 CFR Part 74 or 45 CFR Part 92 as applicable.

- d. The HHS Grants Policy Statement.
- e. This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

## Treatment of Program Income:

**Additional Costs** 

# SECTION IV - TI Special Terms and Condition - 5H79TI023106-03

#### REMARKS:

- 1) This award action issued on the date of this letter is not subject to the FFATA subaward and executive compensation reporting requirement.
- 2) This award reflects acceptance of the attestation signed and dated on February 15, 2012 by the authorized representative that there are no budget changes above 25% of the total previous budget period in response to the continuation application request.

## SPECIAL CONDITIONS OF AWARD:

#### NONE

#### SPECIAL TERMS OF AWARD:

Grant funds appropriated to SAMHSA/CSAT for drug treatment courts must be used to serve people diagnosed with a substance use disorder as their primary condition.

#### STANDARD TERMS OF AWARD:

- 1) 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.
- 2) 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.
- 3) 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.
- 4) 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:

Deborah Hoem, Project Director @ 20% level of effort Chris Scott, Evaluator @ 5% level of effort Dan Lustig, Clinical Director @ 10% level of effort

## 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 (I-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 BY 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 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 Semi-annual Report is due no later than the dates as follows: Page-4

## 1st Report - April 30, 2013 2nd Report - October 31, 2013

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.

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

### CLOSEOUT:

The following Applies to the Last Year of the Project Period:

This grant is in the final budget period of the project. Unless a no-cost extension has been requested and approved, grant closeout documents must be submitted within 90 days of the end of the current 12 month budget period and again at the end of a no-cost extension.

- 1) The Federal Financial Report (FFR), Standard Form 425 (SF-425); Disbursements reported on the final FFR must agree with the top portion of the FFR line 10 (a-c) as filed with the Division of Payment Management. NOTE: SINGLE GRANT REPORTING IS REQUIRED FOR EACH SAMHSA PROJECT AS STATED ON THE FFR FOR LINE 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 the FFR under Recipient Share line 10 (i-k). Adjustments to the award amount, if necessary, will be made if the grantee fails to meet the required match. The FFR must be prepared on a cumulative basis and all program income must be reported on line 10 (l-o). THERE MAY BE NO UNLIQUIDATED OBLIGATIONS REPORTED ON THE FINAL FFR. The FFR including instructions may be accessed from the following website: http://www.whitehouse.gov/omb/grants\_forms. The data can be entered directly on the form and the system will calculate the figures. After the FFR is completed you should print, sign and mailed the FFR to the address listed at the end of this letter.
- 2) If your organization has tangible personal property (equipment and supplies in excess of \$5,000) you must complete the Tangible Personal Property Reports. The following closeout forms can be downloaded from the OMB website at http://www.whitehouse.gov/omb/grants\_forms:

Tangible Personal Property Report, Standard Form - 428; Final Report, Standard Form-428-B; Disposition Request Report, Standard Form - 428-C; and Supplemental Sheet Standard Form - 428-S

According to 45 CFR 74.34(g) or 45 CFR 92.32(e), if acquired equipment with acquisition cost of \$5,000 or more, the first preference for its use is another SAMHSA project, second preference for its use is another HHS project and third preference for its use is another Federal project. If these preferences cannot be met once the equipment has been sold, the sale amount must be returned to SAMHSA. Provide all information about the equipment in a separate letter signed by the authorized representative transferring the equipment and signed by the grantee's authorized representative accepting the equipment, include the date of disposal and sale price or the method used to determine current fair market value, and compensate SAMHSA for it share by mailing a check payable to the Department of Health and Human Services to the following address:

Dan Spears
Financial Advisory Services Officer
Office of Financial Resources
Page-5

Division of Grants Management 1 Choke Cherry Road, Room 7-1091 Rockville, MD 20857

SAMHSA will provide written approval or disapproval of your request for disposition of property/supplies in excess of \$5,000 in total value (provide detailed list of supplies signed by both authorized representatives as stated above). All forms should be mailed to the address listed at the end of this letter.

3) The Final Progress Report (FPR) should be prepared in accordance with the terms and conditions of the Notice of Award (NoA) and/or directions provided by the SAMHSA Program Official listed at the bottom of your latest NoA under Contacts. The final progress report should cover the entire project period and include, at a minimum, an overview of the goals and objectives that you accomplished during the funding period as stated in your grant application. If further assistance is required to complete your FPR contact the Program Official. The FPR should be mailed to the address listed at the end of this letter.

All required documents should be mailed to the following address:

SAMHSA, Division of Grants Management Attn: Closeout 1 Choke Cherry Road, Room 7-1091 Rockville, Maryland 20857\* \*Use zip code 20850 for overnight delivery

ALL PREVIOUS TERMS AND CONDITIONS REMAIN IN EFFECT UNTIL SPECIFICALLY APPROVED AND REMOVED BY THE GRANTS MANAGEMENT OFFICER

#### CONTACTS:

Holly Rogers, Program Official

Phone: (240) 276-2916 Email: holly.rogers@samhsa.hhs.gov Fax: (240) 276-2970

We Helen Zhou, Grants Specialist

Phone: (240) 276-2482 Email: helen.zhou@samhsa.hhs.gov Fax: (240) 276-2410