

Ohio Department of Mental Health and Addiction Services
SFY 2014 Treatment and Recovery Guidance for Applicants (GFA)
Reporting Requirements for SAMI Grantees

General Information

- Instructions for reporting requirements are being provided to assist the grantee in completing progress reports, expenditure reports, budget revisions, and program revisions. Progress and expenditure reports are due on a mid-year and annual basis. As identified in the Notice of Sub-Award, please contact the OhioMHAS Regional Treatment and Recovery Coordinator for programmatic questions or the Grants Coordinator for expenditure report or budget revision questions.
- A completed SFY 2014 Treatment and Recovery GFA face sheet is required when submitting any of the reports. Face sheets must be signed by the Agency Executive Director and Agency Board Member. When submitting face sheets with reports, check the "Report" box for face sheet type. **All attached forms must be identified by the state grant number.** A copy of all reports must be sent to the ADAMHS/ADAS Board when the grant funding flows through the Board. Original progress and expenditure reports must be submitted by the appropriate date to:

Please email as attachments to Johanna.pickett@mha.ohio.gov or mail the signed originals to:

Ohio Department of Mental Health and Addiction Services
Community Funding Unit, Division of Fiscal Services
30 E. Broad Street, 11th Floor
Columbus, Ohio 43215

Please do not send any reports or copies to Regional Coordinators or other program contacts.
Reports are not considered received until in the possession of the Community Funding Unit

REQUIRED REPORTS

Progress Report

- The progress report is to be based on the approved State Fiscal Year (SFY) 2014 **conference event training** Grant Application. The progress report forms must be completed and submitted to OhioMHAS according to the following schedule:

Reporting Period

Mid Year: July 1, 2013 to December 31, 2013
Final: July 1, 2013 to June 30, 2014

Date Due to OhioMHAS

January 31, 2014
August 31, 2014

- The progress report forms can be downloaded from the ODADAS web site at www.mha.ohio.gov. **Select the "Funding" link, "Grants," "Grant Reporting Forms," under "SFY 2014 Grants Reporting Forms."**
- Implementing agencies are required to submit reports on a semi-annual basis on the "**conference event training progress report**" (Attachment 1). The mid-year report includes data from the first and second quarters of the state fiscal year. The final **conference event training** Progress Report includes data for the year end total of the state fiscal year. **Progress reports not using the SFY 2014 forms will not be processed and therefore will not be considered for review and approval.** The Department strongly recommends a quarterly program review be conducted internally and used as a management tool to ascertain performance measures.

- The implementing agency must electronically submit the SFY 2014 Mid-Year and End-Year progress reports via email to the regional coordinator listed on the Notice of Sub-Award.

For questions regarding the conference event training progress report please contact the Regional Coordinator listed in the SFY 2014 Notice of Sub-Award.

Expenditure Report

- The expenditure report is a management tool used to assist the grantee and OhioMHAS in monitoring the approved budget. The expenditures must be properly tracked and match appropriate agency accounting records. The mid-year report includes expenditures from the first and second quarters of the state fiscal year. The final report includes expenditures from all four quarters of the state fiscal year. Expenditure reports are due to the Department as follows:

Reporting Period

Mid Year: July 1, 2013 to December 31, 2013
 Final: July 1, 2013 to June 30, 2014

Date Due to ODADAS

January 31, 2014
 September 30, 2014

- The **Final** expenditure report is due to the Department by **September 30, 2014**. This report will reflect all expenditures to date including payments for items previously encumbered for the budgeted period. ***This report is considered the official record of final expenditures for the grant and OhioMHAS may adjust future funds based on the amount of funds reported as remaining on the final expenditure form.*** The Department may request that unexpended funds be returned to your local ADAMHS/ADAS Board. If your program funding does not flow through an ADAMHS/ADAS Board, OhioMHAS will review the circumstances and determine the proper course of action for any unexpended funds. Do not return the funds to OhioMHAS unless instructed.
- An **approved** program budget is enclosed with the Notice of Award. Expenditure reports are to be completed based on the line items in the approved budget. The SFY 2014 Budget/ Expenditure Form can be downloaded from the OhioMHAS web site at www.mha.ohio.gov. Select the "Funding" link, "Grant," "Grant Reporting Forms," under "SFY 2014 Grants Reporting Forms."

Follow the instructions below when completing expenditure reports:

- Submit a completed Treatment and Recovery GFA Face Sheet signed by the Agency Executive Director and Board Member. Check "Report" box for Face Sheet type.
- The implementing agency Fiscal Officer must electronically submit the SFY 2014 Mid-Year and End-Year expenditure reports via email to Johanna.pickett@mha.ohio.gov
- Report actual funds expended with either OhioMHAS funds or "Other Funds" for the appropriate reporting period. List the expenditures in the appropriate categories based on the approved budget included with the NOSA.
- The implementing agency Fiscal Officer must sign and date the expenditure report indicating approval with the identified expenditures. Indicate the person's name and telephone number who completed the report. The SFY 2014 Budget/Expenditure Form must be used when submitting an expenditure report. **Expenditure reports not using the SFY 2014 Budget/ Expenditure Form will not be processed and therefore will not be considered for review and approval.**
- After receiving prior approval from OhioMHAS, programs purchasing equipment/furniture with OhioMHAS grant funds are required to submit a list of the type of equipment/furniture, serial number, and cost for each item to OhioMHAS. Please use the **OhioMHAS Equipment/Furniture Purchase Form** to submit this list. This form is to be submitted with the final expenditure report which is due September 30, 2014. The OhioMHAS Equipment/Furniture Purchase Form is available

on the OhioMHAS website at www.mha.ohio.gov under “Funding” link, “Grants,” “Grant Reporting Forms,” and “SFY 2014 Grants Reporting Forms.”

For questions regarding expenditure reports, please contact the Grants Coordinator listed in the SFY 2014 Notice of Sub-Award.

REVISIONS

Budget Revision

- **A Budget Revision to the approved Budget is required if a program is requesting a change in the OhioMHAS Budget Categories I (Personnel Costs), II (Non-Personnel Costs), III (Motor Vehicle/Travel/Food/Conference), or IV (Equipment/ Furniture Costs) that is greater than 10% of the Total Category. The SFY 2014 Budget/Expenditure Form reflects the Categories and corresponding line items.** For example, your agency has been approved for \$10,000 for the Category I line items. The program decides to transfer \$2,500 to line items in Category II. Therefore, a budget revision would be required because the decrease exceeds 10% of Category I. If the program decided to transfer \$450 to the Personnel line item from the Fringe Benefits line item, no budget revision would be necessary as they are both line items in Category I.
- **Any changes or additions in OhioMHAS Budget Categories IV (Equipment/Furniture Costs) must be pre-approved by OhioMHAS with the submission of a Budget Revision. The request must include justification for the purchase of the Equipment and/or Furniture in relation to the program’s performance targets.** A Budget Revision Approval Notice must be received from OhioMHAS before the purchase(s) can be made.
- **A Budget Revision Approval Notice from OhioMHAS with the Director’s signature is the official pre-approval the Agency must receive before incurring costs for a change in the Budget Categories.**
- Changes in the program’s budgeted “Other Funds”, which will impact planned services, also must be reported.

Follow the instructions below to request a budget revision:

- Submit a completed Treatment and Recovery GFA Face Sheet signed by the Agency Executive Director and Board Member. Check “Revision” box for Face Sheet type.
- Include a proposed revised budget using a SFY 2014 Budget/Expenditure Form. Check "Budget Revision" box.
- Attach a detailed Budget Narrative indicating how each line item was calculated for each section and a) the amount of the change, b) reason for the change, c) fiscal impact of the change (if any), and d) resulting impact on the program accomplishments and services to be delivered.
- The SFY 2014 Budget/Expenditure Form can be downloaded from the OhioMHAS web site at www.mha.ohio.gov. Select the “Funding” link, “Grants,” “Grant Reporting Forms,” and “SFY 2014 Grants Reporting Forms.” **Budget Revision requests not using the SFY 2014 Budget/Expenditure Form will not be processed and therefore will not be considered for review and approval.**

Submit Budget Revisions to:
Ohio Department of Mental Health and Addiction Services
Community Funding Unit, Division of Fiscal Services
30 E. Broad Street, 11th Floor

Columbus, Ohio 43215

- A copy of the requested budget revision shall be submitted to the local ADAMHS/ADAS Board if the funding for the grant flows through the Board to the agency.
- The Department will respond to the budget revision request within twenty (20) calendar days. Programs must receive **prior written approval** from OhioMHAS before incurring costs for a change in the budget.
- Budget revisions for SFY 2014 must be received no later than **April 30, 2014**. **Requests received after this date will not be processed and therefore will not be considered for review and approval.**

For questions regarding budget revisions, please contact the Grants Coordinator listed in the SFY 2014 Notice of Sub-Award.

Conference Event Training Revision

- Anticipated significant change in the overall thrust of the program is to be reported in writing as soon as practical during the award period.
- ***Conference event training*** revisions must contain a clear explanation of the proposed change and impact to the program. Revised goals, objectives and activities must be included in the revised program plan.
- ***Conference event training*** revisions must be accompanied with a completed SFY 2014 Treatment and Recovery GFA Face Sheet.
- ***Conference event training*** revisions for SFY 2014 must be received no later than **February 15, 2014**. **Requests received after this date will not be processed and therefore will not be considered for review and approval.** Regional Coordinators will send a notice in writing to the implementing agency and ADAMHS/ADAS Board indicating a decision on the request.

Submit ***conference event training*** revisions to:
Ohio Department of Mental Health and Addiction Services
Community Funding Unit, Division of Fiscal Services
30 E. Broad Street, 11th Floor
Columbus, Ohio 43215

- If approved, the revised ***conference event training*** is to be used for the remainder of the SFY 2014 Progress Reports.

For questions regarding program revisions, please contact the Regional Coordinator listed in the SFY 2014 Notice of Sub-Award.

Attachment 1

OhioMHAS SFY 2014 Conference Event Training Progress Report

Please list the type and number of events in the chart below and including whether the events were attended as expected. (The events listed are examples)

Planned Evidence-Based Practice Conferences and Events	#
Model Overview for IDDT; DDCAT and DDMHT (Principles, essential components, organizational stages of change and implementation, and model research support);	
Substances of Abuse (Various substances of abuse, their effects, and manifestations in co-occurring disorders, e.g., alcohol and other depressants, cannabis, cocaine and other stimulants, opiates);	
Stages of Change/Treatment (The stage-wise process of recovery, the change process, and stage-related interventions);	
Assessment (Identification of and functional assessment for those who have co-occurring disorders);	
Treatment Planning (Client-centered treatment planning using integrated treatment principles);	
Engagement strategies (A critical component for developing the therapeutic alliance, engagement techniques and the role of crisis stabilization);	
Motivational Counseling (The understanding and use of motivational counseling techniques within this conceptual framework and beginning skill set include the spirit and basic principles, OARS and specific strategies to elicit behavior change);	
Substance Abuse Counseling (With special emphasis on the active treatment stage helping clients to identify thoughts, emotions, behaviors, and situations that lead to use. An overview of cognitive behavioral skills (CBT) is provided as a basis for this ongoing work);	
Group Treatment for Dual Disorders (Various group interventions such as psycho-education, persuasion, active treatment and relapse prevention groups. Additional training in providing group treatment is recommended for facilitators);	
Family Treatment Models (How to involve the consumer's support system);	
Psychopharmacology Update (For medications utilized in treatment);	
Program Leader training via Conference modules	
Total	