

FEMA

# Crisis Counseling Assistance and Training Program Guidance

CCP Application Toolkit, Version 5.0, July 2016

**Note:** Substance Abuse and Mental Health Services Administration (SAMHSA) Center for Mental Health Services (CMHS) Project Officers are available to provide technical assistance and consultation on the Crisis Counseling Assistance and Training Program (CCP). If you would like to speak with a CMHS Project Officer, please contact the SAMHSA Disaster Technical Assistance Center (DTAC) at 1-800-308-3515 (Monday–Friday 9 a.m.–5 p.m. eastern time), and a staff member will forward your request to the appropriate Project Officer.

You may obtain CCP applications, supplemental instructions, and guidance documents by calling SAMHSA DTAC as indicated above or by emailing SAMHSA DTAC at [DTAC@samhsa.hhs.gov](mailto:DTAC@samhsa.hhs.gov)



FEMA



U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
Substance Abuse and Mental Health Services Administration  
Center for Mental Health Services  
[www.samhsa.gov](http://www.samhsa.gov)

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# Table of Contents

<b>Introduction</b> .....	<b>1</b>
<b>Section I: Program Overview</b> .....	<b>1</b>
The Crisis Counseling Assistance and Training Program (CCP).....	1
Eligibility Requirements.....	2
CCP Timeline .....	3
Crisis Counseling Definition .....	4
Services Funded Through the CCP.....	4
Providers of CCP Services .....	4
CCP Primary and Secondary Services .....	4
Primary CCP Services .....	4
Secondary CCP Services .....	6
<b>Section II: CCP Model</b> .....	<b>6</b>
Typical Individual Reactions to a Disaster .....	7
Typical Community Reactions to a Disaster .....	7
The Crisis Counseling Approach .....	8
The Value of the Crisis Counseling Approach.....	9
The Significance of the Needs Assessment .....	9
The Goal of the CCP.....	10
The CCP Model .....	10
Identifying People in Need of Crisis Counseling.....	11
Differences among CCP Resource Linkage, Case Management, and Advocacy.....	12
CCP Sub-recipients and Staff .....	13
The Number of Visits Allowed by a Crisis Counselor.....	13
How Crisis Counselors Are Trained.....	14
The Differences between Crisis Counseling and Traditional Mental Health Treatment.....	14
How the CCP Addresses Severe Disaster Reactions .....	15
<b>Section III: Program Management and Implementation</b> .....	<b>15</b>
Main Components of a Program Management Plan.....	16
Media and Marketing and the CCP.....	16
Effective Staffing of the CCP .....	17

---

Training.....	17
Staff Stress Management .....	18
Data Collection, Evaluation, and Reporting.....	19
Procedures for data collection and evaluation include the following:.....	19
Quality Assurance.....	20
<b>Section IV: Pre-Award Requirements .....</b>	<b>20</b>
Applying for the ISP Grant .....	21
Instruction for Submission of the ISP Application Packet .....	21
Extension of the ISP Performance Period.....	21
Applying for the RSP Grant.....	22
Instructions for Submission of the RSP Application Packet.....	22
General Provisions.....	23
Conflict of Interest .....	23
Mandatory Disclosures .....	23
Performance Goal .....	24
<b>Section V: Post-Award Requirements .....</b>	<b>24</b>
Revision of Budget and Program Plans.....	24
Period of Performance .....	25
ISP Period of Performance .....	25
ISP Grant No-Cost Administrative Extension (for up to 60 days) .....	25
RSP Period of Performance.....	26
RSP Grant 90-Day No-Cost Administrative Extension.....	26
Procurement Requirements under a Federal Award .....	26
Reporting (Programmatic and Fiscal Requirements) .....	26
Sub-recipient Monitoring and Management.....	27
Determining Sub-recipient or Contractor Classification.....	27
Monitoring and Management .....	27
Remedies for Noncompliance and Specific Conditions.....	29
Termination.....	29
Opportunities to Object and Appeals of Application Decisions .....	30
Appeals of Remedies for Noncompliance.....	30

---

Objections/Appeals of Decisions Regarding Allowable Costs.....	30
Objections/Appeals of Termination or Suspension .....	31
Closeout and Retention Requirements for Records.....	31
ISP .....	31
RSP .....	31
<b>Section VI: Budget and Fiscal Management.....</b>	<b>32</b>
The Influence of the CCP Model (Fundable Costs).....	32
The Budget Narrative .....	33
Requests for Budget Adjustments.....	34
Pre-award Costs (ISP Phase).....	34
Indirect Costs .....	35
Cost Sharing, In-kind Resources, or Matching.....	35
Transfer of Funds.....	36
ISP .....	36
RSP .....	36
<b>Appendix Section .....</b>	<b>37</b>
Appendix A. Definitions.....	37
Appendix B: CCP Services, Positions, and Job Descriptions .....	39
Appendix C: Instructions for the Budget Narrative.....	44
Required Supporting Documentation To Be Maintained by the CCP .....	51
Appendix D: SF-424 Tip Sheet .....	53
Appendix E: Federal Financial Report (FFR) SF-425.....	56
Appendix F: Federal Financial Report (FFR) SF-425 Instructions.....	57
FFR Instructions .....	57
Reporting Requirements .....	57
Line-item Instructions for the <i>FFR</i> .....	58

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## Introduction

The Crisis Counseling Assistance and Training Program (CCP) is a federally funded supplemental program administrated by the U.S. Department of Homeland Security (DHS) Federal Emergency Management Agency (FEMA). Section 416 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42 U.S.C. § 5183 authorizes FEMA to fund mental health assistance and training activities in areas that have been declared a major disaster by the President. The Center for Mental Health Services (CMHS), within the Substance Abuse and Mental Health Services Administration (SAMHSA), works with FEMA through an interagency agreement to provide technical assistance, consultation, grant administration, program oversight, and training for state mental health authorities, U.S. territories, and designated tribal authorities.

The mission of the CCP is to assist individuals and communities in recovering from the effects of natural and human-caused disasters through the provision of community-based outreach and psycho-educational services. The CCP supports short-term interventions that involve assisting disaster survivors in understanding their current situation and reactions, mitigating stress, developing coping strategies, providing emotional support, and encouraging linkages with other individuals and agencies that help survivors in their recovery process.

The information presented in the program guidance is organized into seven sections: Program Overview, CCP Model, Program Management and Implementation, Pre-Award Requirements, Post-Award Requirements, Budget and Fiscal Management, and the Appendix Section. The program guidance should be used in conjunction with the following:

- Immediate Services Program (ISP) and Regular Services Program (RSP) applications and supplemental instructions
- 44 Code of Federal Regulations (CFR) §206.171
- Super Circular Requirements 2 CFR Part 200

## Section I: Program Overview

### The Crisis Counseling Assistance and Training Program (CCP)

The CCP consists of services focused on preventing or mitigating adverse repercussions of a disaster. This goal is achieved with a public health approach. Beginning with the most severely affected group and moving outward, the program seeks to serve a large portion of the population affected by the disaster. CCP services are community based and take place anywhere survivors are, including, but not limited to, survivor homes, shelters, temporary living sites, and churches and other places of worship.

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The CCP services include supportive crisis counseling, psycho-education, development of coping skills, and linkage to appropriate resources, while assessing and referring those members of the community who are in need of intensive mental health and substance use treatment to appropriate community resources. The CCP engages community gatekeepers and organizations through direct contact with stakeholder groups, such as unmet-needs committees, and participation in community events in order to facilitate response activities and services to survivors.

## Eligibility Requirements

States, U.S. territories, and tribes that are impacted by a major disaster are eligible to receive CCP services.

If the severity and magnitude of the disaster are beyond the scope of the state, tribe, or territories ability to respond, the state, tribe, or territory may submit an application for supplemental federal assistance through the CCP.

The CCP is a supplemental disaster relief program and is not intended to supplant existing state and local resources. To obtain assistance under the CCP program, the Governor or his/her authorized representative must initiate an assessment of the need for crisis counseling services within 10 days of the date of the major disaster declaration. In order to receive CCP funding, the state, territory, or tribe must provide a description of the state and local resources and capabilities, and an explanation of why these resources cannot meet the need.<sup>1</sup> Following the grant award and throughout the life of the program, grantees are expected to conduct ongoing needs assessment to justify continued supplemental funding.

Immediate Services Program: The ISP application must be submitted to the FEMA Regional Administrator no later than 14 days from the date of declaration. The ISP provides funding not to exceed 60 days from the date of the declaration, except if the state, territory or tribe has submitted an application for the RSP. If an RSP application is submitted, the ISP may continue for 30 additional days while the RSP application is being reviewed for funding.<sup>2</sup>

Any funds granted pursuant to an immediate services programs, all funds must be expended solely for the purposes specified in the approved application and budget, regulations, the terms of conditions of the award, and the applicable principles prescribed in 44CFR part 13.<sup>3</sup>

The state, territory or tribe may appeal the Regional Administrator's decision by submitting information justifying a reversal of the decision within 60 days of the date of notification of the

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<sup>1</sup> §206.171 (3)(d)(f)(iii)

<sup>2</sup> §206.171 (f)(1)(i)(ii)

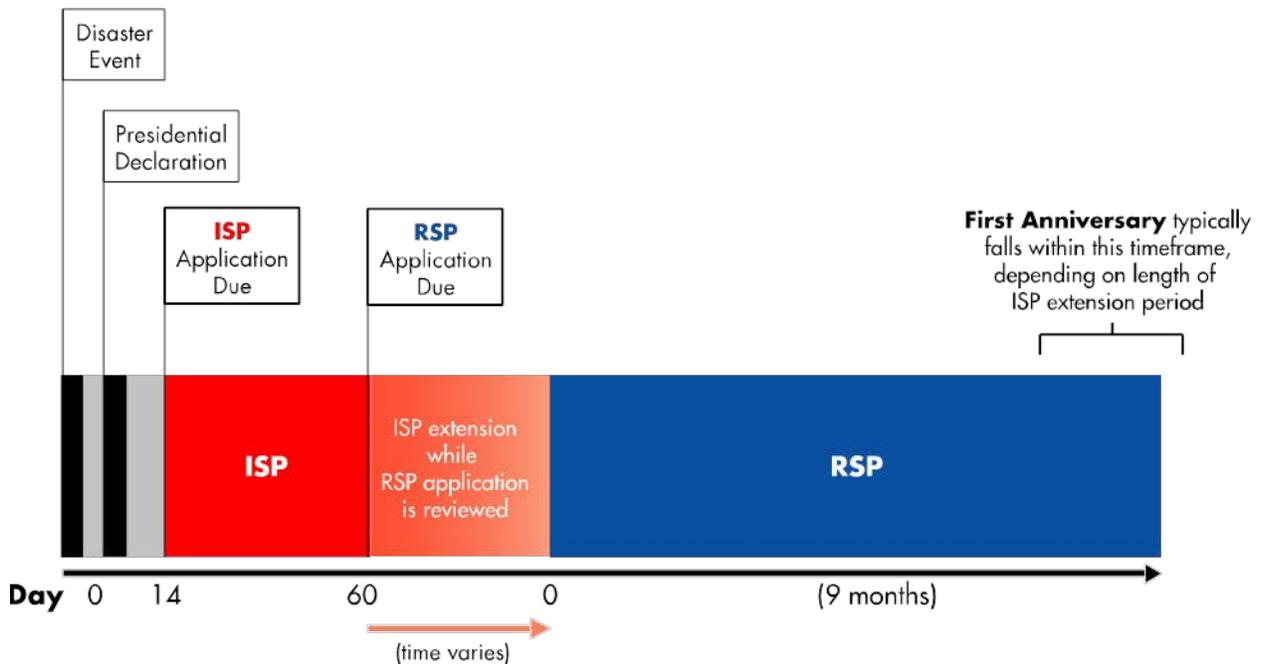
<sup>3</sup> §206.171 (f)(v)

application decision. The Regional Director shall review the material submitted, and after consultation with the Secretary, notify the state, territory or tribe, in writing within 15 days of receipt of the appeal, of his/her decision.<sup>4</sup>

The Regular Services Program: The RSP application must be submitted by the Governor or his/her authorized representative to the Assistant Administrator for the Recovery Directorate through the Regional Administrator, and simultaneously to the Secretary no later than 60 days following the declaration of the major disaster. The RSP will not exceed 9 months from the date of the Notice of Award (NOA), except that upon the request of the state, territory or tribe to the Regional Administrator and the Secretary, the Assistant Administrator for the Recovery Directorate may extend the program period for more than 90 days where he or she deems it to be the public interest.<sup>5</sup>

The state, territory or tribe may appeal the Assistant’s Administrator’s decision, in writing, within 60 days of the date of notification of the decision. The Assistant Administrator, in consultation with the Secretary and Regional Administrator, shall review the material submitted and notify the state, territory or tribe, in writing within 15 days of receipt of the appeal, of his/her decision.<sup>6</sup>

### CCP Timeline



<sup>4</sup> §206.171 (f)(5)(i)

<sup>5</sup> §206.171 (g)(4)(i)

<sup>6</sup> §206.171 (5)

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## Crisis Counseling Definition

Crisis Counseling means the application of individual and group treatment procedures which are designed to ameliorate the mental and emotional crises and their subsequent psychological and behavioral conditions resulting from a major disaster or its aftermath.<sup>7</sup>

## Services Funded Through the CCP

The CCP funds the following services:

- Individual crisis counseling
- Basic supportive or educational contact
- Group crisis counseling
- Public education
- Community networking and support
- Assessment, referral, and resource linkage
- Development and distribution of educational materials
- Media and public service announcements

## Providers of CCP Services

CCP services can be provided by the state, territory or tribe or through a contract with local mental health service providers that are familiar with the communities affected by the disaster. The CCP encourages the use of mental health professionals and trained paraprofessionals, preferably people who live and work in the community and reflect the cultural makeup of the community served.

## CCP Primary and Secondary Services

There are two types of CCP services: primary and secondary. Primary CCP services are higher in intensity, as they involve personal contact with individuals, families, or groups. Secondary CCP services have a broader reach and less intensity with a focus of reaching as many people as possible.

### Primary CCP Services

#### *Individual Crisis Counseling*

Individual crisis counseling involves a process of engagement lasting at least 15 minutes. It focuses on helping disaster survivors understand their reactions, review their options, and connect with other individuals and agencies that may assist them in improving their situations. Staff members who provide individual crisis counseling are active listeners who offer reassurance, practical assistance,

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<sup>7</sup> §206.171 (b)(3)

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psycho-education, and emotional support, and who teach behavioral techniques for coping with stress.

### ***Brief Educational or Supportive Contact***

Educational information or emotional support is provided to individuals or groups, and typically is less than 15 minutes in duration. CCP staff members who provide brief educational or supportive contact are helpful educators and active listeners. They offer general support and provide general information, typically on resources and services available to disaster survivors. During this type of intervention, crisis counselors do not usually engage in in-depth discussion as they would during individual crisis counseling or psycho-education.

### ***Group Crisis Counseling***

Group crisis counseling occurs when disaster survivors and community members are brought together to meet for more than 15 minutes. A trained crisis counselor leads the group. The structure and format of group crisis counseling may vary, but group members should have similar levels of exposure to the disaster. Groups may be supportive or psycho-educational in nature. CCP crisis counselors who facilitate this service encourage the group members to do most of the talking, and they offer skills to help the group members cope with their situations and reactions. Throughout the process, the counselors assist group members with referrals to services often needed.

In addition to psycho-education or support groups, the CCP also promotes the development of self-help groups. A mental health professional or paraprofessional normally facilitates the CCP-initiated self-help groups; a group can work toward autonomy by inviting a member to be a co-facilitator. Initially, the crisis counselor may be the primary leader of the group. Later, the group may continue without the presence of a professional or paraprofessional counselor, and be led by one or more of the group members. When group members are responsible for their own group process without the benefit of the presence of a professional or paraprofessional (a self-help support group), the group is no longer a CCP effort, since the quality of the group process cannot be guaranteed and lacks reporting or accountability mechanisms.

### ***Public Education***

CCP outreach staff provide survivors with information and education about typical reactions, helpful coping strategies, and available disaster-related resources. CCP staff members commonly provide this service through public speaking at community forums, professional in-service meetings, and local government meetings. In contrast to the group crisis counselor, the CCP staff member who conducts public education does most of the talking. The need for public educational services is likely to increase throughout the course of the CCP.

### ***Assessment, Referral, and Resource Linkage***

Crisis counselors receive training in assessing an individual's or family's need for referral to additional disaster relief services or mental health or substance use treatment. Crisis counselors refer survivors experiencing severe reactions to the appropriate level of care. Furthermore, survivors can receive a referral for other disaster relief resources to meet a wide range of physical, structural, or economic

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needs. The crisis counselors who provide assessment and referral services need to be knowledgeable about local resources and work diligently to engage community organizations.

### ***Community Networking and Support***

Crisis counselors build relationships with community resource organizations, faith-based groups, and local agencies. They often attend community events to provide a compassionate presence and to be available to provide crisis counseling services when needed. They may initiate or attend unmet-needs committee or long-term recovery group meetings, or other disaster relief-oriented gatherings. It is important to note that communities, families, and survivors should “own” their community events. Crisis counseling staff can provide useful consultation during the planning process and valuable information and services at these events to demonstrate their support for members of the community.

## **Secondary CCP Services**

### ***Development and Distribution of Educational Materials***

Crisis counselors distribute flyers, brochures, tip sheets, and web-based materials to educate survivors and the community. Topics include basic disaster information, typical reactions to disaster, coping skills, and individual and community recovery and resilience. Materials that address the needs of at-risk populations, as well as materials developed in multiple languages, should be available. Materials may be handed out or left in public places, published in local newspapers, or mailed to survivors in areas most affected by a disaster. Examples of these materials can be obtained from the SAMHSA Disaster Technical Assistance Center (DTAC).

### ***Media and Public Service Announcements***

CCP staff engage in media activities and public messaging in partnership with local media outlets, state and local governments, charitable organizations, or other community brokers of information. Media activities and messaging are designed to reach a large number of people in order to promote access to CCP services and educate survivors and the community about disaster reactions, coping skills, and individual or community recovery and resilience. Venues for this messaging vary and may include media interviews with CCP spokespeople, television or radio public service announcements, use of websites or email, or advertising.

## **Section II: CCP Model**

Section I of the CCP guidance provides an overview of the CCP. Brief descriptions of the services provided by the CCP and eligibility and application requirements are discussed. Some information on key elements of the needs assessment process for service provision and on program reporting requirements is also included. This section is intended to provide an overview of the program model and the importance of understanding how the model works in coordination with the program plan the assessment process and the budget to have a cohesive CCP program that meets the mental health needs of disaster survivors.

## Typical Individual Reactions to a Disaster

Typical reactions to a disaster include physical, emotional, cognitive, and behavioral responses that may be experienced by individuals and families. Each category of disaster response includes a diverse set of reactions that may change over time. For example, one may experience hyper vigilance immediately after a disaster and then, over time, lapse into a state of chronic fatigue. Whether the reactions are adaptive or become distressing, people who are affected by a disaster may experience more than one type of reaction, and these reactions may change over time. Many people may experience anxiety, loss of sleep or appetite, stress, grief, irritability, hopelessness, and family conflict.

## Typical Community Reactions to a Disaster

While each survivor experiences the disaster as an individual, he or she also experiences it as part of a community. The following figure illustrates six phases of a community's response to a disaster.



- **Phase 1, the pre-disaster phase, is characterized by fear and uncertainty.** The specific reactions a community experiences depend on the type of disaster. Disasters with no warning can cause feelings of vulnerability and lack of security; fears of future, unpredicted tragedies; and a sense of loss of control or the loss of the ability to protect oneself and one's family. On the other hand, disasters with warning can cause guilt or self-blame for failure to heed the

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warnings. The pre-disaster phase could be as short as hours, or even minutes, such as during a terrorist attack; or it could be as long as several months, such as during a hurricane season.

- **Phase 2, the impact phase, is characterized by a range of intense emotional reactions.** As with the pre-disaster phase, the specific reactions also depend on the type of disaster that is occurring. Slow, low-threat disasters have psychological effects different from those of rapid, dangerous disasters. As a result, these reactions can range from shock to overt panic. Initial confusion and disbelief typically are followed by a focus on self-preservation and family protection. The impact phase is usually the shortest of the six phases of disaster.
- **Phase 3, the heroic phase, is characterized by a high level of activity with a low level of productivity.** During this phase, there is a sense of altruism, and many community members exhibit adrenaline-induced rescue behavior. As a result, risk assessment may be impaired. The heroic phase often passes quickly into phase 4, the honeymoon phase.
- **Phase 4, the honeymoon phase, is characterized by a dramatic shift in emotion.** During the honeymoon phase, disaster assistance is readily available; community bonding occurs. Optimism exists that everything will return to normal quickly. As a result, numerous opportunities are available for sub-recipients and resources to establish and build rapport with affected people and groups, and build relationships with stakeholders. The honeymoon phase typically lasts only a few weeks.
- **Phase 5, the disillusionment phase, is characterized by a stark contrast to the honeymoon phase.** During the disillusionment phase, communities and individuals realize the limits of disaster assistance. As optimism turns to discouragement and stress continues to take a toll, negative reactions, such as physical exhaustion or substance use, may begin to surface. The increasing gap between need and assistance leads to feelings of abandonment. Especially as the larger community returns to business as usual, there may be an increased demand for services, as individuals and communities become ready to accept support. The disillusionment phase can last months, and even years. It is often extended by one or more trigger events, which usually include the anniversary of the disaster.
- **Phase 6, the reconstruction phase, is characterized by an overall feeling of recovery.** Individuals and communities begin to assume responsibility for rebuilding their lives, and people adjust to a new “normal” while continuing to grieve losses. The reconstruction phase often begins around the anniversary of the disaster and may continue for some time beyond that. Following catastrophic events, the disillusionment phase may be years in duration.

## The Crisis Counseling Approach

Crisis counseling is a strengths-based, outreach-oriented approach to helping disaster survivors identify and access personal and community resources that will aid the recovery process. It consists primarily of supportive, educational, face-to-face interventions with individuals and communities in their natural environments. The CCP seeks to empower survivors by educating them about disaster

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reactions, teaching them coping skills, assessing them for individual needs, and linking them to appropriate community resources.

Crisis counseling is considered strengths-based because it assumes most disaster survivors are naturally resilient. By providing support, education, and linkage to needed community resources, survivors will be better equipped to recover from the negative consequences of disaster.

While crisis counseling assumes a natural resilience in the majority, it also includes screening and assessing for severe reactions in the minority. Crisis counselors know that few people will develop diagnosable conditions. They are trained to identify disaster survivors experiencing severe reactions and refer these individuals to appropriate treatment services and community resources.

### **The Value of the Crisis Counseling Approach**

Although a disaster may leave most people physically unharmed, it affects everyone who experiences it. A key step to recovery is regaining a sense of control. Crisis counseling provides survivors with the support, education, and skills they need to regain a sense of control and rebuild their lives.

Crisis counseling assistance is practical in nature. Many survivors will not seek help, and some may even reject it. While survivors may not want “psychological counseling” or “mental health services,” they usually will welcome the genuine concern and concrete support offered by crisis counselors.

Crisis counseling also is valuable because it addresses the needs of the community as a whole, in addition to those of the individual. During a disaster, both individuals and communities experience a range of emotional highs and lows that typically are associated with the phases of disaster recovery. Communities may move from a sense of heroism and altruism to a sense of hopelessness and abandonment, all in a short period of time. Crisis counselors provide support, education, and resource linkage that empower individuals and communities, and assist them in reaching the reconstruction phase of recovery.

### **The Significance of the Needs Assessment**

Ongoing needs assessment is the foundation of the CCP. It is a continuous process necessary to ensure the relevance of the program for the duration of the effort. Formal sources for needs assessment might include analysis of damage assessments and registrants for services from FEMA or the CCP, and may involve other data sources including special use surveys and assessment tools. A needs assessment also might rely on corroborative data including anecdotal evidence from crisis counselors or feedback from other disaster relief providers. These sources may be especially important to inform adaptation of program outreach and services to meet changing needs in communities affected by disaster.

The application and needs assessment provide an opportunity for the state, territory or tribe to demonstrate the nature and extent of behavioral health needs resulting from a disaster and how those needs surpass local resources and capabilities.

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The needs assessment identifies populations who should be targeted to receive crisis counseling services. In most disaster situations, children, adolescents, older adults, and persons with disabilities or other access and functional needs are considered special populations. The needs assessment may reveal additional groups who are vulnerable to disaster effects or who have been particularly affected by the disaster.

### **The Goal of the CCP**

The goal of the CCP is to help disaster survivors recover from the adverse reactions to disaster and begin to rebuild their lives. The CCP focuses on helping them understand their personal reactions, helping them plan action steps and solutions to resolve losses and overcome adversities, and linking them to other community resources.

The CCP helps survivors prioritize their needs and connect with organizations or people who can assist them. Although the CCP is a temporary disaster relief program, it leaves behind a permanent legacy of more adaptive coping skills, educational and resource materials, and enhanced community linkages.

### **The CCP Model**

The CCP is designed to provide immediate behavioral health support, primarily relying on face-to-face contacts with survivors in their communities. The CCP provides these support-centered services to survivors over a specific period of time. Eight key principles guide the CCP approach.

CCP services can be described as follows:

**Strengths-based:** Crisis counselors assume natural resilience in individuals and communities, and promote independence rather than dependence on the CCP, other people, or organizations. Crisis counselors help survivors regain a sense of control.

**Outreach-oriented:** Crisis counselors take services into the communities rather than wait for survivors to come to them.

**More practical than psychological in nature:** Crisis counseling is designed to prevent or mitigate adverse repercussions of disasters rather than to treat them. Crisis counselors provide support and education, listen to survivors, and accept the content at face value. Crisis counselors help survivors to develop a plan to address self-identified needs and suggest connections with other individuals or organizations that can assist them.

**Diagnosis-free:** Crisis counselors do not classify, label, or diagnose people; they keep no records or case files. The CCP does not provide mental health or substance use treatment, or critical incident stress debriefing. Services are supportive and educational in nature.

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**Conducted in nontraditional settings:** Crisis counselors make contact with survivors in their homes and communities, not in clinical or office settings.

**Culturally aware:** The CCP model embraces cultural and spiritual diversity as reflected in culturally relevant outreach activities that represent the communities served.

**Designed to strengthen existing community support systems:** Crisis counselors support, but do not organize or manage, community recovery activities. Likewise, the CCP supplements, but does not supplant or replace, existing community systems.

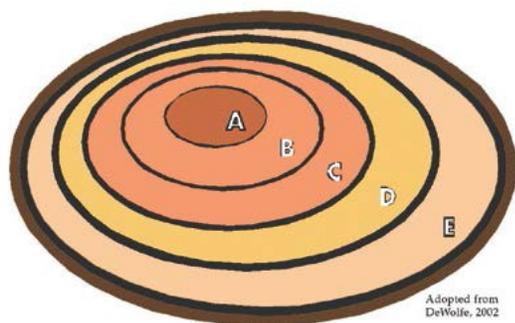
**Provided in ways that promote a consistent program identity:** Crisis counselors should work together early to establish a unified identity. The CCP strives to be a single, easily identifiable program, with services delivered by various local agencies.

### Identifying People in Need of Crisis Counseling

Program management and ongoing needs assessment are the foundation of the CCP. It is a continuous process necessary to ensure the relevance of the program for the duration of the effort. An initial needs assessment provides the rationale and justification for the CCP, and identifies at-risk populations who will be targeted for outreach. Formal sources for needs assessment might include analysis of damage assessments and registrants for services from FEMA or the CCP, and may involve other data sources including special use surveys and assessment tools. A needs assessment also might rely on corroborative data including anecdotal evidence from crisis counselors or feedback from other disaster relief providers. These sources may be especially important to inform adaptation of program outreach and services to meet changing needs in communities affected by disaster.

The CCP utilizes a population exposure model to help identify and prioritize groups who could benefit from crisis counseling services. This model mirrors a “ripple effect,” illustrating how the effect of a disaster expands to wider segments of the community. The injured and bereaved represented in “A” are those with the highest level of exposure to the disaster and those most likely to benefit from CCP services that are delivered face-to-face and are of higher intensity. Those represented in each subsequent ring have a lesser degree or intensity of exposure. Those in ring “E” have experienced little to no direct exposure to the disaster and, thus, may be targeted for the lowest intensity of service such as public education and information.

#### Population Exposure Model



■ Addressed by the CCP

- A. Injured survivors, bereaved family members
- B. Survivors with high exposure to disaster trauma, or evacuated from disaster zones
- C. Bereaved extended family and friends, first responder.
- D. People who lost homes, jobs, and possessions; people with preexisting trauma and other dysfunction; at-risk groups and other disaster responders
- E. Affected people from the larger community

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A properly performed needs assessment is particularly important for identifying populations at greatest risk for behavioral problems. A thorough and thoughtful needs assessment will help the state, territory or tribe identify vulnerable groups and understand how they are most affected by the specific disaster.

### **Differences among CCP Resource Linkage, Case Management, and Advocacy**

CCP services include referrals and linkage to health and mental health services, disaster recovery resources, and tangible goods. Linkage may occur as a result of a single visit and includes limited or informal follow-up. The intent of CCP resource linkage services is to assist disaster survivors in accessing resources without developing the expectation of a long-term relationship and a structured case plan. The emphasis for the crisis counselor is on empowering survivors to make plans, to become familiar with local resources, and to act on their own behalf to connecting with the resources they need.

Case management, as traditionally practiced by human service agencies, often involves more accountability on the part of the worker to ensure clients successfully access needed resources and supports. In a traditional case management model, it is common for a formal case plan to be established and for regular follow-up to occur. Traditional advocacy emphasizes a worker representing the needs and interests of the population served to ensure access to resources. In some cases, advocacy can be an adversarial process directed toward influencing a system, resource, or local mental health agency to serve a client.

The CCP model emphasizes empowerment and collaboration. For circumstances in which longer term, more intensive services are needed, a crisis counselor may provide some extra assistance or limited, short-term follow-up to a survivor who is particularly overwhelmed or who has literacy or language barrier issues. A crisis counselor, in the presence of a disaster survivor, may role-play making phone calls and show how asking important questions facilitates obtaining resources for the survivor and his or her family. The crisis counselor then encourages the survivor to accomplish these tasks on his or her own. With reinforcement and guidance from the crisis counselor, often provided during a single visit, the survivor is then empowered to act independently to access resources. Whenever possible, the crisis counselor encourages disaster survivors to utilize resource lists and information to make their own phone calls, fill out their own forms, and set up their own appointments. Should advocacy for an individual or community be needed, crisis counselors should seek out faith-based organizations or other agencies to help respond to these needs.

Traditional Case Management	CCP Resource Linkage
<b>Provides services to individuals who may have a serious and persistent mental illness or other disability of indefinite duration.</b>	Provides services to disaster survivors, regardless of level of functioning.
<b>Advocates for and influences the provision of services for clients.</b>	Empowers disaster survivors to advocate for their own services and resources.
<b>Includes filling out forms and arranging appointments for clients.</b>	Assists disaster survivors in accessing services by guiding them through typical application and referral processes.
<b>Assumes responsibility for ensuring clients access needed services, and may follow up with local mental health agencies to ensure compliance with appointments.</b>	Assists disaster survivors in identifying services, and may follow up with survivors, while empowering them to be responsible for accessing their own services.
<b>Has a responsibility to ensure continuity of care for clients.</b>	Assists disaster survivors in accessing disaster-related services, as prioritized by survivors.
<b>Involves long-term relationships with clients.</b>	Involves short-term relationships with disaster survivors.

### CCP Sub-recipients and Staff

CCP sub-recipients usually are community behavioral health organizations that have an existing relationship with the state, territory or tribe. The CCP requires training of paraprofessional staff who understand the cultures of the community and reflect the ethnic groups they serve.

CCP staff typically work in teams of two or more to perform outreach services. Typically, teams include a mix of behavioral health professionals and trained paraprofessionals. Each team should have a team leader who has the clinical expertise needed to supervise staff. Trained professional staff members also are responsible for assessing survivors for severe reactions. Remote communication devices, such as a mobile phone, are essential to ensure outreach worker safety.

### The Number of Visits Allowed by a Crisis Counselor

The CCP does not limit the number of times crisis counselors may meet with individuals or families. However, a crisis counselor should be cautious about establishing expectations of long-term services or relationships, given the program’s temporary nature. Typically, crisis counselors are trained to consider assessing survivors they have seen on three or more occasions for referral to other kinds of resources or behavioral health care if needed. Crisis counselors may see survivors more than three times to work on coping strategies, stress management activities, or other crisis counseling interventions.

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## How Crisis Counselors Are Trained

FEMA and SAMHSA have developed a series of standardized CCP training modules for crisis counselors and program administrators. These required trainings teach crisis counselors about individual and community reactions to disaster, prepare them to deliver crisis counseling services, inform them about CCP procedures and data collection, and provide them with techniques to manage their own stress.

The state, territory or tribe articulates a comprehensive training plan in the ISP and RSP applications. These plans include the standardized CCP trainings and any supplemental training on disaster-related topics that the state, territory or tribe deems appropriate. The standard CCP trainings developed by FEMA and SAMHSA are delivered by instructors experienced in the CCP model and trained to deliver CCP-required trainings. The names of instructors should be included in the ISP and RSP applications, and approved by SAMHSA. Additional training provided must be based on specific disaster needs.

## The Differences between Crisis Counseling and Traditional Mental Health Treatment

Mental health treatment, as typically defined within the professional community, implies the provision of assistance to individuals for a diagnosable disorder. In contrast, crisis counseling seeks to prevent the onset of diagnosable disorders by helping the majority of survivors understand that they are experiencing common reactions to extraordinarily uncommon events. With the help of psycho-education, emotional support, skills building, and linkage to services, most survivors will exhibit resilience and recovery.

While a mental health professional typically will provide services in an office or clinical setting, the crisis counselor supports people in their communities. Typical settings for crisis counseling may include a disaster survivor's home, a workplace, a school, a community center, or even a coffee shop.

A mental health professional often will engage a client in short- or long-term recovery treatment, committing the person to a set number of sessions. The crisis counselor should treat each encounter as if it will be the only one, assisting the survivor with identifying needs and goals. In disaster situations, survivors often are forced to move from place to place, requiring this more psycho-educational approach. The mental health professional may be concerned with treating a particular symptom or set of symptoms; however, the crisis counselor uses a holistic approach, assessing and responding to all of the person's needs within the context of his or her situation.

The mental health professional often takes a directive role, deciding what issues need to be addressed and in what manner. The crisis counselor assists survivors in identifying their most pressing difficulties and needs, as well as prioritizing and planning how they can address these needs best. The crisis counselor also is a supportive voice and may provide information about common reactions to disaster, effective coping strategies, and available community resources.

Finally, while a traditional mental health professional will make a diagnosis and treat mental illnesses, the crisis counselor will avoid classifying, labeling, or diagnosing people in any way. The crisis counselor keeps no individual records or case files.

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Key differences between the two approaches are summarized below.

Traditional Mental Health	Crisis Counseling
Is office based.	Is home and community based.
Diagnoses and treats mental illnesses.	Assesses strengths and coping skills.
Focuses on personality and functioning.	Seeks to restore or improve functioning.
Examines content.	Accepts content at face value.
Explores past experiences and their influence on current problems.	Validates common reactions and experiences.
Has psychotherapeutic focus.	Has psycho-educational focus.
Keeps records, charts, case files, etc.	Does not collect any identifying information.

### How the CCP Addresses Severe Disaster Reactions

Severe reactions to a disaster may include depressive disorders, suicidal behavior, substance use, acute stress disorder, posttraumatic stress disorder, dissociative disorders, and anxiety disorders. The *treatment* of severe reactions is beyond the scope of the CCP. However, *assessing for severe reactions* and *making appropriate referrals* are crucial parts of the program. Through training, crisis counselors know that few survivors will develop diagnosable conditions, but they must be able to identify those who do and refer them to the appropriate levels of care.

## Section III: Program Management and Implementation

CCP supervisory staff must ensure that services are delivered effectively to meet the needs of disaster survivors and at-risk individuals and groups. Training, supervision, regular meetings, analysis of service and fiscal data, and quality assurance systems are essential elements for effective program management. CCP staff collaborate to ensure that the resource and service components of the CCP work together in a manner consistent with the program model. FEMA and SAMHSA project officers have federal oversight responsibility for the CCP and will work with the state, territory or tribe to ensure administrative consistency at all levels. Ongoing analysis ensures program services meet the changing needs brought on by the phases of community reactions to the disaster and aspects of disaster recovery.

The ISP and RSP grant applications provide details on how the state, territory or tribe will provide training, manage and deploy resources, and ensure quality and accountability.

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## Main Components of a Program Management Plan

The components of the program management plan vary given the needs of the state, territory or tribe and the reach of the disaster. The interrelated components promote effective delivery of services, and evolve to meet new identified disaster needs.

Typical components of a program management plan include the following:

- Performing ongoing needs assessment
- Developing and effecting outreach strategies to identify and serve affected individuals, groups, and the community
- Ensuring supervision and quality assurance at the state, territory or tribe and sub-recipient levels
- Employing program media and marketing strategies
- Recruiting and hiring staff
- Providing training
- Providing staff stress management
- Ensuring effective fiscal management
- Accomplishing program evaluation

## Media and Marketing and the CCP

Establishing identity and public awareness are key components of program management. It is important for the program to select a name in order to develop a cohesive identity among the sub-recipients. All CCP staff need to share a group identity. This is achieved through training and through the use of media and marketing strategies that define program services and inform the community about the CCP.

Strategies to build a program identity and to market services include the following:

- **Developing a brand for the program:** This involves establishing a clearly recognizable program name and logo, or design elements to appear on all program materials. Staff members are provided with items, such as t-shirts, business cards, hats, or badges, with the specific program name and logo.
- **Using media outlets:** Television, print, radio, and the Internet can be used to increase awareness and accessibility of the CCP. Programs may develop public service announcements, interviews, articles, advertisements, letters to the editor, or educational materials.
- **Establishing toll-free numbers or hotlines:** A toll-free line may be established purely for informational purposes, or a hotline that provides counseling via phone may be incorporated into the program.

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- **Establishing program websites:** Program websites explain the CCP services and link to other disaster-related resources whenever possible.
  - **Developing and revising outreach and psycho-educational materials:** Materials are tailored to address the unique characteristics of a specific disaster or CCP.
  - **Engaging in community networking:** Staffing information booths and providing presentations at community events can be an effective way for the CCP to gain visibility. Staff also may attend meetings to discuss disaster survivors' needs and available resources.
  - **Promoting word-of-mouth promulgation:** Outreach workers may encourage people to spread the word about the CCP. This is sometimes the most effective method of program promulgation, and it is free!

### Effective Staffing of the CCP

CCP staff roles and the number of hires for each position to include in the staffing plan are informed by the needs assessment. The state, territory or tribe determines how staff members are deployed to meet the needs of disaster survivors and at-risk groups. For safety and efficacy, crisis counselors typically are deployed in teams. Team deployment is linked with the CCP outreach strategy in order to target services to those individuals and groups identified to be in the greatest need. In its essential staffing, the CCP should reflect the cultural demographics of the affected area and use professionals with prior training and experience in the mental health and substance use fields. For more detailed information regarding suggested position descriptions, refer to Appendix B: CCP Services, Positions, and Job Descriptions.

### Training

In order for ongoing programs to be successful, skilled staff need to be trained on expectations and limits of services, and on how to ensure appropriate adherence to the CCP model. The quality of service provision is key to program success, and comprehensive training is essential.

The CCP model includes standard trainings performed at key points throughout the ISP and RSP. Training materials and recommendations for qualified trainers are provided by SAMHSA and through SAMHSA DTAC. Often, personnel from other assistance and disaster relief agencies are invited to attend to gain understanding of program services and the CCP model. CCP management must be proactive in planning for training. This includes scheduling meeting space and identifying appropriate trainers, when possible.

The required standard CCP trainings are organized into modules that are provided to states, territories or tribes on CD by SAMHSA DTAC once a CCP is approved.

**Core Content Training:** This is the basic CCP skills-building training and includes administrative procedures and data collection information specific to the program. The course takes place in 2 days, during which time crisis counselors are provided with critical information and skills related to individual, group, and community outreach strategies. This training is conducted during the first few weeks of the

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ISP. However, ongoing training must be provided to ensure all new crisis counselors receive the Core Content Training prior to working independently within the program.

**Transition to RSP Training:** During this course, existing and newly hired CCP staff review key concepts related to crisis counseling skills, with an emphasis on longer-term service provision. This curriculum highlights how the needs of disaster survivors and communities evolve in the RSP and differ from those encountered in the immediate disaster response. If the state, territory or tribe applied for the RSP only, it should begin with the Core Content Training. This training usually takes place as soon as formal RSP grant funding is awarded.

**RSP Mid-program Training:** This training typically is held 3–6 months into the RSP. Issues of staff morale and stress management for sub-recipients are addressed. A focus is maintained on how crisis counselors will continue to provide services under difficult circumstances. This training includes problem-solving techniques for specific issues commonly encountered in the CCP such as emerging substance use or significant mental health needs. It also begins to address the subject of program phasedown.

**Disaster Anniversary Training:** This training is held several weeks before the first anniversary of the disaster event. Crisis counselors are taught expected anniversary reactions and intervention strategies. This training can be paired with the Mid-program Training or the Phasedown Training, depending on the anniversary date.

**RSP Phasedown Training:** Phasedown training should take place 6–8 weeks prior to the scheduled phasedown of the CCP. All CCP administrative and outreach staff attend. Topics in this training include staff stress management and future planning, assisting the program and its staff to document the event, planning to leave a legacy for the community, resource linkage and referrals, and continuity of service via community partnerships.

The CCP training plan is not limited to providing required trainings. The state, territory or tribe should identify and deliver additional trainings based on specific disaster and staff needs. Additional recommended training areas include more in-depth learning about specific crisis counseling interventions, as well as cultural competence, working with children, and mental health or substance use assessment and referral. To promote community partnerships, CCP leadership is encouraged to share training opportunities with other disaster and community providers.

In quarterly reports, programs should document training sessions held, describe the content of the sessions, and note the number of people who attended. As highlighted in the training section of this document, required training takes place throughout the program period and should be planned in a proactive manner. Optional training may take place, as deemed appropriate by the state, territory or tribe.

## **Staff Stress Management**

For services provided to be high in quality, the outreach staff providing them must be able to engage in self-care while they assist others. Many staff members of a CCP are also survivors of the disaster.

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Interacting with disaster survivors is extremely rewarding but also may produce strong levels of anxiety, frustration, anger, or depression in some workers. Sustained service provision can become debilitating when coupled with a staff member's personal experience of loss. It is, therefore, critical that ongoing staff stress management is integrated into the CCP at all levels of the program. All standard CCP trainings provided by SAMHSA include content on individual staff stress management. The program management plan developed by the state, territory or tribe must include provisions for organizational stress management. Elements of an organizational stress management plan are as follows:

- A clearly defined management and supervision structure
- Defined purpose and goals
- Functionally defined roles reinforced through effective supervision
- Sound clinical consultation, support, and supervision
- Supportive peer relationships
- Active stress management program
- Comprehensive training plan

### **Data Collection, Evaluation, and Reporting**

Consistent and timely data collection and evaluation are necessary to measure success of outreach efforts and the changing needs of disaster survivors. The state, territory or tribe program management plan should include mechanisms to collect, examine, and react to immediate and changing needs encountered by crisis counselors. Frequent analysis of both CCP data and feedback provided by staff allows the program to evolve to meet needs as they arise. The process improves the program's behavioral health disaster response, documents the program's accomplishments, and provides accountability information to stakeholders (e.g., Congress, Government Accountability Office, federal agencies). SAMHSA and FEMA also use data to justify program efforts, as well as to make modifications to the CCP model and program service delivery. The state, territory or tribe is required to submit a summary of up-to-date program data with their programmatic quarterly and final reports.

#### **Procedures for data collection and evaluation include the following:**

- Establishment of quality control and assurance processes is necessary for data collection and analysis. Typical quality control procedures include management's checking forms for completeness prior to approval; staff's (those responsible for evaluation at the central level) checking for consistency and accuracy, and giving feedback to the sub-recipient-level supervisors; and staff developing ways to resolve errors in collected data forms.
- All CCP administrators and managers should carefully review evaluation and reporting requirements.
- CCP award conditions require collecting information on specific forms in specific formats. This should not limit the state, territory or tribe and sub-recipients in collecting additional

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information that will assist in both program improvement and process. The specific required forms are detailed in the NOA.

- CCP award conditions require database development and data delivery to SAMHSA upon submission of each quarterly report and with the final report.
- Data on service delivery must be collected using the Individual/Family Crisis Counseling Services Encounter Log, Group Encounter Log, Weekly Tally Sheet, and the Child/Youth and Adult Assessment and Referral Tools—each a part of the standard FEMA CCP data toolkit as approved by the OMB (OMB No. 0930–0270). The Participant Feedback Survey and Service Provider Feedback Survey are also included in the data toolkit.

### Quality Assurance

The CCP is a time-limited program that must identify and address emergent issues related to both disaster survivor needs and operational realities, while developing and implementing solutions to improve program services. Quality assurance and quality improvement activities are developed even before the program begins and assist the state, territory or tribe in reporting program highlights and issues to SAMHSA and FEMA through regular program monitoring and reporting. Activities related to quality assurance include the following:

- Regular onsite supervision, training, and consistent communication between CCP management and workers providing services
- Weekly meetings and regular submission of data collection forms
- Phone and email communication whenever workers have questions or concerns
- Collecting and organizing programmatic materials and data to continue to improve service provision and educational materials
- Identifying problems or gaps in service through data and informant feedback
- Redirecting resources and modifying the service plan
- Conducting ongoing needs assessment
- Providing information to workers to improve services

## Section IV: Pre-Award Requirements

A completed and signed application and federal forms are required to apply for the ISP or RSP. To apply call SAMHSA DTAC at 1-800-308-3515.

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## Applying for the ISP Grant

After a Presidential disaster declaration that includes Individual Assistance, states, U.S. territories, and federally recognized tribes may apply for the ISP. An ISP application package must be submitted within 14 days of the declaration date and include the following documentation which can be found on the CCP Online Toolkit (<http://www.samhsa.gov/dtac/ccp-toolkit/apply-funding/immediate-services-program-isp>):

- **ISP application**
- **Request for Federal Assistance (SF-424):** A federal form OMB requires for grant applications. All entities that apply for CCP funds must submit a completed SF-424 signed by the Governor or Governor's Authorized Representative, or equivalent authorized representative for the tribe.
- **Budget Information for Non-Construction Programs (SF-424A):** A federal form OMB requires for grant applications. Complete "Section B—Budget Categories," Column (1) only, for the total CCP budget.
- **Assurances for Non-Construction Programs (SF-424B):** A signature is required.
- **Budget Narrative:** The budget narrative should include a detailed justification for all cost categories requested in the SF-424A. Refer to the Appendix Section for additional instructions on completing the Budget Narrative.
- **Assurances—Lobbying, Drug-free Workplace, and Disbarment and Suspension and Other Responsibility Matters** must be on file with FEMA. The state, territory or tribe must acknowledge that the forms are in compliance with the state and/or tribal/FEMA agreement and the DHS Standard Terms and Conditions.

## Instruction for Submission of the ISP Application Packet

Prior to the 14-day deadline, the state, territory or tribe state, territory or tribe must mail an original hard copy of the completed ISP application packet to the FEMA Human Services IA Specialist at the Joint Field Office (JFO). In order to expedite the review process, it is helpful if the state, territory or tribe submits an electronic copy of the application to the FEMA JFO/Region, FEMA Headquarters (HQ), and SAMHSA federal staff. Once received, the FEMA Human Services IA Specialist and the SAMHSA Project Officer will review the application to ensure all required documentation meet the minimum eligibility requirements per 44 CFR §206.171 and the General Terms and Conditions outlined in 2 C.F.R § 200.210.

## Extension of the ISP Performance Period

Immediate services program funding shall not exceed 60 days following the disaster declaration, unless a RSP grant application is submitted for consideration of additional federal funding. ISP funding may continue up to 30 additional days to allow time for FEMA HQ, SAMHSA, and the Human Services IA Specialist to review the application. Furthermore, if extenuating circumstances exist, the FEMA Regional Administrator may authorize an additional extension of up to 30 days in accordance with 44 CFR §206.171 (i), (ii), and (iii).

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## Applying for the RSP Grant

The RSP application packet is due 60 days after the date of declaration and the period of performance can last up to 9 months. States, U.S. territories, and tribes are eligible to apply for the RSP. The RSP application packet must include the following required documentation which can be found on the CCP Online Toolkit (<http://www.samhsa.gov/dtac/ccp-toolkit/apply-funding/regular-services-program-rsp>):

- **RSP Application**
- **Request for Federal Assistance—SF-424**

A federal form OMB requires for grant applications. All states, territories or tribes that apply for CCP funds must submit a completed SF-424 signed by the authorized representative of or head of the state mental health authority (SMHA) or tribal chief executive.
- **Budget Information: Non-Construction Programs—SF-424A**

A federal form OMB requires for grant applications. Complete "Section B—Budget Categories," Column (1) only for the total CCP budget.
- **Budget Narrative**

The budget narrative should include a detailed justification for all cost categories requested in the SF-424A. Refer to the Appendix Section for additional instructions on completing the budget narrative.
- **Health and Human Services (HHS) Checklist**

A required form for the CCP RSP that includes the name and contact information for the Business Official and Program Director.
- **Disclosure of Lobbying Activities—SF-LLL**

A required form for the CCP RSP. The state, territory or tribe may indicate "N/A" on the form if it is not applicable.
- **Project/Performance Site Locations**

A federal form required for the CCP RSP. The state, territory or tribe should complete a form for each site where providers will perform project work.

## Instructions for Submission of the RSP Application Packet

The state, territory or tribe must submit the RSP application packet to the FEMA HQ Program Specialist; the Human Services Individual Assistance (IA) Specialist, at the Joint Field Office (JFO); and the SAMHSA Project Officer **no later than 60 days from the declaration date**. If the JFO has demobilized, the state, territory or tribe should email the application to the assigned FEMA Regional Office Program Specialist and mail the original copy of the application to the FEMA HQ Program Specialist. In order to expedite the review process, it is helpful if the state, territory or tribe submits an electronic copy of the application to the JFO/Region and SAMHSA federal staff. The federal staff will review the application to ensure all the required documentation meets minimum eligibility requirements per 44 CFR §206.171 and the General Terms and Conditions outlined in 2 C.F.R § 200.210.

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The FEMA program specialists and/or the SAMHSA Project Officer are available to answer any questions pertaining to the RSP application requirements.

## **General Provisions**

### **Conflict of Interest**

To eliminate and reduce the impact of conflicts of interest in the sub-award process, recipients and pass-through entities must follow their own policies and procedures regarding the elimination or reduction of conflicts of interest when making sub-awards. Recipients and pass-through entities are also required to follow any applicable state, local, or tribal statutes or regulations governing conflicts of interest in the making of sub-awards.

The recipient or pass-through entity must disclose to FEMA in writing any real or potential conflict of interest, as defined by the federal, state, local, or tribal statutes or regulations or their own existing policies that may arise during the administration of the federal award.

For the ISP, recipients and pass-through entities must disclose any real or potential conflicts to the assigned FEMA JFO or FEMA Regional Program Specialist (in the event the JFO is demobilized) within 15 days of learning of the conflict of interest.

For the RSP, recipients and pass-through entities must disclose any real or potential conflicts to the assigned FEMA Program Specialist at FEMA HQ and the SAMHSA Project Officer within 15 days of learning of the conflict of interest.

Similarly, sub-recipients in both ISP and RSP must disclose any real or potential conflict of interest to the pass-through entity as required by the recipient's conflict of interest policies, or any applicable state, territory, or tribal statutes or regulations.

Conflicts of interest may arise during the process of FEMA's making a federal award in situations where an employee, officer, or agent, any members of his or her immediate family, or his or her partner has a close personal relationship, a business relationship, or a professional relationship with a state, territory or tribe, provider entity, recipient, sub-recipient, or FEMA employee.

### **Mandatory Disclosures**

A recipient for a federal award must disclose all violations of federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the federal award. Such disclosure shall be submitted in writing at the time of the application, or if the violation occurs after the time of application, no later than 15 days after confirmation that such a violation occurred.

Submit the disclosures (for the ISP) to the assigned FEMA JFO or FEMA Regional Office Program Specialist (in the event the JFO is demobilized).

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Submit the disclosures (for the RSP) to the assigned FEMA HQ Program Specialist and the SAMHSA Project Officer.

### **Performance Goal**

For all CCP awards, by the midpoint of the performance period, the state, territory or tribe will have provided CCP services to at least 40 percent of the population identified in the approved application. FEMA staff and the SAMHSA Project Officer will discuss progress toward performance goals with the state, territory or tribe during monthly monitoring calls.

## **Section V: Post-Award Requirements**

The state, territory or tribe is expected to comply with all conditions of award as detailed in the NOA letter. Conditions will include but are not limited to programmatic and fiscal reporting requirements and participation in ongoing federal monitoring activities, such as regular phone calls and site visits. The state, territory or tribe is required to utilize the data collection toolkit approved by the OMB (OMB No. 0930–0270). Additional requirements also may be included in the grant award letter.

### **Revision of Budget and Program Plans**

The state, territory or tribe is required to report deviations from the approved budget or project scope and request prior approval from FEMA and SAMHSA for budget and program plan revisions, in accordance with 2 CFR §200.308. States, territories or tribes must request prior approval for the following:

- Change in scope or the objective of the project or program.
- Change in key personnel specified in the application or federal award.
- The disengagement from the project for more than 3 months, or 25 percent reduction in time devoted to the project, by the approved project director or principal investigator.
- Unless described in the application and funded in the approved federal award, the sub-awarding, transferring, or contracting out of any work under a federal award. This provision does not apply to the acquisition of supplies, material, equipment, or general support services.
- Incurrence of project costs 90 calendar days before the federal awarding agency makes the federal award. The federal awarding agency is under no obligation to reimburse such costs if for any reason the state, territory or tribe does not receive a federal award or if the federal award is less than anticipated and inadequate to cover such costs. (See also section on pre-award costs.)

For one-time extensions, the state, territory or tribe, must notify the federal awarding agency in writing with the supporting reasons and revised period of performance at least 10 calendar days before the end of the period of performance specified in the federal award. This one-time extension may not be exercised merely for using unobligated balances. (Refer to the terms and conditions of the NOA regarding extensions.)

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Extensions require prior federal awarding agency approval when any of the following is true:

- The terms and conditions of the federal award prohibit the extension.
- The extension requires additional federal funds.
- The extension involves any change in the approved scope of the project.

The federal awarding agency may, at its option, restrict the transfer of funds among direct cost categories or programs, functions, and activities for federal awards in which the federal share of the project exceeds the Simplified Acquisition Threshold and the cumulative amount of such transfers exceeds or is expected to exceed 10 percent of the total budget as last approved by the federal awarding agency. (Refer to Requests for Budget Adjustments for additional information.)

FEMA will only grant an extension of the period of performance if the state, territory or tribe meets the requirements according to 44 CFR §206.171 (i), (ii), and (iii), which state that ISP funding may continue for up to an additional 30 days after the period of performance, when an RSP grant application has been submitted; and/or the Regional Administrator may grant an extension for the RSP only under extenuating circumstances for up to 30 days from the end of the period of performance.

## **Period of Performance**

### **ISP Period of Performance**

The period of performance for the ISP can last up to 60 days from the date of declaration as described in the federal award letter. A state, territory or tribe may only be reimbursed for allowable costs incurred during the period of performance and any approved pre-award costs incurred before FEMA or the pass-through entity made the CCP award. However, the ISP can be extended an additional 30 days if the state, territory or tribe is submitting an RSP application by day 60 from the date of declaration.

### **ISP Grant No-Cost Administrative Extension (for up to 60 days)**

All costs associated with finalizing the program and financial reports are allowable costs, as long as those costs are included in the approved ISP budget. In order for these costs to be covered, the state, territory or tribe must ask for a no-cost administrative extension to the ISP grant period of performance. The state, territory or tribe must submit the written extension request to their FEMA Region office prior to the end of the period of performance. The no-cost administrative extension can be granted for up to 60 days in 30-day increments with FEMA approval.

Any programmatic or service activities (not related to the ISP final report) conducted after the period of performance will not be funded under the CCP grant. Any extension granted for the ISP once the RSP is awarded is only for work associated with finalizing the program and financial reports of providers to the grantees.

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## RSP Period of Performance

The period of performance for the RSP can last up to 9 months from the Notice of Grant Award (NOA). A state, territory or tribe may only be reimbursed for allowable costs incurred during the period of performance.

## RSP Grant 90-Day No-Cost Administrative Extension

All costs associated with finalizing the program and financial reports are allowable costs, as long as those costs are included in the approved RSP budget. In order for these costs to be covered, the state, territory or tribe must ask for a 90-day no-cost administrative extension to the RSP grant period of performance. The state, territory or tribe must submit the written extension request to the SAMHSA Grants Management Office no later than one month prior to the end of the period of performance.

Any programmatic or service activities (not related to the RSP closeout) conducted after the period of performance will not be funded under the CCP grant.

When a state, territory or tribe provides a sub-award to a sub-recipient, the state, territory or tribe must include the start and end dates of the period of performance in the sub-award document. See 2 CFR §200.77.

An extension of the period of performance (for the ISP and RSP) will be considered in accordance with 44 CFR § 206.171 (f)(4) and 44 CFR § 206.171 (g)(4), respectively.

## Procurement Requirements under a Federal Award

The state, territory or tribe shall ensure that the process of soliciting CCP services is fair and transparent. States must follow the same policies and procedures when procuring property and services under a federal award that they follow for procurement from nonfederal funds. The state must ensure that any contract provisions as required by 2 CFR §200.326 *Contract provisions* are included on all purchase orders or contracts that draw from federal funds. All other states, territories or tribes, including sub-recipients of a state, will follow the *General procurement standards* as required by 2 CFR §200.318 through §200.326.

## Reporting (Programmatic and Fiscal Requirements)

During the ISP period of performance, the state, territory or tribe must notify the Human Services IA Specialist and the SAMHSA Project Officer, no later than 45 days from the date of declaration, if they are planning to submit an application for the RSP grant. Part II of the RSP application titled “Response Activities from Date of Incident” should include a brief description of crisis counseling activities from the date of the disaster incident. The RSP application is due 60 days from the date of declaration. If the state, territory or tribe is not planning to submit an RSP application, the final ISP programmatic and fiscal reports are due 90 days from the end of the ISP period of performance end date. ***(Refer to Closeout and Retention Requirements for Records section for further details on closeout requirements for the ISP.)***

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For the RSP, two quarterly reports, including documentation on financial expenditures, must be submitted to the FEMA HQ Program Specialist, the JFO Specialist (or Regional Specialist if the JFO is demobilized), and the SAMHSA Project Officer. Quarterly reports are due 30 calendar days after the end of each 3-month reporting period (refer to the NOA for specific due dates). The quarterly report must include a budget expenditure report for the state, territory or tribe and any sub-recipients, showing (1) the approved budget, (2) costs incurred and obligated expenditures, (3) approved budget modifications, and (4) remaining balance of unspent funds.

The report should be consistent with the cost categories and budget line items listed in the approved budget. If only a portion of award funding is disbursed at the start of the RSP, the state, territory or tribe must submit a letter of request for the second allotment of funds with the first quarterly RSP report.

## **Sub-recipient Monitoring and Management**

### **Determining Sub-recipient or Contractor Classification**

The state, territory or tribe may concurrently receive federal awards as a recipient, a sub-recipient, and a contractor, depending on the substance of its agreements with federal awarding agencies and pass-through entities. Therefore, a pass-through entity must make case-by-case determinations about whether each agreement it makes for the disbursement of federal program funds casts the party receiving the funds in the role of a sub-recipient or a contractor.

A sub-award has the purpose of carrying out a portion of a federal award and creates a federal assistance relationship. When the state, territory or tribe does the following, it may be receiving a federal award as a sub-recipient:

- Determines who is eligible to receive what federal assistance.
- Has its performance measured in relation to whether objectives of a federal program were met.
- Has responsibility for programmatic decision-making.
- Is responsible for adherence to applicable federal program requirements specified in the federal award.
- In accordance with its agreement, uses the federal funds to carry out a program for a public purpose specified in authorizing statute, as opposed to providing goods or services for the benefit of the pass-through entity.

### **Monitoring and Management**

Pass-through entities or states, territories or tribes have responsibility to manage and monitor any sub-awards that are made under a federal award. Pass-through entities must identify to the sub-recipient that the state, territory or tribe is receiving a sub-award from a federal award. The following information must be provided to the sub-recipient at the time the sub-award is given, and any modifications to the sub-grant must also be provided if any of the data change:

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- i. Federal Award Identification.
  - ii. The sub-recipient name.
  - iii. Sub-recipient unique entity identifier.
  - iv. Federal Award Identification Number (FAIN). For the CCP this will be the Presidential disaster declaration number.
  - v. Federal award date. The disaster declaration date is the federal award date for a CCP.
  - vi. Sub-award period of performance.
  - vii. Amount of federal funds that are obligated by this action (award or modification).
  - viii. Total federal funds obligated under the federal award to the sub-recipient.
  - ix. Total amount of the federal award that the pass-through entity received.
  - x. Federal award project description.
  - xi. Name of the awarding federal agency, pass-through entity, and contact information for the pass-through agency's awarding official.
  - xii. The Catalog of Federal Domestic Assistance (CFDA) number and name. The pass-through entity must identify the dollar amount made available under each federal award and the CFDA number at the time of disbursement.
  - xiii. Identification of whether the award is research & development (R&D). The CCP is not an R&D program.
  - xiv. Indirect cost rate for the federal award. The CCP does not permit the charging of indirect costs to the grant award. Please see Indirect Costs for additional information.

In addition to the information listed above that is required to be included in any sub-grants awarded using federal funds, the pass-through entity must ensure that requirements imposed on the sub-recipient are used in accordance with federal statutes, regulations, and the terms and conditions of the federal award. The pass-through entity, in its effort to meet its responsibilities to the federal awarding agency, may incorporate additional requirements including identification of any required financial and performance reports. The requirement that the pass-through entity and auditors have access to a sub-recipient's records and financial statements necessary for the pass-through entity to meet the requirements of the federal award must be included in any sub-grants made using federal funds. Appropriate terms and conditions concerning the closeout of the sub-award must be included in the requirements of the sub-grant.

Pass-through entities must monitor the activities of the sub-recipient through the life of the federal grant to ensure that the sub-award is used for authorized purposes, in compliance with federal statutes, regulations, and the terms and conditions of the sub-award. Sub-grant monitoring allows from the review of performance to help ensure performance goals are achieved. The pass-through entity should evaluate each sub-recipient's risk of noncompliance with federal statutes, regulations, and the terms

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and conditions of the sub-award for determining the appropriate sub-recipient monitoring activities. Sub-recipient monitoring must include the following:

- Reviewing financial and performance reports required by the pass-through
- Following up on deficiencies identified pertaining to the federal, and timely and appropriate, actions by the sub-recipient
- If required, making issue management decisions for audit findings pertaining to the federal award provided to the sub-recipient from the pass-through entity

### **Remedies for Noncompliance and Specific Conditions**

FEMA or SAMHSA may apply specific award conditions, as outlined in 2 CFR § 200.207, if it is necessary to address a risk posed by a state, territory or tribe or recipient, including, but not limited to, a state, territory or tribe's history of failing to comply with the terms of a federal award or failure to meet expected performance goals. These specific conditions may include, but are not limited to, requiring technical or management assistance, additional financial or programmatic reports and project monitoring, and payments as reimbursements rather than advance payments.

If those additional conditions do not remedy a recipient's non-compliance, additional remedies are available, including these:

- Temporarily withholding cash payments
- Disallowing costs
- Wholly or partially suspending or terminating the award
- Suspension or debarment proceedings
- Withholding further federal awards for the project or program
- Any other remedies legally available

### **Termination**

The federal award may be terminated in whole or part by these agencies and entities, under the following conditions:

- By FEMA or the pass-through entity, if a state, territory or tribe fails to comply with the terms and conditions of a federal award.
- By FEMA or the pass-through entity for cause.
- By FEMA or the pass-through entity with the consent of the state, territory or tribe, in which case the two parties must agree upon the termination conditions, including the effective date and, in the case of partial termination, the portion to be terminated.

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- By the state, territory or tribe upon sending written notification to the federal awarding agency or pass-through entity written notification setting forth the reasons for such termination, the effective date, and, in the case of partial termination, the portion to be terminated. However, if the FEMA or pass-through entity determines in the case of partial termination that the reduced or modified portion of the federal award or sub-award will not accomplish the purposes for which the federal award was made, FEMA or pass-through entity may terminate the federal award in its entirety.

For the ISP, the FEMA JFO or FEMA Regional Office (in the event that the JFO is demobilized) will provide written notice of termination.

For the RSP, FEMA HQ will make termination decisions in coordination with SAMHSA. FEMA HQ and SAMHSA will provide written notice of termination.

The pass-through entity must provide to the sub-recipient a notice of termination.

### **Opportunities to Object and Appeals of Application Decisions**

The state, U.S. territory, or Indian tribal government may appeal the decision in accordance with 44 CFR §206.171(f)(5) and 44 CFR §206.171 (g)(5), respectively. Appeal letters must be signed by the Governor's or Tribal Chief Executive's Authorized Representative.

### **Appeals of Remedies for Noncompliance**

For the ISP, the state, U.S. territory, or Indian tribal government may submit a written appeal letter (including supporting documentation), signed by the Governor's or Tribal Chief Executive's Authorized Representative, to the Federal Coordinating Officer (FCO) or appropriate FEMA Regional Administrator (if the JFO has been demobilized) within 15 days of the date of notification of the remedial action.

For the RSP, the state, U.S. territory, or Indian tribal government may submit a written appeal letter (including supporting documentation), signed by the Governor's or Tribal Chief Executive's Authorized Representative, to FEMA's Assistance Administrator, Recovery, through FEMA HQ and SAMHSA program staff, within 15 days of the date of notification of the remedial action.

### **Objections/Appeals of Decisions Regarding Allowable Costs**

For the ISP, the state, U.S. territory, or Indian tribal government may submit a written appeal letter (including supporting documentation), signed by the Governor's or Tribal Chief Executive's Authorized Representative, to the FCO or appropriate FEMA Regional Administrator (if the JFO has been demobilized) within 15 days of the date of notification of the disallowed cost.

For the RSP, the state, U.S. territory, or Indian tribal government may submit a written appeal letter (including supporting documentation), signed by the Governor's or Tribal Chief Executive's Authorized Representative, to FEMA's Assistant Administrator, Recovery, through FEMA HQ and SAMHSA program staff, within 15 days of the date of notification of the disallowed cost.

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## **Objections/Appeals of Termination or Suspension**

For the ISP, the state, U.S. territory, or Indian tribal government may submit a written appeal letter (including supporting documentation), signed by the Governor's or Tribal Chief Executive's Authorized Representative, to the FCO or appropriate FEMA Regional Administrator (if the JFO has been demobilized) within 15 days of the date of notification of the suspension or termination action.

For the RSP, the state, U.S. territory, or Indian tribal government may submit a written appeal letter (including supporting documentation), signed by the Governor's or Tribal Chief Executive's Authorized Representative, to FEMA's Assistant Administrator, Recovery, through FEMA HQ and SAMHSA program staff, within 15 days of the date of notification of the suspension or termination action.

## **Closeout and Retention Requirements for Records**

FEMA will close out the federal award when FEMA and SAMHSA determine that all applicable administrative actions and all required work of the federal award are completed by the state, territory or tribe. The recipient, or pass-through entity if there is a sub-award, must submit all closeout reports for the CCP no later than 90 days after the end of the CCP's period of performance, pursuant to the following:

### **ISP**

The final ISP program narrative and fiscal report (Federal Financial Report SF-425) is due to the Regional Administrator via the Human Services IA Specialist at the JFO, no later than 90 calendar days after the last day of ISP funding. The state, territory or tribe must liquidate all obligated balances, and show the exact balance of funds and total expenditures, which must be consistent with the line-item report. The final SF-425 must show the total federal award amount, total federal expenditures, and the unobligated balance. The reported total federal expenditures reflected on the SF-425 report must be consistent with the line-item expenditures reflected in the program report.

If the JFO is demobilized at the time the reports are due, submit them to the assigned FEMA Regional Office Program Specialist. The Human Services IA Specialist at the JFO can answer any questions regarding the requirements for the final program narrative and fiscal ISP reports.

### **RSP**

The RSP final program report should include a final expenditure report showing expenditures of funds by category and budget line for each sub-recipient listed in the approved budget. This report is due to FEMA HQ and the SAMHSA Division of Grants Management 90 calendar days after the end of the period of performance.

The final *Federal Financial Report (FFR)* SF-425 form for the RSP (OMB form number 0348-0061) is due to FEMA HQ and the SAMHSA Division of Grants Management 90 calendar days after the end of the period of performance. The final SF-425 must show the total federal award amount, total federal expenditures, and the unobligated balance. The reported total federal expenditures reflected on the SF-425 report must be consistent with the line-item expenditures reflected in the program report.

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The state, territory or tribe and sub-recipients must retain all financial records, supporting documents, statistical records, and all other state, territory or tribal records pertinent to the CCP award for a period of 3 years from the date of submission of the final expenditure report.

When the state, territory or tribe is notified in writing by FEMA or SAMHSA, the cognizant agency for audit, oversight agency for audit, cognizant agency for indirect costs, or pass-through entity to extend the retention period, the entity must keep records as indicated in the notification, which may be longer than 3 years. Records for real property and equipment acquired with federal funds must be retained for 3 years after disposition.

FEMA, SAMHSA, and the pass-through entity retain the right to disallow costs and recover funds based on a later audit or other review after closeout.

All states, territories or tribes are required to comply with the Cost Principles and Audit Requirements as outlined in 2 CFR Part 200.

## Section VI: Budget and Fiscal Management

### The Influence of the CCP Model (Fundable Costs)

The key concepts of the CCP model are important for effective fiscal management. These concepts define what is fundable and determine the state, territory or tribe's fiscal approach. (For more information on the CCP model, see Section II of this document.)

The CCP's strengths-based, practical approach to behavioral health determines which services are fundable. As a disaster relief program that provides outreach services to a large number of survivors in a limited period of time, the CCP has a very specific list of fundable expenses, which include the following:

**Salaries and Wages:** Salary compensation must be reasonable in amount and in alignment with local prevailing rates for the position funded.

**Fringe Benefits:** Fringe benefits may be charged directly to the grant. Claimed costs must be reasonable and conform to established policies for the state, territory or tribe. Use of a pre-established provisional rate requires allocation to total salary costs. Rates must be adjusted to actuals at the year-end and rates and should be reviewed at least once annually.

**Consultant Costs:** Consultant costs must be supported by a consulting agreement that documents the service to be performed, cost, and applicable time periods. Documentation to support need, reasonable rates, adherence to the FEMA training policy, and consultant expertise must be maintained, together with evidence of work product.

**Equipment:** The state, territory or tribe obtains title to equipment acquired under the CCP award and is subject to the conditions outlined in 2 CFR § 200.313, including these requirements:

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- To use the equipment for the authorized purposes of the project until funding for the project ceases, or until the property is no longer needed for the purposes of the project
  - To not encumber the property without approval of FEMA
  - To use and dispose of the property in accordance with 2 CFR § 200.313.

Equipment acquired with a CCP award must be used in a manner consistent with the purposes of the CCP award and to benefit the beneficiaries of the CCP project.

**Supplies:** FEMA retains an interest in any unused supplies exceeding \$ 5,000 in total aggregate value upon termination or completion of the CCP if they are not needed for any other federal award. The state, territory or tribe must compensate FEMA for its share of the supplies in compliance with 2 CFR § 200.313 and 200.314.

As long as FEMA retains an interest in supplies, the state, territory or tribe must not use the supplies to provide services to other organizations for a fee that is less than private companies charge for equivalent services.

**Travel:** Travel must be preapproved and supported by travel expense reports detailing employee name, the reason for the trip, and itemized expenses claimed. Claimed costs should be charged according to a detailed travel policy that requires prior approval, complies with OMB cost principles, and provides expenditure limitations. Major items of expense (e.g., airfare, lodging) must be supported by receipts.

**Other:** The budget may identify costs that are unique to the disaster and area impacted but do not fall into one of the prescribed cost categories listed above. Costs must be supported by adequate documentation (invoices, receipts, etc.). *Consult with the FEMA Specialist or SAMHSA Officer to determine which costs are allowable under this cost category.*

**Contractual Costs:** A state, territory or tribe that is a state agency will follow its established policies and procedures used for procurements from nonfederal funds when procuring property and services under a federal award. All other states, territories or tribes will follow the requirements in 2 CFR §200.318, General procurement standards, through §200.326, Contract provisions. All states, territories or tribes should review the procurement standards outlined in 2 CFR §200.317 through §200.326.

(Please refer to the Appendix Section for a list of Non-fundable Expenses).

## The Budget Narrative

Each ISP and RSP budget narrative must justify the proposed budgets for the state, territory or tribe and sub-recipients and each individual service provider budget. The narrative must provide a brief justification of the costs and an itemization for each line of the budgets. Instructions for developing the budget narrative are provided in the Appendix Section of this document.

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## Requests for Budget Adjustments

The state, territory or tribe is expected to incorporate mechanisms for an ongoing needs assessment into the CCP and work with FEMA and the SAMHSA Project Officer to adjust program planning and implementation accordingly. Changes to the program plan based on the needs assessment may require that funding be moved from one line item to another. Changes to the program plan may require that funding be moved from one line item to another or from one provider to another. The state, territory or tribe has the authority to move funds, up to a cumulative 10 percent of the total budget, from one line item to another without requesting approval.

Any budget adjustments that move a cumulative 11–24 percent of funds must be approved by the FEMA or the SAMHSA Project Officer. Any budget adjustments that exceed a cumulative 25 percent of the total budget must be approved by FEMA or the SAMHSA Grants Management Officer.

Budget adjustments or modifications should be discussed with FEMA/SAMHSA prior to submitting a request for additional funds. Use a Request for Budget Adjustment letter template available online at <http://www.samhsa.gov/dtac/ccp-toolkit/ccp-reporting>.

**ISP (Budget Adjustment):** The JFO Specialist and the chain of command at the JFO (or FEMA Region if the JFO has demobilized) are responsible for approving any budget adjustments. The SAMHSA Project Officer will provide technical assistance regarding the steps and any required documentation to request a budget adjustment.

**RSP (Budget Adjustment):** The FEMA HQ Specialist, in coordination with the SAMHSA Project Officer, is responsible for providing technical support to the state, territory or tribe regarding budget adjustments and approving any formal requests up to the 25 percent threshold. The SAMHSA Grants Management Officer is responsible for approving any requests that exceed a cumulative 25 percent of the total budget.

## Pre-award Costs (ISP Phase)

Pre-award costs are those incurred prior to the effective date of the federal award directly pursuant to the negotiation and in anticipation of the federal award where such costs are necessary for efficient and timely performance of the scope of work. Such costs are allowable only to the extent that they would have been allowable if incurred after the date of the federal award and **only with written approval of FEMA. Please coordinate with the JFO/Regional Specialist and FEMA HQ to determine if the pre-award costs are allowable and in alignment with 2 CFR § 200.458 and 2 CFR §200.209, and what documentation is required prior to incurring pre-award costs.**

The state, territory or tribe may seek reimbursement for pre-award costs associated with crisis counseling services provided from the date of the disaster incident to the ISP application due date. The state, territory or tribe must document the crisis counseling services provided and justify the costs.

**Documentation should include the following:**

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- Types of crisis counseling services provided
  - Location of service provision
  - Types of staff who provided the services
  - Hourly rates of staff who provided the services
  - Number of hours that staff worked
  - Types and number of disaster survivors who received services

The state, territory or tribe may seek reimbursement only for crisis counseling services and not for any other type of behavioral health response. Crisis counseling services are typically provided during the immediate disaster response phase to survivors and their families, first responders, and other individuals directly affected by the disaster. Typical locations of service provision in the immediate disaster response include shelters, family assistance centers, homes, or other community settings. Services often are provided by behavioral health agency staff, local behavioral health service provider staff, or members of disaster behavioral health response groups. Reimbursement for staff costs is allowable if it can be clearly demonstrated that the normal duties of the staff (if employed by the state, territory or tribe during the disaster) were back-filled during the disaster response.

### **Indirect Costs**

Indirect costs are those costs incurred for a common joint purpose that benefit more than one cost objective. These cannot be easily assignable to the cost objectives of the federal award that are benefitted from those activities. Indirect costs often include general administration, human resources, accounting, information technology, and security costs.

As a supplemental program, the CCP does not fund indirect costs. All costs chargeable to the federal award must identified specifically with a particular cost objective such as activities of the federal award and be easily assigned to those activities.

For more information on indirect costs, see 2 CFR Part 200, available online at [http://www.ecfr.gov/cgi-bin/text-idx?SID=4e2d7a6f69367c9f223278c0f634a0e2&node=se2.1.200\\_156&rgn=div8](http://www.ecfr.gov/cgi-bin/text-idx?SID=4e2d7a6f69367c9f223278c0f634a0e2&node=se2.1.200_156&rgn=div8).

### **Cost Sharing, In-kind Resources, or Matching**

The CCP does not require cost sharing or matching as a requirement of the federal award. Any third party in-kind contributions must meet these criteria:

- They must be verifiable from the recipient's records.
- The contributions must not be included for any other federal award.
- They must be reasonable and necessary for the federal award.
- They must be allowable under 2 CFR Subpart E: Cost Principles.

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- They must not be paid by the federal government under another federal award except where federal statute permits.
  - They must be included in the current approved budget.

Regulations mandate that the state, territory or tribe identify sources of in-kind contributions, as appropriate. Some examples of typical in-kind resources include personnel; office and meeting space, utilities, and equipment such as computers, printers, and mobile phones; advertising; and public service announcements. Community or other groups, such as voluntary organizations active in disaster or local faith-based organizations, may contribute in-kind resources as well. Examples of items donated by these groups include meals, refreshments for program-related meetings or support groups, toys, meeting space, and recreational items, and cash donations by the private sector.

### Transfer of Funds

The funding processes for the ISP and the RSP are separate and distinct. FEMA and SAMHSA strongly advise the state, territory or tribe to prepare for the transfer of funds by contacting the FEMA Human Services IA Specialist or SAMHSA Project Officer. Refer below for an explanation of each step involved in the transfer of funds for the ISP and RSP:

#### ISP

1. ISP funds are awarded by a grant from the Federal Coordinating Officer to the state, territory or tribe. (If the JFO is demobilized, the funds are awarded by the Regional Administrator.)
2. Prior to disbursement of funds by FEMA, the state, territory or tribe, and the state emergency management agency and/or the tribal agency designated to serve as the fiscal agent must work together to prepare the transfer of funds between their agencies.
3. The state, territory or tribe is advised to consult with their fiscal staff and the contractor and/or sub-recipient's fiscal staff, if applicable, to ensure a mechanism is in place to draw down and distribute funds at the local level.
4. FEMA advances all or part of the approved ISP funds to the state emergency management agency or tribal designated fiscal agent. FEMA can obligate the funds within 48 hours pending the approval of the application. FEMA utilizes **Smartlink** to disburse the funds.
5. The state mental health authority or tribal designated fiscal agent transfers the funds to the contractor and/or sub-recipient through customary processes.

#### RSP

1. FEMA HQ transfers the RSP grant funds to SAMHSA.
2. SAMHSA awards the grant funds to the state, territory or tribe, usually the state mental health authority or the tribal designated fiscal agent. The RSP grant must adhere to HHS Public Health Service grant regulations; 44 CFR §206.171; and Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards from OMB:

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Subparts A–F Appendix III (Supercircular) (2 CFR Chapter I and Chapter II, Part 200, Subparts A–D).

3. The state, territory or tribe is eligible to withdraw funds from the **Payment Management System** upon receipt of a Notice of Grant Award (NOGA), issued by the SAMHSA Division of Grants Management.
4. CCP funding can be awarded in full or in allotments. The SAMHSA Project Officer will work with the state, territory or tribe to determine the best option based on risk assessment factors.

## Appendix Section

### Appendix A. Definitions

**Contract:** A legal instrument by which a state, territory or tribe purchases property or services needed to carry out the project or program under a federal award. The term as used in this part does not include a legal instrument, even if the state, territory or tribe considers it a contract, when the substance of the transaction meets the definition of a federal award or sub-award.

**Federal award:** The federal financial assistance that a state, territory or tribe receives directly from a federal awarding agency or indirectly from a pass-through entity.

**Federal awarding agency:** The federal agency that provides a federal award directly to a state, territory or tribe.

**Nonfederal entity:** A state, local government, Indian tribe, institution of higher education (IHE), or nonprofit organization that carries out a federal award as a nonfederal entity or sub-recipient.

**Pass-through entity:** A state, territory or tribe that provides a sub-award to a sub-recipient to carry out part of a federal program.

**Performance goal:** A target level of performance expressed as a tangible, measurable objective, against which actual achievement can be compared, including a goal expressed as a quantitative standard, value, or rate. In some instances (e.g., discretionary research awards), this may be limited to the requirement to submit technical performance reports (to be evaluated in accordance with agency policy).

**Recipient:** A state, territory or tribe that receives a federal award directly from a federal awarding agency to carry out an activity under a federal program. The term recipient does not include sub-recipients. See also §200.69, Nonfederal entity.

**Sub-award:** An award provided by a pass-through entity to a sub-recipient for the sub-recipient to carry out part of a federal award received by the pass-through entity. It does not include payments to a

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contractor or payments to an individual that is a beneficiary of a federal program. A sub-award may be provided through any form of legal agreement, including an agreement that the pass-through entity considers a contract.

**Sub-recipient:** A state, territory or tribe that receives a sub-award from a pass-through entity to carry out part of a federal program; does not include an individual that is a beneficiary of such program.

For disasters declared prior to December 26, 2014, the following chart can be referenced to crosswalk terminology from the previous Administrative Requirements (44 CFR Part 13) and the Cost Principles (2 CFR Parts 225 and 230) that are applicable to those awards.

<b>Previous Terminology</b>	<b>Adopted Terminology</b>
Subgrant	Subaward
Subgrantee	Subrecipient
Grant	Federal award
Grantee	Recipient

**Supplant:** States, territories or tribes may not use CCP funds to take the place of or serve as a substitute for previously existing state or local activities.

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## Appendix B: CCP Services, Positions, and Job Descriptions

Primary CCP Services
<p><b>Brief Educational or Supportive Contact</b></p> <ul style="list-style-type: none"><li>● Lasts less than 15 minutes.</li><li>● Provides basic educational or emotional support to individuals or groups related to disaster reactions.</li></ul>
<p><b>Individual Crisis Counseling</b></p> <ul style="list-style-type: none"><li>● Lasts longer than 15 minutes.</li><li>● Helps disaster survivors understand their situation and reactions, review their options, and connect with other individuals and agencies that may assist them.</li><li>● Includes working with an individual or family unit.</li><li>● Involves staff who listen actively and provide emotional support, identify and teach coping skills and stress management techniques, and help prioritize needs for the survivors.</li></ul>
<p><b>Group Crisis Counseling</b></p> <ul style="list-style-type: none"><li>● Provides group members with emotional support and helps them to understand their situation and reactions and to review their options.</li><li>● Involves group activities that are appropriate to the age category of participants and can be on emotional or practical concerns.</li><li>● Assists group members with referral to other services and provides them with skills to cope with their situation and reactions.</li><li>● Refers to situations in which group members do most of the talking.</li></ul>
<p><b>Public Education</b></p> <ul style="list-style-type: none"><li>● Provides general educational information to survivors on disaster services available and key concepts of disaster behavioral health.</li><li>● May involve public speaking at community forums, in-service group meetings, and local government meetings.</li><li>● Refers to situations in which the crisis counselor does most of the talking and is presenting information.</li></ul>
<p><b>Assessment, Referral, and Resource Linkage</b></p> <ul style="list-style-type: none"><li>● Assessment determines the need for referral to additional services, such as disaster relief or traditional mental health or substance use treatment.</li><li>● Referral directs survivors to formal mental health or substance use treatment if they are experiencing severe reactions.</li><li>● Referral may also direct survivors to other disaster relief resources that meet a wide range of physical, structural, or economic needs.</li><li>● Resource linkage connects disaster survivors with behavioral health services, disaster recovery resources, and tangible goods.</li></ul>

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## Primary CCP Services

### **Community Networking and Support**

- Networking allows for stronger community coalitions to promote recovery and access to services.
- Crisis counselors may be available at community events to provide a compassionate presence and crisis counseling services.
- These services involve coordinating with school personnel, community centers, community leaders, and faith-based organizations in order to provide crisis counseling services.

## Secondary CCP Services

### **Distribution of Educational Materials**

- Typically include flyers, brochures, tip sheets, guidance documents, or website content.
- Cover topics such as basic disaster information, key concepts of disaster behavioral health, disaster reactions and coping skills, and individual or community recovery or resilience.
- Should include materials that address the needs of special populations and are available in multiple languages.
- Do not include data collection tools, such as the Participant Feedback Survey and Service Provider Feedback Survey forms.

### **Media and Public Service Announcements**

- Refer to activities and public messaging conducted in partnership with media, state and local governments, charitable organizations, or other community brokers of information.
- Involve activities and messaging designed to reach a large number of people in order to promote access to CCP services or to provide basic information concerning disaster, key concepts of disaster behavioral health, disaster reactions and coping skills, and individual or community recovery and resilience.
- Involve varied venues, such as media interviews with CCP spokespeople; television or radio public service announcements; use of websites or email; and advertising and social media, such as Facebook and Twitter.

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## Typical CCP Positions and Job Descriptions

### State CCP Program Manager/Director

- Acts as lead coordinator and manager for the state crisis counseling response and is the main point of contact for FEMA and SAMHSA.
- Oversees staffing, training, reporting, data analysis, and fiscal monitoring.
- Works with other disaster service agencies to ensure coordination of behavioral health response and no duplication of services.
- Conducts regular site visits to providers and accompanies crisis counselors as an observer to ensure appropriate services are delivered.
- Represents CCP at high-level meetings within the community and state leadership meetings.
- In some cases, often with smaller CCPs, may be the State Disaster Behavioral Health Coordinator (i.e., the individual identified by the state mental health authority as responsible for state disaster behavioral health preparedness and response).

### Team Leader

- Leads a team of crisis counselors in the field.
- Is usually an experienced disaster behavioral health worker or behavioral health professional who supervises paraprofessional or less experienced crisis counselors.
- May help to assess people who require traditional mental health or substance use treatment.
- May be one of several team leads on staff with a provider, depending on the size and scope of the disaster.
- Trains, debriefs, and provides supervision for the crisis counselors.
- Uses data to conduct ongoing needs assessment.
- Coordinates data collection activities and reviews data form submissions for accuracy.
- If the program is using the mobile application, the team leader reviews and accepts or rejects forms submitted through the mobile application.
- May use the mobile application to complete data forms.
- Provides coordination and oversight of the crisis counselors' plans of service.
- May perform crisis counseling as needed.

### Crisis Counselor

- Works with individuals, families, and groups to provide outreach, emotional support, individual and group crisis counseling, public education, and referrals when needed.
- Is synonymous with term "outreach worker."
- Represents program in the community and networks with other agencies and partners to ensure needs of survivors are met.
- Provides presentations to community groups on disaster reactions, coping skills, stress management, and the CCP.
- May use the mobile application to complete data forms.

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## Typical CCP Positions and Job Descriptions

### Data/Evaluation Specialist

- Implements and oversees the CCP data collection activities and is the point of contact for entering data into the CCP web-based system and the use of the mobile application.
- Collects and analyzes data, collects Participant Feedback Surveys and Service Provider Feedback Surveys, reports data to FEMA and SAMHSA's CMHS, and provides data analysis and feedback to state and provider leadership staff to improve program services.
- Trains CCP staff on data collection forms and the mobile application if used. Works closely with program manager to ensure accuracy of completed forms.
- Supports program manager and team leaders.

### Administrative Assistant

- Provides administrative support including but not limited to collecting and verifying timesheets, collecting data forms, ordering supplies, answering office phone calls, photocopying, faxing, and emailing of CCP information.
- Schedules events and related training activities.

### Consultant/Trainer

- Hired through the CCP to train program staff or provide consultation to program leadership.
- Should be experienced in the CCP model, training topics, and/or grant writing.
- Must be approved by FEMA and CMHS to conduct the trainings specified by the state.

### Fiscal Specialist

- Tracks and monitors funds, reviews and submits requests for program budget modifications to FEMA and CMHS, and prepares fiscal reports.
- Performs quality control and oversight of program purchases.
- Works closely with CCP leadership staff to ensure that funds are accessible to providers and are being appropriately used for crisis counseling services.
- Ensures all contracts are appropriate and compliant with state and federal mandates.
- May be responsible for processing timesheets and payroll.

### Data Entry Assistant

- Implements and oversees the CCP data collection activities and is the point of contact for entering data into the CCP web-based system.
- Supports program manager, data/evaluation specialist, and team leaders.

### IT Support Specialist

- Works at the state/territory/tribe and/or provider level, depending on the size and structure of the program.
- Assists CCP staff in all aspects of use of the mobile application.
  - Helps download the application to mobile devices.
  - Assists the team in uploading forms.
  - Works with the team when logging into the mobile application for the first time.
  - Provides IT support and troubleshooting throughout the entire CCP.

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## Additional Positions Encountered in the CCP

### **Provider Project Manager**

- Often found in larger provider staffing plans.
- Acts as lead coordinator for the crisis counseling response at the provider agency and is main point of contact for the State CCP Program Manager/Director.
- Oversees staffing, training, reporting, and fiscal monitoring for the provider.
- Sometimes serves as a team leader.

### **Community Liaison/Resource Linkage Coordinator**

- Facilitates entry on behalf of CCP into local communities and works with community organizations.
- May serve as a cultural broker and as liaison between the CCP and a cultural group.
- Provides intensive resource linkage for survivors struggling to access disaster relief assistance.
- Networks with community resources to identify referral mechanisms.
- Provides training to crisis counselors and other service providers regarding referral resources and mechanisms.

### **Media Liaison**

- Establishes and maintains cooperative relationships with representatives of business, community, media, public interest, and school groups.
- Writes, edits, and coordinates the design for internal and external CCP publications, the media, the Internet, social media, marketing collateral, and other related materials.
- Assists in coordination of events, activities, and branding related to the promotion of the CCP.
- Serves as a media liaison for general and routine media inquiries and pitches in conjunction with project leadership.

### **Child Specialist**

- Establishes and maintains cooperative relationships with representatives of community, day care, faith-based, and school groups.
- Provides crisis counseling services for children and adolescents, parent education, and supportive family services focused on grief and loss.
- Promotes resilience and successful coping techniques using individual, group, and family evidence-based strategies.
- Provides culturally sensitive education and training about the effects of trauma on young children and their families.
- Delivers training that includes reactions to disasters, creating safe environments, creating classroom communities, and healthy responses to life-changing events.

## Appendix C: Instructions for the Budget Narrative

Budget Category	INSTRUCTIONS FOR THE BUDGET NARRATIVE Key Points for Each Line Item
Salaries and Wages	<ul style="list-style-type: none"> <li><input type="checkbox"/> Within the budget narrative table, list each position type and all relevant details, including the corresponding number of full-time equivalents (FTEs), hours, weeks, rates of pay, and total cost.</li> <li><input type="checkbox"/> Indicate how rates of pay were determined. List sources used to make such determinations (e.g., U.S. Department of Labor).</li> <li><input type="checkbox"/> If rates differ from usual and customary rates for comparable positions in the local area, justify why pay rates differ.</li> </ul>
Fringe Benefits	<ul style="list-style-type: none"> <li><input type="checkbox"/> Provide the rate of fringe for each provider.</li> <li><input type="checkbox"/> Indicate whether the fringe benefits are based on usual and customary rates in the local area.</li> <li><input type="checkbox"/> If the fringe rates are not comparable to the usual and customary rates for the local area, describe why the fringe rates differ.</li> <li><input type="checkbox"/> List individual items that constitute the fringe benefits package.</li> </ul>
Travel	<ul style="list-style-type: none"> <li><input type="checkbox"/> Provide the following list of travel expenses for program staff: number of estimated miles per week, number of weeks, and established state mileage rate.</li> <li><input type="checkbox"/> Provide details on in-state airfare costs, lodging, and per diem rates.</li> <li><input type="checkbox"/> Include consultant or trainer travel costs in the consultants/trainers category.</li> </ul>
Equipment	<ul style="list-style-type: none"> <li><input type="checkbox"/> Itemize equipment and provide justification of equipment costs.</li> <li><input type="checkbox"/> Include expenses less than \$5,000 (e.g., mobile phones or computers) in the supplies category.</li> </ul> <p><b>Note:</b> This line is reserved for individual equipment purchases exceeding \$5,000.</p>
Supplies	<ul style="list-style-type: none"> <li><input type="checkbox"/> Itemize all supplies not normally stocked in a typical business office or covered by the negotiated indirect rate agreement (e.g., branded staff shirts, mobile phones, computers, pagers).</li> <li><input type="checkbox"/> Include a justification for each item.</li> </ul>
Consultants/Trainers	<ul style="list-style-type: none"> <li><input type="checkbox"/> Itemize all consultant and trainer costs by identifying person, role, daily rate, and number of days.</li> <li><input type="checkbox"/> Identify the type of consultation or training that the individuals are providing (e.g., CCP Core Content Training, supplemental trainings, grant writer).</li> <li><input type="checkbox"/> Provide a breakdown of transportation, lodging, and per diem rates (some travel costs may need to be estimated).</li> </ul> <p><b>Note:</b> Ensure all compensation complies with FEMA policy and established rates of pay.</p>

Budget Category	INSTRUCTIONS FOR THE BUDGET NARRATIVE Key Points for Each Line Item
Media/Public Information	<input type="checkbox"/> Provide a breakdown of expenses for pamphlets, flyers, educational materials, advertising expenses for staff recruitment, and educational media and public information efforts (e.g., 10,000 pamphlets x \$0.25 per pamphlet = \$2,500).  <b>Note:</b> The state is encouraged to seek donated or matching media and marketing activities.
Provider/ Contractual Costs	<input type="checkbox"/> Itemize all provider costs and any other contractual costs the state will use in the CCP grant. This should include all salaries, fringe, travel, per diem, and training costs associated with the program. Costs must be justified in the budget narrative.
Other	<input type="checkbox"/> List all other costs, and provide justification for these costs.  <b>Note:</b> Ensure all other costs are directly supported within the plan of services.

**Note:** As a supplemental program, the CCP does not fund a line-item category for indirect costs. All charges must be direct.

Budget Category	Fundable Expenses	Nonfundable Expenses	Typical In-kind Contributions
<b>Salaries and Wages</b>	<ul style="list-style-type: none"> <li>● Salaries and wages for typical CCP positions:               <ul style="list-style-type: none"> <li>– Crisis Counselor</li> <li>– Team Leader (Supervisor)</li> <li>– Administrative Assistant</li> <li>– Data Evaluation Specialist</li> <li>– Consultant/Trainer (listed in personnel only if a direct state or provider employee)</li> <li>– Fiscal Specialist</li> <li>– State CCP Program Manager/Director</li> <li>– Provider Project Manager</li> <li>– Community Liaison/Resource Linkage Coordinator</li> <li>– Media Liaison</li> <li>– Child Specialist</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>● Longer term, more formal mental health services to existing or new clients, and mental health professionals providing these services including diagnosis and therapy</li> <li>● Longer term, more formal substance use treatment to existing or new clients, and paraprofessionals providing these services</li> <li>● Advocacy</li> <li>● Formal critical incident stress debriefing (CISD) services or critical incident stress management (CISM) training</li> <li>● Reimbursement for uncollected revenue (e.g., if mental health workers respond to the disaster and it results in fewer Medicaid billings, the state will not be reimbursed for these lost Medicaid billings)</li> <li>● Supplanting of existing state or provider positions</li> </ul>	<ul style="list-style-type: none"> <li>● Salaries and wages of existing state and local staff, such as the State Disaster Behavioral Health Coordinator and local area provider agency managers who dedicate a percentage of time to the CCP in addition to their existing duties.</li> </ul>
<b>Fringe Benefits</b>	<ul style="list-style-type: none"> <li>● Fringe benefit costs at the usual and customary fringe benefit rate for state and local providers</li> </ul>	<ul style="list-style-type: none"> <li>● Fringe benefit costs above the customary fringe benefit rate for temporary state and local provider staff</li> </ul>	

Budget Category	Fundable Expenses	Nonfundable Expenses	Typical In-kind Contributions
<b>Travel</b>	<ul style="list-style-type: none"> <li>• Mileage reimbursement for crisis counselors to travel to deliver services in survivors' homes, meet with community groups or agency personnel, and conduct or receive training</li> <li>• The standard motor-pool cost if state cars are used</li> </ul>	<ul style="list-style-type: none"> <li>• Out-of-state travel for CCP personnel</li> <li>• Transportation for survivors</li> <li>• Rental or leasing of vehicles, unless unusual circumstances indicate that the use of personal vehicles is not a reasonable option</li> </ul>	<ul style="list-style-type: none"> <li>• The state may offer to use the motor-pool as an in-kind contribution.</li> </ul>
<b>Equipment</b>	<ul style="list-style-type: none"> <li>• Equipment purchases of more than \$5,000 per individual item</li> </ul> <p><i>Consult with the FEMA and CMHS Project Officer prior to developing the budget for this category.</i></p>	<ul style="list-style-type: none"> <li>• Consult with the FEMA and CMHS Project Officer for specific non-fundable expenses.</li> </ul>	
<b>Consultants/ Trainers</b>	<ul style="list-style-type: none"> <li>• CMHS-approved, qualified consultants used to provide technical assistance or consultation to state and local project staff on program development and project management</li> <li>• CMHS-approved, qualified trainers used to provide standardized CCP training or training concerning unique disaster-related issues (e.g., cultural competence, working with children, working with special populations)</li> <li>• Travel costs, lodging, and per diem for consultants</li> </ul> <p><i>For contracted consultants, the maximum FEMA reimbursement rate is \$750 per day, which includes preparation, materials, and travel time.</i></p>	<ul style="list-style-type: none"> <li>• Consultants or trainers not approved by CMHS</li> <li>• Consultant charges exceeding \$750 per day</li> <li>• Conferences or workshops not directly related to the project</li> <li>• Out-of-state training</li> <li>• Disaster preparedness training</li> <li>• CISD or CISM training</li> </ul>	<ul style="list-style-type: none"> <li>• Costs and time associated with the use of state and local in-house consultants</li> </ul>

Budget Category	Fundable Expenses	Nonfundable Expenses	Typical In-kind Contributions
<b>Supplies</b>	<ul style="list-style-type: none"> <li>● Basic office equipment, such as computers, mobile phones, printers, pagers, fax machines, or photocopiers</li> </ul>	<ul style="list-style-type: none"> <li>● Food and beverages</li> <li>● Refreshments for meetings and trainings</li> <li>● Medications</li> <li>● Toys or playground items for recreational programs</li> <li>● Disaster kits</li> <li>● Video cameras, video recording equipment, televisions, and other types of video production equipment (see Media/Public Information Efforts below)</li> </ul>	<ul style="list-style-type: none"> <li>● Use of existing equipment, such as office furniture, computers, fax machines, printers, or photocopiers</li> <li>● Food and beverages</li> <li>● Toys and recreational items</li> </ul>
<b>Media/Public Information</b>	<ul style="list-style-type: none"> <li>● Advertisements to recruit crisis counselors</li> <li>● Educational materials, pamphlets, and handouts</li> <li>● Flyers or other materials to promote access to CCP services</li> <li>● Staff identification items, such as t-shirts or name badges</li> <li>● Media messaging and public service announcements</li> <li>● Duplication of appropriate existing materials, such as FEMA and CMHS disaster behavioral health materials, should the state require more copies of these materials than can be provided</li> </ul>	<ul style="list-style-type: none"> <li>● Items or activities not included as part of the grant application program plan or not approved by the FEMA and CMHS project officers</li> <li>● Disaster preparedness materials</li> <li>● Expensive print, television, or radio advertisements</li> </ul>	<ul style="list-style-type: none"> <li>● For print advertisements and broadcast time, FEMA and CMHS advise that programs seek donations as a public service for space and airtime announcements. If this is not possible, list these media costs as a budget item, and provide ample justification in the narrative.</li> </ul>

Budget Category	Fundable Expenses	Nonfundable Expenses	Typical In-kind Contributions
	<p><i>Video and multimedia product development may be funded only if it is carefully justified and the following three criteria are met:</i></p> <ul style="list-style-type: none"> <li>● No comparable resource is available from another CCP, any federal or state agency, or any private entity.</li> <li>● The state has provided a comprehensive description of the objectives and format of the product, and has demonstrated the disaster mental health expertise to develop a quality product.</li> <li>● The product can be completed to be used as an educational or training tool during the CCP.</li> </ul>		
<p><b>Provider/ Contractual Costs</b></p>	<p><i>Provider costs and any other contractual costs must be itemized. The itemization should include costs associated with salaries, fringe, travel, per diem, and training. These costs must be justified in the budget narrative.</i></p>	<ul style="list-style-type: none"> <li>● Items or activities not included as part of the grant application program plan or not approved by the FEMA and CMHS Project Officers</li> <li>● Transportation of survivors</li> <li>● Mental health treatment</li> </ul>	<ul style="list-style-type: none"> <li>● Office space</li> <li>● Additional trainings</li> <li>● Equipment (copiers, printers, fax)</li> <li>● Human resources</li> </ul>

Budget Category	Fundable Expenses	Nonfundable Expenses	Typical In-kind Contributions
<b>Other</b>	<p><i>The budget may identify costs that are unique to the disaster and area affected but do not fall into one of the prescribed categories.</i></p> <p><b>Note:</b> Costs must not be identified as miscellaneous (i.e., they must be described in detail).</p>	<ul style="list-style-type: none"> <li>● Facility renovation, repair, or construction</li> <li>● Transportation for survivors</li> <li>● Child care</li> <li>● Case management</li> <li>● Diagnostic testing</li> <li>● Toys or recreational equipment or activities</li> <li>● Food and beverages</li> <li>● Refreshments</li> <li>● Video or multimedia recording equipment</li> <li>● Longer term, more formal mental health services to existing or new clients</li> <li>● Medications</li> <li>● Longer term, more formal substance use services to existing or new clients</li> <li>● Advocacy</li> <li>● Financial assistance for survivors</li> <li>● Fundraising activities</li> <li>● Disaster preparedness</li> </ul>	
Categories Typically Listed as Others			
<b>Other</b>	<ul style="list-style-type: none"> <li>● Minimal office space for the management and administration functions of the program when donated space is not available</li> </ul>	<ul style="list-style-type: none"> <li>● Facility renovation, repair, or construction</li> </ul>	<ul style="list-style-type: none"> <li>● Office space within the state mental health authority and CCP provider facilities</li> </ul>

Budget Category	Fundable Expenses	Nonfundable Expenses	Typical In-kind Contributions
<b>Rental Office Space</b>	<ul style="list-style-type: none"> <li>Appropriate telephone and utility costs for CCP operations when not located within existing state mental health authority or provider space</li> </ul>	<ul style="list-style-type: none"> <li>Telephone and utility charges not directly related to CCP operations</li> </ul>	<ul style="list-style-type: none"> <li>Utilities such as heat, water, or electricity</li> </ul>
<b>Other: Telephone and Utilities</b>	<ul style="list-style-type: none"> <li>Additional costs to conduct CCP evaluation and data collection in compliance with the <i>Evaluating the Reach, Quality, and Consistency of Crisis Counseling Programs</i> guidance</li> </ul>	<ul style="list-style-type: none"> <li>Evaluation activities not in compliance with the <i>Evaluating the Reach, Quality, and Consistency of Crisis Counseling Programs</i> guidance</li> <li>More formal research activities</li> </ul>	

### Required Supporting Documentation To Be Maintained by the CCP

**Salaries and Wages:** Salary compensation must be reasonable in amount and supported by daily employee activity sheets (timesheets) that document charged hours. Timesheets must be prepared by employees and be approved by management.

**Fringe:** Fringe benefits may be charged directly using established practices. Claimed costs must be reasonable in amount and conform to an established policy. Use of a pre-established provisional rate requires allocation to total salary costs. Rates must be adjusted to actual at year end. Rates should be reviewed at least once annually. Direct charging requires equitable allocation and supporting documentation.

**Indirect Costs:** As a supplemental program, the CCP does not fund a line-item category for indirect costs. All charges must be direct.

**Consultants:** Consultant costs must be supported by a consulting agreement that documents the service to be performed, cost, and applicable time periods. Documentation to support need, reasonability of rates, adherence to the FEMA training policy, and consultant expertise must be maintained, together with evidence of work product.

**Equipment:** Acquisition of equipment for the project requires prior government approval. Costs may be charged directly only for items fully dedicated to the project. Costs associated with personal use are unallowable. Items that either benefit the organization as a whole or have a useful life beyond the life of the project should be capitalized and depreciated; only applicable depreciation should be charged to the grant.

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**Supplies:** Supplies may be charged directly if used solely for the SAMHSA grant. Support in the form of invoices or payment receipts should be maintained.

**Travel:** Travel must be preapproved and supported by travel expense reports detailing employee name, reason for trip, and itemized expenses claimed. Claimed costs should be charged according to a detailed travel policy that requires prior approval, complies with OMB cost principles, and provides expenditure limitations. Major items of expense (e.g., airfare, lodging) should be supported by receipts. Expense reports should be reviewed for whether they are allowable prior to payment.

**Other:** Costs may be charged only if they are specific to the SAMHSA grant; costs must be supported by adequate documentation (invoices, receipts, etc.).

**Contracts:** Contractual costs include all subcontracts and sub-recipient grants. Costs should be awarded in accordance with the CFR. Agreements must be in writing and include a statement of work, applicable dates, and cost ceilings. Need and cost and price analyses should be documented. Awards should be competitive; any sole-source awards must be adequately justified.

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## Appendix D: SF-424 Tip Sheet

This SF-424 tip sheet provides additional information specifically related to CCP applications. Please also refer to the SF-424 instructions.

Item Number	Tip
1	Check "Application."
2	Check "New."
3	Leave blank.
4	Leave blank.
5a	Leave blank.
5b	Leave blank.
6	Leave blank.
7	Leave blank.
8a	For the Immediate Services Program (ISP) application, the applicant's legal name is the state (or tribal) emergency management agency (SEMA). For the Regular Services Program (RSP) application, the applicant's legal name is the state mental health authority (SMHA) or the tribal chief executive.
8b	For the ISP application, the employer/taxpayer identification number can be obtained from the SEMA. For the RSP application, it can be obtained from the department of mental health's fiscal management office.
8c	For the ISP application, the organization Data Universal Numbering System (DUNS) number can be obtained from the SEMA. For the RSP application, it can be obtained from the department of mental health's fiscal management office.
8d	For the ISP application, enter the Governor's Authorized Representative's (GAR's) complete address here. For the RSP application, enter the SMHA's or tribal chief executive's complete address here.
8e	For the ISP application, enter the GAR's department and division name here. For the RSP application, enter the SMHA's or tribal chief executive's department and division name here.
8f	Typically, the Disaster Behavioral Health Coordinator's contact information is entered here.
9	Only the first line for "Applicant 1" should be filled out. The type of applicant is "A. State Government."

Item Number	Tip
10	The federal agency is the “Federal Emergency Management Agency.”
11	<p>For both the ISP and the RSP, states should enter the CFDA number 97.032. The title is “Crisis Counseling.”</p> <p>For the RSP, SAMHSA Grants Management also requires the SAMHSA CFDA number, 93.982, “DHHS Mental Health Disaster Assistance and Emergency Mental Health,” to be entered.</p>
12	Per FEMA, leave the Funding Opportunity Number blank.
13	Leave blank.
14	The CCP application must correspond with areas listed in the Presidential declaration. Generally, declarations specify counties as geographic units included in the declaration, but they may also specify parishes, municipalities, or other large geographic area designations. Applicants should list declared counties, parishes, or municipalities to be served.
15	This may be listed as “Immediate Services Program (or Regular Services Program)—Crisis Counseling Assistance and Training Program,” or if the state has already titled the project (e.g. Project Recovery), that title may be used instead.
16a	Enter the two-letter state abbreviation, followed by “-all” (e.g., “MD-all” for an application from the State of Maryland).
16b	This item should specify the state congressional districts included in the geographic units identified in item number 14. If the counties, parishes, or municipalities identified are all included in one state congressional district, then the code will include the two-letter state abbreviation followed by the number of the congressional district (e.g., CA-012). If the identified geographical area includes more than one congressional district, they should all be identified (e.g., NY-105, NY-106, NY-107).
17	<p>The ISP is a 60-day program that begins on the date of the disaster declaration (day 0). Day 1 is the day after the declaration. Costs incurred to carry out services funded by the CCP may be reimbursed from the date of the disaster through the date the ISP application is submitted. Note that separate budgets are required for the projected program period and the reimbursable period leading up to the submission of the ISP application. For example, if the President declares a disaster March 1, the 60-day ISP program period will begin that day, which is day 0. The 60-day period will end April 30. However, the proposed project dates on the SF-424 would be March 15 (accounting for the 14 days given to complete the ISP application) as a start date and April 30 as an end date. The reimbursable budget would represent those costs incurred from the date of declaration (or the date of the disaster, if prior to the declaration) through March 15.</p> <p>The RSP provides funding for up to 9 months from the date the RSP is awarded, and so, for example, if the ISP ended on April 30, the proposed project dates for the RSP might be May 1 through January 31.</p>

Item Number	Tip
18	The amount of requested federal assistance should be provided in (a). In-kind contributions should be listed in (c) or (d). There should be no program income, and estimates should be rounded to the nearest dollar.
19	Disaster relief grants are exempt from this executive order. Applicants should check box “c.”
20	The state must answer this question in consultation with its fiscal management offices.
21	<p>For the ISP application, the signature block must be completed by the GAR.</p> <p>For the RSP application, the signature block must be completed by the authorized representative or head of the SMHA or tribal chief executive.</p> <p>No one else may sign for the Governor. An SF-424 signed by anyone else will be returned and may delay processing of the application.</p>

Regarding the **Budget Information—Non-Construction Programs** form (SF-424a):

Item Number	Tip
1a	Enter “Crisis Counseling” for the ISP and the RSP.
1b	Enter 97.032 for the ISP and both 97.032 and 93.982 for the RSP.

# Appendix E: Federal Financial Report (FFR) SF-425

View Burden Statement

**Federal Financial Report**  
 (Follow form instructions)

OMB Number: 4040-0014  
 Expiration Date: 01/31/2019

1. Federal Agency and Organizational Element to Which Report is Submitted		2. Federal Grant or Other Identifying Number Assigned by Federal Agency (To report multiple grants, use FFR Attachment)	
3. Recipient Organization (Name and complete address including Zip code)			
Recipient Organization Name: _____			
Street1: _____			
Street2: _____			
City: _____		County: _____	
State: _____		Province: _____	
Country: USA: UNITED STATES		ZIP / Postal Code: _____	
4a. DUNS Number	4b. EIN	5. Recipient Account Number or Identifying Number (To report multiple grants, use FFR Attachment)	
6. Report Type	7. Basis of Accounting	8. Project/Grant Period	9. Reporting Period End Date
<input type="checkbox"/> Quarterly <input type="checkbox"/> Semi-Annual <input type="checkbox"/> Annual <input type="checkbox"/> Final	<input type="checkbox"/> Cash <input type="checkbox"/> Accrual	From: _____ To: _____	_____
10. Transactions		Cumulative	
<i>(Use lines a-c for single or multiple grant reporting)</i>			
<b>Federal Cash (To report multiple grants, also use FFR attachment):</b>			
a. Cash Receipts		0.00	
b. Cash Disbursements		0.00	
c. Cash on Hand (line a minus b)		0.00	
<i>(Use lines d-o for single grant reporting)</i>			
<b>Federal Expenditures and Unobligated Balance:</b>			
d. Total Federal funds authorized		0.00	
e. Federal share of expenditures		0.00	
f. Federal share of unliquidated obligations		0.00	
g. Total Federal share (sum of lines e and f)		0.00	
h. Unobligated balance of Federal Funds (line d minus g)		0.00	
<b>Recipient Share:</b>			
i. Total recipient share required		0.00	
j. Recipient share of expenditures		0.00	
k. Remaining recipient share to be provided (line i minus j)		0.00	
<b>Program Income:</b>			
l. Total Federal program income earned		0.00	
m. Program income expended in accordance with the deduction alternative		0.00	
n. Program income expended in accordance with the addition alternative		0.00	
o. Unexpended program income (line l minus line m or line n)		0.00	
11. Indirect Expense			
a. Type	b. Rate	c. Period From	Period To
d. Base	e. Amount Charged	f. Federal Share	
g. Totals:			
12. Remarks: Attach any explanations deemed necessary or information required by Federal sponsoring agency in compliance with governing legislation:			
<input type="text"/> <span style="float: right;"> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/> </span>			
13. Certification: By signing this report, I certify that it is true, complete, and accurate to the best of my knowledge. I am aware that any false, fictitious, or fraudulent information may subject me to criminal, civil or administrative penalties. (U.S. Code, Title 18, section 1001)			
a. Name and Title of Authorized Certifying Official			
Prefix: _____	First Name: _____	Middle Name: _____	
Last Name: _____		Suffix: _____	
Title: _____			
b. Signature of Authorized Certifying Official		c. Telephone (Area code, number and extension)	
		_____	
d. Email Address		e. Date Report Submitted	14. Agency use only:
_____		_____	

Standard Form 425

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## Appendix F: Federal Financial Report (FFR) SF-425 Instructions

### FFR Instructions

#### Report Submissions

1. Recipients will be instructed by federal agencies to submit the *FFR* to a single location, except when an automated payment management reporting system is utilized. In this case, a second submission location may be required by the agency.
2. If recipients need more space to support their *FFRs*, or *FFR* attachments, they should provide supplemental pages. These additional pages must indicate the following information at the top of each page: federal grant or other identifying number (if reporting on a single award), recipient organization, DUNS number, Employer Identification Number (EIN), and period covered by the report.

#### Reporting Requirements

1. The submission of interim *FFRs* will be on a quarterly, semiannual, or annual basis, as directed by the federal agency. A final *FFR* shall be submitted at the completion of the award agreement. The following reporting period end dates shall be used for interim reports: March 31, June 30, September 30, or December 31. For final *FFRs*, the reporting period end date shall be the end date of the project or grant period.
2. Quarterly and semiannual interim reports shall be submitted no later than 30 days after the end of each reporting period. Annual reports shall be submitted no later than 90 days after the end of each reporting period. Final reports shall be submitted no later than 90 days after the project or grant period end date.

Note: For single award reporting:

1. Federal agencies may require both cash management information on lines 10(a) through 10(c) and financial status information lines 10(d) through 10(o).
2. 10(b) and 10(e) may not be the same until the final report.

**Line-item Instructions for the FFR**

FFR Number	Reporting Item	Instructions
<b>Cover Information</b>		
1	Federal Agency and Organizational Element	Enter the name of the federal agency and organizational element identified in the award document or as instructed by the agency.
2	Federal Grant or Other Identifying Number	For a single award, enter the grant number assigned to the award by the federal agency. For multiple awards, report this information on the FFR. <i>Attachment. Do not complete this box if reporting on multiple awards.</i>
3	Recipient Organization	Enter the name and complete address of the recipient organization including ZIP code.
4a	DUNS Number	Enter the recipient organization’s DUNS number.
4b	EIN	Enter the recipient organization’s EIN.
5	Recipient Account Number or Identifying Number	Enter the account number or any other identifying number assigned by the recipient to the award. This number is for the recipient’s use only and is not required by the federal agency. For multiple awards, report this information on the FFR. <i>Attachment. Do not complete this box if reporting on multiple awards.</i>
6	Report Type	Mark appropriate box. <i>Do not complete this box if reporting on multiple awards.</i>
7	Basis of Accounting (Cash/Accrual)	Specify whether a cash or accrual basis was used for recording transactions related to the award(s) and for preparing this FFR. Accrual basis of accounting refers to the accounting method in which expenses are recorded when incurred. For cash basis accounting, expenses are recorded when they are paid.
8	Project/Grant Period, From: (Month, Day, Year)	Indicate the period established in the award document during which federal sponsorship begins and ends.  Note: Some agencies award multi-year grants for a project period that is funded in increments or budget periods (typically annual increments). Throughout the project period, agencies often require cumulative reporting for consecutive budget periods. Under these circumstances, enter the beginning and ending dates of the project period not the budget period.  <i>Do not complete this line if reporting on multiple awards.</i>
	Project/Grant Period, To:	See the above instructions for “Project/Grant Period, From: (Month, Day, Year).”

FFR Number	Reporting Item	Instructions
9	Reporting Period End Date: (Month, Day, Year)	Enter the ending date of the reporting period. For quarterly, semiannual, and annual interim reports, use the following reporting period end dates: March 31, June 30, September 30, or December 31. For final <i>FFRs</i> , the reporting period end date shall be the end date of the project or grant period.
10	<p><b>Transactions</b></p> <p>Enter cumulative amounts from date of the inception of the award through the end date of the reporting period specified in line 9.</p> <p>Use Lines 10a through 10c, Lines 10d through 10o, or Lines 10a through 10o, as specified by the federal agency, when reporting on single grants.</p> <p>Use Line 12, Remarks, to provide any information deemed necessary to support or explain <i>FFR</i> data.</p>	
<b>Federal Cash (To report multiple grants, also use <i>FFR</i> attachment.)</b>		
10a	Cash Receipts	Enter the cumulative amount of actual cash received from the federal agency as of the reporting period end date.
10b	Cash Disbursements	<p>Enter the cumulative amount of federal fund disbursements by the grantee (such as cash or checks) as of the reporting period end date. Disbursements are the sum of actual cash disbursements (of federally authorized funds) for direct charges for goods and services, the amount of indirect expenses charged to the award, and the amount of cash advances and payments (of federally authorized funds) made to sub-recipients and contractors.</p> <p>For multiple grants, report each grant separately on the <i>FFR</i> attachment. The sum of the cumulative cash disbursements on the <i>FFR</i> Attachment must equal the amount entered on Line 10b, <i>FFR</i>.</p>

FFR Number	Reporting Item	Instructions
10c	Cash On Hand (Line 10a Minus Line 10b)	<p>Enter the amount of Line 10a minus Line 10b. This amount represents immediate cash needs.</p> <p><i>Use of Aggregated Amounts of Disbursements and Advances.</i> A recipient must compute the amount of federal cash on hand due to undisbursed advance payments using the same basis that it uses in requesting the advances. Therefore, in doing the computation, a recipient may only aggregate the amounts of its advance payments received and disbursements of federal funds under multiple awards only if it is authorized to aggregate its requests for advance payments in the same manner. The following examples should help to illustrate what is permissible:</p> <ul style="list-style-type: none"> <li>• If a recipient is authorized to consolidate its requests for advance payment for a group of awards—i.e., it requests a single amount to cover its anticipated cash needs for the awards in the aggregate, then it may similarly compute the cash on hand by subtracting the aggregated amount of disbursements from the aggregated amount of the advances received for those awards.</li> <li>• If the same recipient is required to request payment individually for other federal awards, it must compute the cash on hand for each of those awards on an award by award basis and correspondingly report these awards on separate <i>FFRs</i>.</li> </ul> <p><i>Exclusion of Negative Balances of Cash on Hand.</i> In computing the total amount of cash on hand for its federal awards in the aggregate, a recipient must exclude any negative balance of federal cash on hand for an individual award or for a group of awards paid through a consolidated payment request.</p> <p>This includes each award paid by the reimbursement method and any award using the advance method that has disbursements in excess of advances received to date. The computation must include only positive balances of cash on hand.</p> <p>If more than three business days of cash are on hand, the federal agency may require an explanation on Line 12, Remarks, explaining why the drawdown was made prematurely or other reasons for the excess cash.</p>
<p><b>Federal Expenditures and Unobligated Balance:</b> Do not complete this section if reporting on multiple awards.</p>		
10d	Total Federal Funds	Enter the total federal funds authorized as of the reporting period end date.

FFR Number	Reporting Item	Instructions
10e	Federal Share of Expenditures	Enter the amount of federal fund expenditures. For reports prepared on a cash basis, expenditures are the sum of cash disbursements for direct charges for property and services, the amount of indirect expense charged, and the amount of cash advance payments and payments made to sub-recipients. For reports prepared on an accrual basis, expenditures are the sum of cash disbursements for direct charges for property and services; the amount of indirect expense incurred; and the net increase or decrease in the amounts owed by the recipient for (1) goods and other property received; (2) services performed by employees, contractors, sub-recipients, and other payees; and (3) programs for which no current services or performance are required. Do not include program income expended in accordance with the deduction alternative, rebates, refunds, or other credits. (Program income expended in accordance with the deduction alternative should be reported separately on Line 10m.)
10f	Federal Share of Unliquidated Obligations	Unliquidated obligations on a cash basis are obligations of federally authorized funds which are incurred, but not yet paid as of the end of the reporting period. On an accrual basis, they are obligations of federally authorized funds which have been incurred, but for which an expenditure has not yet been recorded, as of the end of the reporting period. Enter the amount of unliquidated obligations of federally authorized funds. Those obligations include direct and indirect expenses incurred but not yet paid or charged to the award, including amounts due to sub-recipients and contractors. On the final report, this line should be zero unless the awarding agency has provided other instructions.  <i>Do not include any amount in Line 10f that has been reported in Line 10e. Do not include any amount in Line 10f for a future commitment of funds (such as a long-term contract) for which an obligation or expense has not been incurred.</i>
10g	Total Federal Share (Sum)	Enter the sum of Lines 10e and 10f.
10h	Unobligated Balance of Federal Funds	Enter the amount of Line 10d minus Line 10g.

FFR Number	Reporting Item	Instructions
<b>Recipient Share: Do not complete this section if reporting on multiple awards.</b>		
10i	Total Recipient Share Required	Enter the total required recipient share for reporting period specified in Line 9. The required recipient share should include all matching and cost sharing provided by recipients and third-party providers to meet the level required by the federal agency. This amount should not include cost sharing and match amounts in excess of the amount required by the federal agency (for example, cost overruns for which the recipient incurs additional expenses and, therefore, contributes a greater level of cost sharing or match than the level required by the federal agency).
10j	Recipient Share of Expenditures	Enter the recipient share of actual cash disbursements or outlays (less any rebates, refunds, or other credits) including payments to sub-recipients and contractors. This amount may include the value of allowable third party in-kind contributions and recipient share of program income used to finance the nonfederal share of the project or program. Note: On the final report this line should be equal to or greater than the amount of Line 10i.
10k	Remaining Recipient Share to be Provided	Enter the amount of Line 10i minus Line 10j. If recipient share in Line 10j is greater than the required match amount in Line 10i, enter zero.
<b>Program Income: Do not complete this section if reporting on multiple awards.</b>		
10l	Total Federal Share of Program Income Earned	Enter the amount of the federal share of program income earned. Do not report any program income here that is being allocated as part of the recipient's cost sharing amount included in Line 10j.
10m	Program Income Expended in Accordance with the Deduction Alternative	Enter the amount of program income that was used to reduce the federal share of the total project costs.
10n	Program Income Expended in Accordance the Addition Alternative	Enter the amount of program income that was added to funds committed to the total project costs and expended to further eligible project or program activities.
10o	Unexpended Program Income	Enter the amount of Line 10l minus Line 10m or Line 10n. This amount equals the program income that has been earned but not expended, as of the reporting period end date.
11	<b>Indirect Expense:</b> Complete this information only if required by the awarding agency. Enter cumulative amounts from date of the inception of the award through the end date of the reporting period specified in line 9.	

<i>FFR</i> Number	Reporting Item	Instructions
11a	Type of Rate(s)	State whether indirect cost rate(s) is Provisional, Predetermined, Final, or Fixed.
11b	Rate	Enter the indirect cost rate(s) in effect during the reporting period.
11c	Period From	Enter the beginning and ending effective dates for the rate(s).
11d	Base	Enter the amount of the base against which the rate(s) was applied.
11e	Amount Charged	Enter the amount of indirect costs charged during the time period specified. (Multiply 11b. x 11d.)
11f	Federal Share	Enter the federal share of the amount in 11e.
11g	Totals	Enter the totals for columns 11d, 11e, and 11f.
<b>Remarks, Certification, and Agency Use Only</b>		
12	Remarks	Enter any explanations or additional information required by the federal sponsoring agency including excess cash as stated in line 10c.
13a	Typed or Printed Name and Title of Authorized Certifying Official	Enter the name and title of the authorized certifying official.
13b	Signature of Authorized Certifying Official	The authorized certifying official must sign here.
13c	Telephone (Area Code, Extension)	Enter the telephone number (including area code and extension) of the individual listed in Line 13a.
13d	Email Address	Enter the email address of the individual listed in Line 13a.
13e	Date Report Submitted	Enter the date the <i>FFR</i> is submitted to the federal agency using the month, day, year format.
14	Agency Use Only	This section is reserved for federal agency use.