

Department of Health and Human Services

Substance Abuse and Mental Health Services Administration

**Drug Free Communities Support Program
(Initial Announcement)**

Request for Applications (RFA) No. SP-08-002

Catalogue of Federal Domestic Assistance (CFDA) No.: 93.276

Key Dates:

Application Deadline	March 21, 2008
Intergovernmental Review (E.O. 12372)	Letters from State Single Point of Contact (SPOC) are due no later than 60 days after application deadline
Public Health System Impact Statement (PHSIS)/SSA Coordination	Applicants must send the PHSIS to appropriate State and local health agencies by application deadline. Comments from Single State Agency are due no later than 60 days after application deadline.

Table of Contents

I.	FUNDING OPPORTUNITY DESCRIPTION.....	5
1.	INTRODUCTION	5
2.	EXPECTATIONS.....	7
II.	AWARD INFORMATION	9
1.	AWARD AMOUNT	9
2.	FUNDING MECHANISM	10
III.	ELIGIBILITY REQUIREMENTS	10
1.	DFC ELIGIBLE APPLICANTS.....	10
2.	COST SHARING and MATCH REQUIREMENTS	15
3.	OTHER INFORMATION	16
IV.	APPLICATION AND SUBMISSION REQUIREMENTS.....	16
1.	ADDRESS TO REQUEST APPLICATION PACKAGE	16
2.	CONTENT AND FORM OF APPLICATION SUBMISSION	17
3.	SUBMISSION DATES AND TIMES.....	17
4.	INTERGOVERNMENTAL REVIEW	17
V.	APPLICATION REVIEW INFORMATION.....	18
1.	EVALUATION CRITERIA	18
2.	REVIEW AND SELECTION PROCESS	26
VI.	AWARD ADMINISTRATION INFORMATION.....	27
1.	AWARD NOTICES.....	27
2.	ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS.....	27
	REPORTING REQUIREMENTS	28
VII.	AGENCY CONTACTS.....	28
	ATTACHMENT 1: Sample Budget and Budget Justification	30
	ATTACHMENT 2: Application Submission and Formatting Requirements.....	38
	ATTACHMENT 3: Sample Sector Representative Table.....	46
	ATTACHMENT 4: Sample Program Abstract.....	47
	ATTACHMENT 5: Sample Logic Model	48
	ATTACHMENT 6: Fiscal Agent Roles and Relationship to a Coalition.....	49
	ATTACHMENT 7: Sample Memorandum of Understanding (MOU) -Coalition and Fiscal Agent	51

ATTACHMENT 8: Applicant Assurance for No More Than One Grant 54

ATTACHMENT 9: Applicant Assurance of Compliance with Year 11 Policy..... 55

ATTACHMENT 10: Coalition Roles and Relationship to Member Sectors 57

ATTACHMENT 11: Sample Memorandum of Understanding (MOU) – Coalition and Sector
Member 58

ATTACHMENT 12: Glossary of Terms 60

ATTACHMENT 13: Scoring Sheets 62

ATTACHMENT 14: Pre-submission Checklist 67

Executive Summary

The Executive Office of the President, Office of National Drug Control Policy (ONDCP), and the Department of Health and Human Services (HHS), Substance Abuse and Mental Health Services Administration (SAMHSA), Center for Substance Abuse Prevention (CSAP) announce the availability of funds for new FY 2008 Drug Free Communities Support Program (DFC) grants.

DFC is a collaborative initiative sponsored by ONDCP in partnership with SAMHSA in order to achieve two major goals:

- Establish and strengthen collaboration among communities, private nonprofit agencies, and Federal, State, local, and tribal governments to support the efforts of community coalitions to prevent and reduce substance abuse among youth.
- Reduce substance abuse among youth and, over time, among adults by addressing the factors in a community that increase the risk of substance abuse and promoting the factors that minimize the risk of substance abuse. (Substances include, but are not limited to, narcotics, depressants, stimulants, hallucinogens, cannabis, inhalants, alcohol, and tobacco, where their use is prohibited by Federal, State, or local law.) *Note: DFC projects must focus on multiple drugs of abuse. When the term “drug” or “substance” is used in this funding announcement, it is intended to include all of the above drugs.*

Funding Opportunity Title:	Drug Free Communities Support Program
Funding Opportunity Number:	SP-08-002
Due Date for Applications:	March 21, 2008
Anticipated Total Available Funding:	\$19,000,000
Estimated Number of Awards:	150
Estimated Individual Award Amount:	Up to \$125,000 per year
Length of Project Period:	Up to five years
Eligible Applicants:	The application must be submitted by a community-based coalition. [See Part III of this RFA for complete eligibility information.]

I. FUNDING OPPORTUNITY DESCRIPTION

1. INTRODUCTION

The Executive Office of the President, Office of National Drug Control Policy (ONDCP), and the Department of Health and Human Services (HHS), Substance Abuse and Mental Health Services Administration (SAMHSA), Center for Substance Abuse Prevention (CSAP) announce the availability of funds for new FY 2008 Drug Free Communities Support Program (DFC) grants.

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The Drug Free Communities Program (DFC) was created by the Drug Free Communities Act, 1997 (Public Law 105-20), reauthorized through the Drug Free Communities Reauthorization Act of 2001 (Public Law 107-82) and reauthorized again through the Office of National Drug Control Policy Reauthorization Act of 2006 (Public Law 109-469). The latest reauthorization extended the program for an additional five years until 2012.

Since 1998, ONDCP has awarded approximately 1,300 DFC grants, with an additional 150 new awards expected in FY 2008. The community sites that have been awarded grants represent a cross-section of communities from every region in the nation and include rural, urban, suburban, and tribal communities. The program has given priority to economically disadvantaged areas or counties in which 20 percent or more of the children are living in a household below the poverty line, as defined by the U.S. Census Bureau.

Additional grantee information is available on the DFC Web site www.ondcp.gov/dfc.

1.2 ABOUT DFC GRANTEES

1.2.1 Coalitions

Grants awarded through the Drug Free Communities program are intended to support *community-based coalitions*. For the purposes of this Request for Applications (RFA), a coalition is defined as a formal arrangement for cooperation and collaboration between groups or sectors of a community, in which each group retains its identity but all agree to work together toward a common goal of building a safe, healthy, and drug free community. Coalitions receiving DFC funds are expected to work within their “target” communities to identify and address local substance abuse problems. Coalitions should engage local leaders in an ongoing effort to better understand local challenges and to generate lasting change in the community.

Coalitions are expected to develop and utilize *environmental strategies* based on a *community systems perspective* that views a community as a set of persons engaged in shared social, cultural, political, and economic processes. Environmental strategies are based on the belief that substance abuse is a product of multiple environmental conditions and circumstances. According to this view, individuals do not engage in substance abuse solely on the basis of personal characteristics, but rather as a result of a complex set of factors in their environment. These include: the rules and regulations of the social institutions to which individuals belong, the norms of the communities in which they live, the mass media messages to which they are exposed, and the accessibility of alcohol, tobacco and illicit drugs. Therefore, effective prevention requires “intervention” in various facets of community life.

More specifically, environmental strategies seek to: (1) limit access to substances, (2) change the culture and contexts within which decisions about substance use are made, and/or (3) reduce the prevalence of negative consequences associated with substance use (such as motor vehicle crashes, sexual assaults, etc.). Grantees are more likely to be successful in meeting their objectives if they utilize environmental strategies. While funds may be used for activities or interventions directed at specific individuals or small groups, the primary purpose of a DFC grant is to strengthen the capacity of coalitions to reduce and prevent substance abuse in the community by generating positive, lasting environmental change. If a grantee has identified a community need for such ‘directed activities or interventions,’ these should be funded primarily utilizing non-Federal and in-kind match dollars.

1.2.2 Communities

In order to achieve the results described above, coalitions need to clearly define and understand the unique characteristics of their target communities. A target community must encompass a defined geographic area. The DFC program does not prescribe the size, shape, borders, demographics, or geographic locations of DFC grantees, though some priority may be given to rural, Native American, and economically disadvantaged communities, as well as the overall geographic distribution of the grantee pool. As every community has unique characteristics, local expertise is needed to define what constitutes a meaningful target area. DFC grantees use various physical demarcations, including neighborhoods, census tracts, zip codes, school districts, as well as township, county, and parish lines, among others, to determine and define

their target communities. When determining the parameters of a community, applicants should be mindful of the fact that multiple DFC grantees may not serve the same geographic area unless there is evidence of cooperation between the overlapping coalitions.

2. EXPECTATIONS

2.1 Strategic Prevention Framework



DFC-funded coalitions are expected to utilize SAMHSA’s Strategic Prevention Framework (SPF) as the model on which they develop their long-range and annual strategic plans. The SPF is a five-step evidence-based process for community planning and decision-making and serves as the basis for the narrative section of this RFA. The five-step process includes:

- 1) needs assessment (profile community needs);
- 2) capacity building (mobilize/build capacity to address community needs);
- 3) planning (develop a comprehensive strategic plan);
- 4) implementation (implement the plan with multiple interventions); and
- 5) evaluation (monitor, sustain, improve, or replace prevention strategies).

To be selected as a DFC grantee, a coalition must demonstrate a capacity to successfully implement the plans developed through the SPF process as outlined in the narrative response to this RFA. In the Project Narrative portion of the application (see Part V), applicants are asked to explain how they will carry out each of the five steps outlined above. Applications will be evaluated and scored according to the quality of these responses, among other criteria.

2.2 Pre-Application Workshops

Potential applicants, including first-time or current grantees applying for Year 6 funding, are invited and encouraged to attend one of the following five pre-application technical assistance workshops to be held in the following cities:

January 23rd – New Orleans

January 29th – Los Angeles

January 31st – Chicago

February 5th – Denver

February 6th – Denver (Native American specific)

February 15th – Washington, DC

More information and subsequent updates about the workshops can be found at:

<http://www.ondcp.gov/dfc/potentialgrantees.html>.

2.3 Data and Performance Measurement Requirements

The Government Performance and Results Act of 1993 (P.L.103-62, or “GPRA”) requires all Federal agencies to set program performance baselines and targets and to report annually on the degree to which the annual targets were met. As part of the government’s GPRA guidelines, DFC grantees are required to provide data on the following measures for the coalition’s entire target community. Applicants must demonstrate their ability to collect and report on these measures in their applications in Section E of the Project Narrative:

- Age of onset of any drug use (including alcohol, marijuana, and tobacco);
- Frequency of use in the past 30 days (including alcohol, marijuana, and tobacco);
- Perception of risk or harm (including alcohol, marijuana, and tobacco); and
- Perception of disapproval of use by parents (including alcohol, marijuana, and tobacco).

The terms and conditions of the grant award will specify the data to be submitted and the schedule for submission of data using an online data reporting system. If funded, each successful applicant will be required to submit a plan to SAMHSA/CSAP outlining how the coalition will comply with the data reporting requirements outlined above. This plan will be due 30 days after the Notice of Grant Award.

2.4 Evaluation Requirements

DFC applicants are required to describe plans for local evaluation in Section E of the Project Narrative portion of their applications. The evaluation consists of both process and outcome measures, and should be designed to guide decision-making and provide continuous feedback to the coalition and other stakeholders. DFC grantees are also required to participate in the National DFC Evaluation which is intended to measure the progress and development of DFC coalitions.

This includes the reporting of data on the four GPRA measures described above, as well as other communication and contact with the national cross-site evaluation team on an as-needed basis.

2.5 National Meeting Requirement

DFC-funded coalitions are required to send two people (one must be the Project Director) to a three-day New Grantee Training in Washington, D.C. in the first year of the grant award. This requirement applies to first-time DFC grantees as well as grantees that receive Year 6 funding.

Applicants applying to become first-time DFC grantees must also budget for two individuals to attend two additional trainings (in addition to the New Grantee Training), for a total of seven additional days, throughout the first year of the grant. One of these will be in Washington, DC and the other will be in a city in the western United States. For the purposes of your budget, assume that the training will take place in Denver, CO. Therefore, the budget that is submitted as part of this application must include hotel, airfare, meals and other miscellaneous expenses associated with attending the three required trainings. For each subsequent year of funding, applicants must budget for a meeting/training “to be defined” by ONDCP for each fiscal year of the grant. This requirement is in addition to any other training(s) that applicants may choose to include in their budgets. ONDCP will notify DFC grantees as to whether or not a training is mandatory and will provide details (date/time/location) for mandatory trainings as far in advance as possible. If there are no mandatory meetings or trainings in a given fiscal year, grantees may work with their SAMHSA Project Officers and Grants Management Specialists to redirect the money for other trainings and/or activities.

2.6 Sustainability

Grantees will be required to submit a comprehensive sustainability plan, including a budget, in Year 3 of the first funding cycle and Year 7 of the second funding cycle, if a second five-year grant is awarded. The narrative portion of the sustainability plan must articulate how the coalition will ensure the continuation of effective policies, strategies, and practices when Federal assistance is no longer available. The plan must identify:

- 1) specific strategies to be sustained;
- 2) resources, time, technology, and talent required to sustain them; and
- 3) individuals and/or organizations who will assume responsibility for sustaining them.

The plan must also describe measures to be taken to solicit substantial financial support from non-Federal sources. This is to demonstrate that the project will survive when Federal assistance is no longer available.

II. AWARD INFORMATION

1. AWARD AMOUNT

DFC expects to award approximately \$19 million for 150 FY 2008 DFC grants through this RFA. DFC grants will be available to eligible coalitions in amounts of up to \$125,000 per year

over a five-year period, known as a “funding cycle.” To apply for a DFC grant under this RFA, a coalition must fall into one of the following three categories:

- a. A coalition that has never received a DFC grant;
- b. A coalition that previously received a DFC grant but experienced a lapse in funding;
- c. A coalition that has concluded the *first* five-year funding cycle and is applying for a *second* five-year funding cycle.

First-time applicants (coalitions that have *never* before received a DFC grant) may request up to \$125,000 per year for Years 1, 2, 3, 4 and 5 of the funding cycle. If selected to receive a DFC grant, these coalitions will be awarded funds for Year 1 (covering the 12-month period from September 30, 2008 – September 29, 2009). Funds for subsequent years (Years 2, 3, 4 and 5 of the funding cycle) are distributed on an annual basis as non-competing “continuation awards.” Annual continuation awards are contingent upon the availability of DFC funds, the continued ability of the coalition to demonstrate eligibility, grantee progress in meeting grant requirements, and timely submission of the continuation application, as well as required data and reports.

Coalitions that have previously received DFC funding but, for whatever reason, experienced a lapse in funding, may reapply for funding to complete their five-year funding cycle. For example, if “Coalition XYZ” received DFC funding for Years 1 and 2, but did not receive funding for Year 3, Coalition XYZ may apply for funding for Years 3, 4 and 5 under this RFA. Coalition XYZ may not, however, reapply for Year 1 or Year 2 funding.

Coalitions that have completed their first five-year funding cycle may request up to \$125,000 per year for Years 6, 7, 8, 9 and 10 of a second five-year cycle.

All applicants must clearly state the program award year for which they are applying (e.g., Year 1, Year 2, etc.) Please indicate in Section J of the application how many years, and which specific years, you have received DFC support.

Coalitions that have received 10 years of DFC funding should refer to the Year 11 Policy outlined in Part III of this RFA under “DFC Eligibility Requirements.”

2. FUNDING MECHANISM

DFC awards will be made as grants.

III. ELIGIBILITY REQUIREMENTS

1. DFC ELIGIBLE APPLICANTS

The Drug Free Communities Act of 1997 (Public Law 105-20) and its subsequent Reauthorization Acts (Public Law 107-82 and Public Law 109-469), authorize initial grant funding or renewal grant funding for coalitions who meet the criteria outlined below.

DFC grant funds are intended to support community-based coalitions. **The following is a summary of the DFC eligibility requirements and the minimum documentation applicants must provide in Part V, Section G (“Documentation for Eligibility Requirements”) of their application. If an application does not meet all the eligibility requirements, it will not be forwarded to peer review. Each year, DFC grantees MUST demonstrate compliance with all of these eligibility criteria to be considered for continued funding. See Section G: Documentation for Eligibility Requirements.**

See Attachment 6 for further information on guidance for the use of a “fiscal agent” as described below and Attachment 7 for a sample MOU between the coalition and the fiscal agent.

DFC ELIGIBILITY REQUIREMENTS	HOW AND WHERE TO DOCUMENT
<p><i>1.1 The coalition must be a legally eligible entity. The coalition must be an organization legally eligible to apply for a grant or must make arrangements with an organization that will apply for the grant on behalf of the coalition and serve as the legal and fiscal agent for the grant. That is, a single organization (i.e., the coalition or its fiscal agent) must be the legal applicant, the recipient of the award, and the entity legally responsible for satisfying the grant requirements. Legal/fiscal agents acting on behalf of a coalition may be domestic public or private non-profit entities, such as State, local, or tribal governments; public or private universities and colleges; professional associations; voluntary organizations, self-help groups; consumer and provider services-oriented constituency groups; community and faith-based organizations; and tribal organizations.</i></p>	<p>1.1 How: A coalition serving as its own Fiscal Agent should simply state they are a legally eligible entity.</p> <p>If a coalition is NOT acting as its own Fiscal Agent, the applicant must include a completed Memorandum of Understanding (MOU) between the coalition and the Fiscal Agent.</p> <p>*see Sample MOU-Coalition & Fiscal Agent (Attachment 7).</p> <p>* for further information and guidance on the use of a Fiscal Agent, see Attachment 6.</p> <p>Where: Part V, Section G, Documentation for Eligibility Requirements.</p>
<p><i>1.2 The coalition must have the goal of reducing substance abuse among youth as part of its principal mission.</i></p>	<p>1.2 How: Applicants must provide a copy of the coalition’s mission statement in order to document a focus on youth substance abuse reduction and/or prevention.</p> <p>Where: Part V, Section G, Documentation for Eligibility Requirements.</p>
<p><i>1.3 The coalition must target multiple drugs and address the two major DFC goals.</i></p>	<p>1.3 How: Applicants should state that they are targeting multiple drugs and addressing the two DFC goals.</p> <p>Where: Applicants must support this statement with the information provided in Part V, Sections A-E (Project Narrative) of their applications.</p>

	Applicants must also show the targeting of multiple drugs in their logic model in Part V, Section D (Implementation).
<p>1.4 The coalition must demonstrate that coalition members have worked together on substance abuse prevention for a period of at least six months prior to the date of submission of this application. “Working together” can include but is not be limited to: acting through entities such as task forces, subcommittees, or community boards. The coalition must also demonstrate that it is “of ongoing concern” in the community. This means that the coalition has been active within six months of the date of submission of this application.</p>	<p>1.4 How: Applicants must submit two sets of meeting minutes. One set of meeting minutes must show that the coalition has been in existence for at least six months. These minutes must be from a meeting which occurred AT LEAST six months PRIOR to the date of submission of this application.</p> <p>A second set of meeting minutes must show that the coalition has been recently active. These minutes must be from a meeting which occurred WITHIN the six months prior to the date of submission of this application.</p> <p>Both sets of minutes must demonstrate that the coalition has substantial involvement and participation from its sector representatives. These minutes must also demonstrate to the satisfaction of the reviewers that the focus of the meeting is the community coalition’s efforts to prevent or reduce substance use. If a fiscal agent is applying on behalf of a coalition, the meeting minutes MUST reflect activities/business of the coalition, NOT those of the fiscal agent. Each set must include the list of attendees at the meeting and the contribution/sector that they represent. Be sure to clearly indicate the date (including month and year) that the meeting took place.</p> <p>Where: Part V, Section G, Documentation for Eligibility Requirements.</p>
<p>1.5 The coalition must demonstrate that it has substantial participation from volunteer leaders in the community. The coalition must have representation from its targeted community and include a minimum of one member from each of the following 12 sectors:</p> <ul style="list-style-type: none"> -youth (an individual 18 or under); -parents; -business community; -media; -school; -youth-serving organization; -law enforcement agencies; -religious or fraternal organizations; -civic and volunteer groups; -healthcare professionals; -State, local, or tribal governmental agencies with 	<p>1.5 How:</p> <p>1. In table format, applicants must list the 12 sectors; the member(s)/person(s) representing that sector; the name of their agency/organization; and their contribution to the coalition’s activities. Applicants must also attach <u>at least one</u> Memorandum of Understanding (MOU) from each of the 12 required sectors.</p> <p><i>* A sample table is provided as Attachment 3 of this RFA. Applicants MUST USE the same format as is found in the sample.</i></p> <p><i>* A sample MOU-Coalition & Sector Member is provided as Attachment 11 of this RFA. Applicants MUST USE the same format as is found in the</i></p>

<p><i>expertise in the field of substance abuse (if applicable, the State authority with primary authority for substance abuse); and -other organizations involved in reducing substance abuse.</i></p> <p><i>A representative of the community is defined as a coalition member if he/she participates in regularly scheduled coalition management and planning meetings and is an active participant and contributor to the coalition’s activities, events, and strategic planning. For purposes of this application, an individual coalition member may not represent more than one of the 12 sectors mentioned above. An “individual who supports or sponsors the coalition or its activities” is not necessarily the same as “an active coalition member.”</i></p>	<p><i>sample.</i></p> <p>2. An organization chart that reflects the coalition’s (NOT THE FISCAL AGENT’S) structure and its relationship to an umbrella agency, other separate entities, and volunteer and staff positions funded through DFC and matching funds.</p> <p>Where: Part V, Section G, Documentation for Eligibility Requirements.</p>
<p><i>1.6 Applicants/fiscal agents may be awarded only one grant at a time through the DFC Support Program.</i></p>	<p>1.6</p> <p>How: Applicants must print and sign the Assurance Sheet which is included as Attachment 8 of this RFA.</p> <p>Where: Part V, Section G, Documentation for Eligibility Requirements (include Attachment 8)</p>
<p><i>1.7 Two coalitions may not serve the same geographic area unless both coalitions have clearly described their plan for collaboration in their applications and each coalition has independently met the eligibility requirements.</i></p>	<p>1.7</p> <p>How: Each applicant who overlaps with an existing or newly applying DFC coalition (see www.ondcp.gov/dfc for a list of existing DFC Coalitions by State) must provide detailed plans for collaboration and each must meet the eligibility requirements.</p> <p>How: If an applicant is serving an area already served by a DFC grantee, the applicant must specifically identify the level of collaboration with that grantee and include a letter of support from that grantee.</p> <p>Where: Part V, Section G, Documentation for Eligibility Requirements.</p>
<p><i>1.8 The coalition must demonstrate that it addresses substance abuse prevention in the community in a comprehensive and long-term fashion and works to develop consensus regarding the priorities of the community to combat substance abuse among youth.</i></p>	<p>1.8</p> <p>How: No separate documentation required. This eligibility criterion should be reflected in the applicant’s narrative response (Sections A-E). In answering the questions throughout the narrative, applicants should demonstrate that the coalition meets this eligibility requirement.</p>

<p><i>1.9 Documentation that the coalition is not applying for an 11th year of DFC Funding</i></p>	<p>1.9 How: Applicants must print and sign the Assurance Sheet which is included as Attachment 9 of this RFA.</p> <p>Where: Part V, Section G, Documentation for Eligibility Requirements.</p>
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Year 11 Policy

Under the DFC Act, grantees may not receive DFC funding for more than ten years. ONDCP believes that the funding limitation is intended to apply to DFC coalitions and not to fiscal agents. Specific restrictions on coalitions and fiscal agents are outlined below. Receipt of DFC Mentoring Grant funds does not apply toward your ten years of DFC grant funding for the purposes of this policy.

Coalitions:

1. A coalition that has received ten years of direct DFC funding is not eligible to receive additional funds through the DFC program.
2. A coalition that has received 10 years of DFC funds through a fiscal/legal agent(s) is no longer eligible to receive funds through the DFC program, regardless of how long they have been served by that fiscal agent.

For example, if Coalition X has received DFC funding through Fiscal Agent Y for six years, and Fiscal Agent Z for four years, Coalition X is no longer eligible to receive DFC funds.

3. A coalition that has received ten years of DFC funding may not receive additional DFC through a new or different fiscal agent.
4. A coalition that proposes to serve a target community that has already been served for 10 years by another DFC-funded coalition must demonstrate to the satisfaction of the DFC Administrator that it is unique and distinct from the coalition that has already served the same community.

To be considered “unique and distinct,” the new coalition must be made up of different representatives from, where possible, different organizations in the community. Additionally, the coalition should have different leadership and have a different strategic plan from any previously funded organization serving the same area. Personnel and plans from the original coalition may not be repurposed, redressed, and/or renamed in order to receive funds through DFC as a “new” coalition.

Applicants are asked to demonstrate compliance with this requirement in Section V-G of the RFA, “Documentation of Eligibility Requirements.” Issuing false or misleading

statements in response to these requirements is unlawful and subject to criminal penalties, 18 USC1001.

Fiscal Agents:

1. A fiscal agent may not receive DFC funds on behalf of the same coalition for more than 10 years.

For example, if Fiscal Agent W has received DFC funds on behalf of coalition A for 10 years, Fiscal Agent W may no longer receive funds on behalf on Coalition A.

Additionally, Coalition A may no longer receive funds directly or through a different Fiscal Agent.

2. A fiscal agent may receive DFC funds only on behalf of one coalition at a time.
3. A fiscal agent may receive a DFC grant on behalf of a ‘new’ coalition that meets the criteria above for involving different individuals or serving a different geographic area (one that has never before received DFC funding) even if that fiscal agent has received DFC funds on behalf of another coalition for 10 years. However, a fiscal agent may receive DFC funds on behalf of only one coalition at a time.

For example, if Fiscal Agent W received DFC funds on behalf of Coalition A for 10 years, it may now receive DFC funds on behalf of Coalition B (a coalition which has never before received a DFC grant and meets the criteria above).

4. A Fiscal Agent may receive a DFC grant on behalf of a coalition which has been funded through DFC in the past, as long as that coalition has not already received DFC funding for 10 years.

For example, if Coalition C previously received four years of DFC funding and is eligible to receive six more, then Fiscal Agent W may receive funds on behalf of Coalition C for up to six years.

5. A fiscal agent that is also its own coalition may receive only 10 years of DFC funding. This applies to coalitions that are their own 501(c) (3)s and serve as their own fiscal agents.

2. COST SHARING and MATCH REQUIREMENTS

The DFC authorizing legislation requires grantees to demonstrate that they have matching funds from other non-Federal sources. Applicants must itemize the match separately in the budget and explain the match separately in the budget justification. (A sample budget and budget justification is provided in Attachment 1 of this announcement). Applicants in their first cycle of DFC funding (Years 1-5) are required to have, each year, 100% match of support from other non-Federal sources. Beginning in Year 7, the percentage increases. Following is a table indicating the percentage of match required for DFC grantees in each year of the grant:

Years of Funding Requested	Matching Requirement
1-5	100%
6	100%
7	125%
8	125%
9	150%
10	150%

In-kind support may be used for the match requirement. In-kind support includes the value of goods and services donated to the operations of the DFC coalition such as office space, volunteer secretarial services, pro bono accounting services, or other personnel serving in a volunteer capacity. All proposed match supplied in the budget of the application, if approved for funding, becomes an obligation on the part of the applicant. If, for example, the applicant proposes that they will garner 300% in matching funds and receives a grant, **that grantee is legally responsible to collect and substantiate all 300% of those funds or in-kind support.** An increased match level over the required amount will not result in a higher review score. The HHS Grants Policy Statement will help you understand allowable costs, volunteer rates, conflict of interest issues, etc. This document is available at: <http://www.samhsa.gov/grants/management.aspx>.

Federal funds, including those passed through a State or local government cannot be used toward the required match, *except* in the case of a coalition that includes a representative of the Bureau of Indian Affairs, Indian Health Service, or a tribal government agency with expertise in the field of substance abuse.

3. OTHER INFORMATION

3.1 Freedom of Information Act (FOIA) Disclaimer

Please be advised that any application funded under this RFA is subject to release under Federal FOIA guidelines.

3.2 Application Form

Applicants must use Application Form PHS 5161-1 <http://www.samhsa.gov/grants/apply.aspx> and must follow all application submission requirements and formatting requirements or their application **will not be considered for funding.** Application submission and formatting requirements are provided in Attachment 2 of this document.

IV. APPLICATION AND SUBMISSION REQUIREMENTS

1. ADDRESS TO REQUEST APPLICATION PACKAGE

You may request a complete application from the SAMHSA Information Line at 1-800-SAMHSA7 [TDD: 1-800-487-4889]. You also may download the required documents from the SAMHSA Web site at: www.samhsa.gov/grants/apply.aspx.

Additional materials available on this Web site include:

- a grant writing technical assistance manual for potential applicants;
- standard terms and conditions for SAMHSA grants;
- guidelines and policies as they relate to SAMHSA grants (e.g., guidelines on cultural competence, consumer and family participation, and evaluation); and
- a list of certifications and assurances referenced in item 21 of the (SF) 424 v2.

When submitting an application, be sure to type “**SP-08-002 – DFC Support Program**” in Item Number 12 on the face page of the application form. Also, applicants must provide a DUNS Number on the face page of the application. To obtain a DUNS Number, access the Dun and Bradstreet Web site at www.dunandbradstreet.com or call 1-866-705-5711.

Application support information about this grant may be found on the Drug Free Communities Web site at www.ondcp.gov/dfc. General information about writing applications for SAMHSA grants is available online at <http://www.samhsa.gov/grants/apply.aspx>.

2. CONTENT AND FORM OF APPLICATION SUBMISSION

Information regarding required documents, required application components, and application formatting requirements is available in Attachment 2 of this RFA.

Applicants should note that failure to comply with certain application formatting requirements in Attachment 2 and the PHS 5161-1 will result in their application being screened out from consideration for funding.

3. SUBMISSION DATES AND TIMES

Applications must be received by **March 21, 2008**. You will be notified by postal mail that your application has been received within 30 days. Additional submission information is available in Attachment 2 of this RFA. **Applications that are not received by the application deadline, as described in Attachment 2 of this RFA, will not be considered for funding.**

4. INTERGOVERNMENTAL REVIEW

Applications for this funding opportunity must comply with Executive Order 12372 (E.O.12372), as implemented through Department of Health and Human Services (DHHS) regulation at 45 CFR Part 100, which sets up a system for State and local review of applications for Federal financial assistance. Instructions for complying with E.O.12372 are provided in Attachment 2 of this RFA. A current listing of State Single Points of Contact (SPOCs) is included in the application kit and is available at www.whitehouse.gov/omb/grants/spoc.html.

V. APPLICATION REVIEW INFORMATION

1. EVALUATION CRITERIA

In the Project Narrative section of the application, you should describe how you will use DFC grant and matching funds according to the Evaluation Criteria outlined in Sections A-F below. Your application will be reviewed and scored according to the quality of your responses to the questions in Sections A-E. Reviewers will score Section F according to the information you provide in your Budget and Budget Justification.

- In developing the Project Narrative section of your application, please use the instructions outlined below, which have been tailored to this program. **These are to be used instead of the “Program Narrative” instructions found in the PHS 5161-1.**
- Sections A-E of your Project Narrative, may be no longer than 25 pages combined. There is no page limit for your Budget and Budget Justification, which comprises all of Section F.
- You must use the six section headings listed below in developing your Project Narrative. Be sure to place the required information in the correct section, or it will not be considered. **Your application will be scored according to how well you answer the questions or respond to the requests in each section of the Project Narrative.**
- **You should answer every question and respond to every request in each category of the Project Narrative below (Community Assessment, Capacity Building, Strategic and Action Planning, Implementation, and Evaluation) individually. You must provide a narrative response with the question or request shown directly above each response.**
- **Each question will be judged on a four point scale (0-3).** 0= Unacceptable, 1= Marginal, 2= Good, and 3= Outstanding. A response is unacceptable if the reviewer judges that the response does not answer the question. A response is judged marginal if it falls short of adequately addressing the question. A response is good when, in the reviewer’s judgment, the response to the item is adequate but not exceptional. A response is outstanding when, in the reviewer’s judgment, the response is fully comprehensive and exceptional.
- **The number of the points you receive for each question will be totaled to create a total score for that section. Attachment 13 provides copies of the score sheets that will be used by peer reviewers to score applications.**
- All peer reviewed applications will receive a final score between 0 and 100.
- Applicants should consider cultural competence in each section of the Project Narrative. Coalitions should assess the substance abuse problems in their community and also the connection between culture and diversity to substance abuse problems. As the strategic

plan is developed and implemented, cultural issues should be considered and appropriately addressed. This includes ensuring that staff and volunteers adequately represent the population being addressed, members of the population have a voice in the plan, and strategies are culturally appropriate and address the needs of the population being targeted.

Guidelines for addressing cultural competency for coalitions can be found on the Coalition Institute's Web site at www.coalitioninstitute.org. Under the section labeled Coalition Resources, click on "Cultural Competency Primer (PDF)."

- The Supporting Documentation you provide in Sections G-K will be considered by reviewers in assessing your responses, along with the material in the Project Narrative.

Section A: Community Assessment (maximum 22 points)

In this Section, you have the opportunity to tell us about your community assessment efforts. High scorers for Section A outline what data they gathered, the key findings of that data, how they used that data to determine the problems the coalition would address in the target community, and how they plan to use data to promote positive change from the baseline established for this application. In addition to scoring each question in this Section, reviewers will also rate the section for its overall cohesiveness.

Provide a brief overview of your community. Include the following elements in your description: **(Note: The community overview, comprised of the following five bullets, is not scored.)**

- Demographics and relevant census data for your target community (include a breakdown of age, race, ethnicity, gender, socioeconomic status, culture, total population).
 - Geographic setting (urban, suburban, and/or rural). Include whether there are tribal areas or populations targeted.
 - Specific geographic boundaries of your target community.
 - Any significant trends or issues in your target community (business closings, changing demographics, drug crises, etc.).
 - Specify the total number of students enrolled in grades six (6) through twelve (12) in the specific schools and/or districts that are within your targeted geographical area.
1. Describe and identify the youth substance abuse problems in your community. Please include the following elements in your description:
 - Did you collect your own data or use existing data, or both? Identify your data sources (e.g., school surveys, focus groups, reviewing existing data sources, etc.) and how the data support your findings.
 - Specifically describe how you gathered your data.
 2. If you have baseline data on the four substance use measures used to evaluate the overall effectiveness of the DFC program below, please provide them.
 - Age of onset of any drug use (including alcohol, marijuana, and tobacco);

- Frequency of use in the past 30 days (including alcohol, marijuana, and tobacco);
- Perception of risk or harm (including alcohol, marijuana, and tobacco); and
- Perception of disapproval of use by parents (including alcohol, marijuana, and tobacco).

Include in this response, identification of the survey or instrument(s) used, or that you plan to use, and how that/those instrument(s) are a meaningful reflection of the drug use and drug perceptions of the youth of your entire community. Also discuss how the data support your findings.

OR:

If you do not currently collect data on all four DFC substance use measures, describe how the coalition will successfully begin to collect data on these measures.

3. Describe how your coalition’s intended activities will impact the four DFC substance use measures above. Based on your findings, clearly articulate the substance abuse problems you plan to address in your target community. Explain the findings from your community assessment that support your decision to address those specific problems. Cite the specific data you are using and the methods used to collect those data (primary or secondary are both acceptable). Include any details related to risk and protective factors in your community or the developmental asset issues you identified in your assessment.

Section B: Capacity Building (maximum 12 points)

In this Section of the Project Narrative, you should describe capacity building efforts within your coalition and the coalition’s ability to lead and manage change within the community. High scoring applicants effectively tie the problems identified in Section A to existing or needed resources in this Section. They can demonstrate how the coalition will best manage and leverage the use of those resources to inform and mobilize the community. In addition to scoring each question in this Section, reviewers will also rate the section for its overall cohesiveness.

1. Describe the resources that exist in your community to target problems addressed in your community assessment. For example:
 - Current financial resources (cash and in-kind);
 - Other community resources (training, knowledge, facilities, volunteers, other coalitions, etc.).
2. Discuss your community’s gaps in resources and/or services, and how you plan to address these specific challenges.
3. Discuss how you will manage the resources at your disposal.
 - a. Describe the structure of the coalition. How are decisions made and communicated?
 - b. What coalition structure do you incorporate to foster community involvement and volunteer participation? Please include any committee or subcommittee structures and decision-making processes in your answer.

- c. What role do key partners and coalition members play in your coalition? Your answer should include, but not necessarily be limited to, the required 12 key sectors (outlined in the Eligibility Requirements).
4. Describe how you will maintain and strengthen the coalition and its prevention efforts over the next year.
5. Describe how your coalition will train, encourage, and mobilize your current and future leaders, workers, and volunteers.

Section C: Strategic and Action Planning (maximum 16 points)

In this Section, you should address the Coalition’s strategic planning process and propose a five-year action plan for the DFC grant. Consider this Section your long-range plan from which you will build your one-year plans for each year of your grant. High scoring applicants in this Section provide a clear vision and identify the priority objectives needed to address problems identified in Section A. In addition to scoring each question in this Section, reviewers will also rate the section for its overall cohesiveness.

In this Section of the Project Narrative, you must provide evidence that you will specifically address the following goals of the DFC program:

Goal One:

Establish and strengthen collaboration among communities, private nonprofit agencies, and Federal, State, local, and tribal governments to support the efforts of community coalitions to prevent and reduce substance abuse among youth.

Goal Two:

Reduce substance abuse among youth and, over time, among adults by addressing the factors in a community that increase the risk of substance abuse and promoting the factors that minimize the risk of substance abuse. (Substances include, but are not limited to, narcotics, depressants, stimulants, hallucinogens, cannabis, inhalants, alcohol, and tobacco, where their use is prohibited by Federal, State or local law.) Note: DFC projects must focus on multiple drugs of abuse, including, but not limited to, those listed above. When the term “drug use” or “substance abuse” is used in this funding announcement, it is intended to include all of the above.

1. Based on the problem(s) you identified in Section A, describe your coalition’s goals, objectives, and expected outcomes.
2. Outline your five-year, long-term strategic plan to achieve Goals 1 and 2 above. Identify your priority objectives based on your discussions in Sections A and B. Discuss how your plan will impact multiple sectors of the community and lead to lasting environmental change.
3. How was your community involved in developing your Strategic Plan?

4. Describe past experience that will help you accomplish your goals and objectives of this project.

Section D: Implementation (maximum 20 Points)

This Section serves as the One-Year Action Plan that puts into action the components necessary to carry out effective community change strategies. You should include a Logic Model in your response to Section D. (A sample logic model is provided in Attachment 5 of this RFA.)

High scoring applicants in this Section effectively detail specific strategies/activities the coalition will undertake this year; the outcomes those strategies/activities will generate; how the coalition will measure progress toward achieving those outcomes; identify the persons responsible for each strategy/activity; and detail the resources necessary to achieve the desired outcomes. In addition to scoring each question in this Section on its own merit, reviewers will also rate the section for its overall cohesiveness. (Please note that reviewers will be asked to consult both your logic model and your narrative response when scoring this section.)

In this Section, describe your one year plan, which must be focused on community level change. A community coalition must focus on changing the full environment by identifying and implementing strategies and activities that will affect community norms and beliefs around alcohol and other drugs. You must also include a description of the specific, community level changes you expect will result from your activities this year. Please include in your answer any strategies to create environmental change. Again, please provide a Logic Model and an Action Plan for Year 1 of the DFC grant (see Attachment 5 for a sample logic model). In this Section, include the following:

- a detailed description of the specific strategies and activities the coalition will undertake;
- the outcome(s) that will result from each activity;
- how the coalition will measure progress toward achieving the outcomes related to each activity and how this ties into the problems identified in Section A;
- who is responsible for each activity in your coalition and community;
- the resources you will need to achieve the desired outcome for each activity.

One Year Action Plan				
Strategy	Activity	Outcome(s)	Responsibility	Resource(s)

Section E: Evaluation (maximum 20 points)

In this Section, you should describe your plans for ongoing monitoring and evaluation of the project. This includes both process and outcome measures. DFC coalitions are strongly encouraged to partner with State and local entities for data collection and evaluation (e.g., student and community surveys, local needs assessments). High scorers in this Section clearly define the methods by which they plan to measure progress toward achieving the outcomes

defined in Sections C and D and how achieving those outcomes will impact the problems identified in Section A. In addition to scoring each question in this Section, reviewers will also rate the section for its overall cohesiveness.

In this Section, you should address the following:

1. Describe how the coalition has created partnerships in order to collect, analyze, and report data and conduct evaluation activities.
2. Describe how you plan to continually track changes in data trends and check the accuracy of data developed in your original community assessment.
3. How you will use your findings from your evaluation to continually improve your coalition's one year and five year plans.
4. What is your plan to use information from the evaluation to inform, engage and recruit the target population and community members?
5. How the process evaluation of your coalition's operations and administration will be used in future planning and implementation.

From this point forward, the information you submit does not count against your 25 page limit.

Section F: Budget and Budget Justification (maximum 10 points)

In this section, applicants must provide a one-year budget and budget justification based on the structure of the sample budget that appears as Attachment 1 of this RFA. Please include (as part of this budget) a narrative justification for each budget category. The budget must include a description of matching resources and other support that the coalition expects to receive. There is no page limit for the budget and budget justification.

In this section, reviewers will determine whether or not items identified in the budget match the activities outlined in Section D of the Project Narrative. High scorers in this section present a budget that effectively and logically supports the activities and outcomes outlined in Section D. In preparing your budget and budget justification, be mindful of the information that reviewers will be looking for. These include how well your budget and budget narrative reflect a focus on fostering environmentally-based community change and how well your Federal and non-Federal (match) requests demonstrate a clear link to your strategic plan.

SUPPORTING DOCUMENTATION

Please include the information for Sections G – K as appendices to your application and label them as follows:

- *Section G:* Documentation for Eligibility Requirements
- *Section H:* Resumes and Job Descriptions

- *Section I:* Program Abstract
- *Section J:* General Applicant Information
- *Section K:* Applicant Demographics

Section G: Documentation for Eligibility Requirements: Please provide the following documentation discussed in Part III, Eligibility Requirements:

- Statement of Legal Eligibility or Fiscal Agent MOU
- Coalition mission statement
- Two sets of coalition meeting minutes
- MOUs from each of the 12 required sectors
- Sector representation table (see Attachment 3)
- An organization chart that reflects the coalition’s (NOT THE FISCAL AGENT’S) structure and its relationship to an umbrella agency, other separate entities, and volunteer and staff positions funded through DFC and matching funds.
- Applicant assurance for no more than one DFC grant (see Attachment 8)
- If applicable, those with geographic overlaps- Letter of Support from overlap coalition
- Applicant assurance regarding Year 11 funding (see Attachment 9)

Section H: Resumes and Job Descriptions: Applicants should include the following information in this Section:

A resume, no more than two pages long, for the Project Director and each paid or in-kind position. Please include a position description for each resume and, if the person has not been hired, a letter of commitment with a current resume from the individual (whenever possible). If no individual has been identified for a position, a position description is still required.

Job descriptions should be no longer than one page each for paid and in-kind personnel. Information on what should be included in resumes and job descriptions is available on page 22, Item 6, in the Program Narrative section of the PHS 5161-1 instruction page, available at www.hhs.gov/forms/PHS-5161-1.doc.

Section I: Program Abstract: Provide a program abstract, no longer than 35 lines, in this section. A sample program abstract is included in Attachment 4 of this RFA. This information will be shared with members of Congress and the media, and will be posted to the DFC Web site if the application is funded. In addition to providing the program abstract in Section I of your application, also **place a copy of the abstract immediately prior to the Table of Contents in your application.**

Section J: General Applicant Information: Please provide the following information in this section in the following order:

- Name of fiscal agent (the legal name of the applicant);
- Mailing address of fiscal agent (including zip code);
- Include: phone #, E-mail address, contact person’s name;
- Name of the coalition;
- Mailing address of the coalition (including zip code);

- Physical address of the coalition (if different);
- Include: phone #, E-mail address, contact person’s name;
- Date the coalition was established;
- Indicate whether the applicant coalition is a religious or faith-based organization;
- List drugs addressed by the coalition (including marijuana, alcohol, tobacco, methamphetamine, MDMA [ecstasy], steroids, inhalants, heroin, and any other drugs);
- If applicant has previously received a DFC award, please list each of the fiscal year(s) and the name of the Fiscal Agent;
- Amount of FY 2008 DFC funds requested;
- List of all the coalition’s other Federal and State funding sources;
- List of any of the coalition’s other funding sources (including foundations, fundraising drives, corporate support, and any other funding sources);
- A copy of a letter to the Single State Authority in your State, showing that you have informed them that you have applied for a DFC grant.

Other Contact Information – Please provide contact information for the following individuals (include for each the name, phone number, and email address):

- Official authorized to accept funds on behalf of the coalition;
- Coalition board chair/president;
- Proposed project director of the DFC grant; and
- Proposed evaluation contact for the DFC grant.

Section K: Applicant Demographics: Please provide the following information to describe the target area served by the coalition:

- Federal Congressional districts(s) served by the coalition;
- Zip code(s) of the target area served by the coalition. You must list each individual zip code served by your coalition.
- Geographical boundaries of the target area served by the coalition (i.e., city, county coordinates, street intersections, etc.);
- Total population of the target area served by the coalition;
- Total number of students enrolled in grades six (6) through twelve (12) in the specific schools and/or districts that are within the coalition’s targeted geographical area;
- Indicate whether the target area served by the coalition is primarily rural, suburban, or urban. Select based on the following definitions:
 - *Rural* – A rural area is defined as a county with a population of no more than 30,000. If rural, please identify the county(ies) served by the coalition.
 - *Suburban* – A suburban area is defined as (a) urban fringe of a large city – any incorporated place, a Census-designated place (CDP), or non-place territory within a consolidated metropolitan statistical area (CMSA) or metropolitan statistical area (MSA) of a large city and defined as urban by the U.S. Bureau of the Census; or (b) urban fringe of a midsize city – any incorporated place, CDP, or non-place within a CMSA or MSA of a midsize central city and defined as urban by the U.S. Bureau of the Census.

- *Urban* – An urban area is defined as (a) large city – a central city of a MSA or CMSA with a population of at least 250,000; or (b) midsize city – central city of an MSA or CMSA with a population of less than 250,000.
- Indicate whether the coalition serves a federally recognized tribal area.
- Indicate whether the coalition serves an area that is economically disadvantaged (as defined below).
 - *Economically disadvantaged area* – An economically disadvantaged area is defined as 20% or more children living in household below the poverty line (as defined by the U.S. Census Bureau).

Section L: Certifications, Disclosures, and Checklists. For this section you must complete the following:

- **Assurance of Compliance with SAMHSA Charitable Choice and Regulations Form SMA 170.** This form is posted on SAMHSA’s Web site with the RFA and is provided in the application kit available from the SAMHSA Information Line at 1-877-SAMHSA7 [TDD: 1-800-487-4889].
- **SF 424 Face Page (Certifications)**– You must read the list of certifications provided on the SAMHSA Web site or in the application kit before signing the face page (SF 424 v2) of the application.
- **Disclosure of Lobbying Activities** – Use Standard Form LLL found in the PHS 5161-1. Federal law prohibits the use of appropriated funds for publicity or propaganda purposes, or for the preparation, distribution, or use of the information designed to support or defeat legislation pending before the Congress or State legislatures. This includes “grass roots” lobbying, which consists of appeals to members of the public suggesting that they contact their elected representatives to indicate their support for or opposition to pending legislation or to urge those representatives to vote in a particular way. If no lobbying is to be disclosed, mark N/A on the form.
- **Checklist** – Use the checklist found in the PHS 5161. The Checklist ensures that you have obtained the proper signatures, assurances, and certifications. If you are submitting a paper application, the Checklist should be the last page. **Also include the Pre-submission Checklist provided in Attachment 14.** If you are submitting a paper application, this Checklist should be placed immediately before the last page of your application.

2. REVIEW AND SELECTION PROCESS

ONDCP and SAMHSA are committed to ensuring a competitive and standardized process for awarding DFC grants. Applications will be screened initially by ONDCP and SAMHSA to determine whether the applicant meets all the eligibility requirements outlined in Part III of this announcement. Applications submitted by eligible coalitions that meet all requirements will then be evaluated, scored, and rated by a peer review panel according to the evaluation criteria described in Part V of this announcement. **Applications submitted by applicants that do not meet the eligibility requirements will not advance to the peer review stage.**

All applications that proceed to peer review will be rated on a 100-point scale. Point values for individual elements of the application are presented in the evaluation criteria section. Peer reviewers' ratings, and any resulting recommendations, are advisory. All final grant award decisions will be made by the Director of ONDCP. The primary decision criterion is the application's final peer review score. Consistent with the Drug Free Communities Act, consideration may also be given to rural, Native American, and economically disadvantaged communities, as well as the geographic distribution of the entire grant pool.

VI. AWARD ADMINISTRATION INFORMATION

1. AWARD NOTICES

Within 30 days of receipt of your application, SAMHSA will notify you through postal mail that your application has been received. If you submit your application on time and do not receive notification by April 21, 2008 you may contact SAMHSA Peer Review at (240) 276-1199 for additional information.

After your application is reviewed, you will receive a letter from SAMHSA through postal mail that describes the general results of the review. If you are approved for funding, you will receive an additional notice, the Notice of Grant Award, signed by SAMHSA's Grants Management Officer. The Notice of Grant Award is the sole obligating document that allows the grantee to receive Federal funding for work on the grant project.

2. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS

- Grantees must comply with all terms and conditions of the grant award. SAMHSA's standard terms and conditions are available on the SAMHSA Web site at: www.samhsa.gov/grants/management.aspx.
- Grantees will be held accountable for the information provided in the application relating to performance targets. SAMHSA program officials will consider your progress in meeting goals and objectives, as well as your failures and strategies for overcoming them, when making an annual recommendation to continue the grant and the amount of any continuation award. Failure to meet stated requirements or goals and objectives may result in suspension or termination of the grant award or in reduction or withholding of continuation awards.
- In an effort to improve access to funding opportunities for applicants, SAMHSA is participating in the U.S. Department of Health and Human Services "Survey on Ensuring Equal Opportunity for Applicants." This survey is included in the application kit for SAMHSA grants. Applicants are encouraged to complete the survey and return it, using the instructions provided on the survey form.

REPORTING REQUIREMENTS

3.1 Progress and Financial Reports

Each year, grantees are required to submit two program progress reports, an annual program report, an annual classification tool survey, and financial reports.

3.2 Publications

If you are funded under this grant program, you are required to notify the Government Project Officer (GPO) and SAMHSA's Publications Clearance Officer (240-276-2130) of any materials based on the ONDCP/SAMHSA-funded project that are accepted for publication.

In addition, SAMHSA requests that grantees:

- Provide the GPO and SAMHSA Publications Clearance Officer with advance copies of publications.
- Include acknowledgment of the DFC grant program as the source of funding for the project.
- Include a disclaimer stating that the views and opinions contained in the publication do not necessarily reflect those of SAMHSA, the U.S. Department of Health and Human Services, or the Executive Office of the President, Office of National Drug Control Policy and should not be construed as such.

SAMHSA and ONDCP reserve the right to issue a press release about any publication deemed by SAMHSA or ONDCP to contain information of program or policy significance.

VII. AGENCY CONTACTS

For questions regarding program issues, contact:

Jayne S. Marshall
Center for Substance Abuse Prevention
Substance Abuse and Mental Health Services Administration
1 Choke Cherry Road
Room 4-1059
Rockville, Maryland 20857
(240) 276-1270
dfcnew2008@samhsa.hhs.gov

For questions on grants management issues, contact:

Edna Frazier
Office of Program Services, Division of Grants Management

Substance Abuse and Mental Health Services Administration
1 Choke Cherry Road
Room 7-1087
Rockville, Maryland 20857
(240) 276-1405
Edna.Frazier@samhsa.hhs.gov

ATTACHMENT 1: Sample Budget and Budget Justification

ILLUSTRATION OF A SAMPLE DETAILED BUDGET AND NARRATIVE JUSTIFICATION FOR COMPLETING SF 424A: SECTION B FOR 01 BUDGET PERIOD

(Sample for 1st year of the funding cycle)

A. Personnel: an employee of the applying agency whose work is tied to the application

FEDERAL REQUEST

Position	Name	Annual Salary/Rate	Level of Effort	Cost
Executive Director	John Doe	\$64,890	10%	\$6,489
Coordinator	To be selected	\$46,276	100%	\$46,276
			TOTAL	\$52,765

JUSTIFICATION: Describe the role and responsibilities of each position.

The executive director will provide oversight of grant, including fiscal and personnel management, community relations and project implementation and evaluation. The coordinator will coordinate coalition services and project activities, including training, coalition communication, data collection and dissemination.

NON-FEDERAL MATCH

Position	Name	Annual Salary/Rate	Level of Effort	Cost
Clerical Support	Susan Johnson	\$13.38/hr x 100 hr.		\$1,338
			TOTAL	

JUSTIFICATION: Describe the role and responsibilities of each position.

The clerical support will process paperwork, payroll, and expense reports. SOURCE OF MATCH FUNDS:

FEDERAL REQUEST (enter in Section B column 1 line 6a of form SF424A)	\$52,765
NON-FEDERAL MATCH (enter in Section B column 2 line 6a of form SF424A)	\$1,338

B. Fringe Benefits: List all components of fringe benefits rate

FEDERAL REQUEST

Component	Rate	Wage	Cost
FICA	7.65%	\$52,765	\$4,037
Workers Compensation	2.5%	\$52,765	\$1,319
Insurance	10.5%	\$52,765	\$5,540
		TOTAL	\$10,896

NON-FEDERAL MATCH

Component	Rate	Wage	Cost
FICA	7.65%	\$1,338	\$102
Workers Compensation	2.5%	\$1,338	\$33
Insurance	10.5%	\$1,338	\$140
		TOTAL	\$275

JUSTIFICATION: Fringe reflects current rate for agency SOURCE OF MATCH FUNDS:

FEDERAL REQUEST (enter in Section B column 1 line 6b of form SF424A)	\$10,896
NON-FEDERAL MATCH (enter in Section B column 2 line 6b of form SF424A)	\$275

C. Travel: Explain need for all travel other than that required by this application. Local travel policies prevail.

FEDERAL REQUEST

Purpose of Travel	Location	Item	Rate	Cost
New Grantee Training	Washington, DC	Airfare	\$200/flight x 2 persons	\$400
		Hotel	\$200/night x 2 persons x 3 nights	\$1200
		Per Diem (meals)	\$64/day x 2 persons x 3 days	\$384
Coalition training in Western US	Denver, CO (tentative location)	Airfare	\$200/flight x 2 persons	\$400
		Hotel	\$140/night x 2 persons x 3 nights	\$840
		Per Diem (meals)	\$49/day x 2 persons x 4 days	\$392
Additional coalition training	Washington, DC (tentative location)	Airfare	\$200/flight x 2 persons	\$400
		Hotel	\$200/night x 2 persons x 2 nights	\$800
		Per Diem (meals)	\$64/day x 2 persons x 3 days	\$384
Local travel		Mileage	3,000 miles @ .38/mile	\$1,140
			TOTAL	\$6,340

JUSTIFICATION: Describe the purpose of travel and how costs were determined.

The grant requires travel of two members to attend the new grantee training in Washington, DC. First-time recipients of a DFC grant are also required to send two coalition members to two additional trainings during the first year of the grant. One of these trainings will be four days long and will be held in the Western United States. The other training will be three days long and will be held in the Eastern United States. In addition to the required trainings, funds for local travel are needed to attend local meetings, project activities, and training events. Local travel rate is based on agency's personally owned vehicle (POV) reimbursement rate.

NON-FEDERAL MATCH

Purpose of Travel	Location	Item	Rate	Cost
Regional Training Conference	Chicago, IL	Airfare	\$300/flight x 2 persons	\$600
		Hotel	\$155/night x 2 persons x 2 nights	\$620
		Per Diem (meals)	\$46/day x 2 persons x 2 days	\$184
Local Travel	Outreach workshops	Mileage	400 miles x .38/mile	\$152
			TOTAL	\$1,556

JUSTIFICATION: Describe the purpose of travel and how costs were determined.

Two coalition members will attend the regional technical assistance workshop. Local travel rate is based on agency's POV reimbursement rate. SOURCE OF MATCH FUNDS:

FEDERAL REQUEST (enter in Section B column 1 line 6c of form SF424A) **\$6,340**
NON-FEDERAL MATCH (enter in Section B column 2 line 6c of form SF424A) **\$1,556**

D. Equipment: an article of tangible, nonexpendable, personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit – federal definition. If applicant agency defines “equipment” at lower rate then follow the applying agency’s policy.

FEDERAL REQUEST – (enter in Section B column 1 line 6d of form SF424A) **\$ 0**

Item(s)	Rate	Cost
None		0

NON-FEDERAL MATCH – (enter in Section B column 2 line 6d of form SF424A) **\$ 0**

E. Supplies: materials costing less that \$5,000 per unit and often having one-time use

FEDERAL REQUEST

Item(s)	Rate	Cost
General office supplies	\$50/mo. x 12 mo.	\$600
Postage	\$37/mo. x 8 mo.	\$296
Laptop Computer	\$900	\$900
Printer	\$300	\$300
Projector	\$900	\$900
Copies	8000 copies x .10/copy	\$800
Computer update (if needed)		\$250
	TOTAL	\$4,046

JUSTIFICATION: Describe need and include explanation of how costs were estimated

Office supplies, copies and postage are needed for general operation of the project. The laptop computer is needed for both coalition work and presentations. Currently, the lap top computer and projector are needed for presentations and outreach workshops. Current computer (see match) may need updating to accommodate the necessary reporting formats.

NON-FEDERAL MATCH

Item(s)	Rate	Cost
Computer	\$500	\$500
Postage	\$37/mo. x 4 mo	\$148
	TOTAL	\$648

JUSTIFICATION: Describe need and include explanation of how costs were estimated.

Supplies are needed to complete the programmatic elements as outlined in the strategic plan. SOURCE OF MATCH:

FEDERAL REQUEST – (enter in Section B column 1 line 6e of form SF424A) **\$ 4,046**

NON-FEDERAL MATCH - (enter in Section B column 2 line 6e of form SF424A) **\$ 648**

F. Contract: generally amount paid to non-employees for services or products. A consultant is a non-employee who provides advice and expertise in a specific program area.

FEDERAL REQUEST

Name	Cost
1. To be selected Environmental Strategy Consultation Rate is \$150/day for 35 days = \$5,250 Travel 500 miles @ .38/mile = \$190	\$5,440

2. To be selected	Dangers of Meth 1.5 minute Public Service Announcement (PSA)	\$3,000
3. To be selected	Evaluation Report	\$4,500
4. To be selected	Meth Training for Coalition members Trainers: rate is \$300/day for 4 days = \$1,200 Materials: approx. \$5/person X 25 people = \$125 Room Rental = \$75 Travel for Trainers = Flight \$300/person X 2 people = \$600 Per Diem - \$46/day x 4 days x 2 people = \$368	\$2,368
5. Local PD	Tobacco Compliance Checks 6 checks @ 300/check	\$1,800
6. To be selected	Responsible Server Training Trainer: rate \$500/day	\$500
7. To be selected	Television advertising to run "Debunk the Myth" ads 5x/week x \$50/ad X 52 wks.	\$13,000
	TOTAL	\$30,608

JUSTIFICATION: Explain the need for each agreement and how they relate to the overall project.

1) This person will advise staff and coalition members designing environmental strategies. The rate is based on the average consulting rate in this area. Consultant is expected to make up to 6 trips (each trip a total of 60 miles) to meet with staff and the coalition. Mileage rate is based on POV reimbursement rate. A request for proposal will be issued to secure a competitive bid before final selection is made. 2) A local media outlet will produce a 1.5-minute PSA from the youth drug awareness video for the local television market. Tasks will include cutting and editing the tape, preparing introductory statement, inserting music and/or narrative, and synchronizing the sound track. 3) A local evaluation specialist will be contracted to produce the year-end results of the coalition efforts. A request for proposal will be issued to secure a competitive bid before final selection is made. 4) As outlined in the strategic plan training on meth and how to implement environmental strategies outlined in the strategic plan is needed by coalition members. 5) Compliance checks are part of the strategic plan 5) Funds needed to pay for trainers, All other components of the training will be covered under the Underage Drinking Initiative match (see MOU).

NON-FEDERAL MATCH

Name	Service	Cost
1. Coalition members	Participation in coalition activities as outlined in strategic plan 12 members x \$17.50 x10 hr./mo. (average) x 12 mo.	\$25,200
2. Local School District	Student Assistance Program – MOU demonstrates breakout of services	\$15,000
3. Local PD	Alcohol Compliance Checks Officer Overtime: 8 officers @ \$50/hour = \$400 x 6 checks = \$ 2,400	\$3,084
3. Youth members	Alcohol Compliance Checks \$200/youth X 8 youth x 6 checks = \$9,600 16 parent chaperones X 6 checks X \$25/check = \$2,400	\$ 12,000
4. Media sponsorship	Local cable station agrees to run Meth PSA an average of 5 times/week for 6 mo. – average rate for paid PSA is \$50/announcement	\$6,000
5. Media sponsorship	As part of the "Debunk the Myth" campaign contract will require match for at least one ad for each purchased.	\$13,000
	TOTAL	\$74,284

JUSTIFICATION: Explain the need for each agreement and how they relate to the overall project.

SOURCE OF MATCH: 1) Twelve (12) coalition members are volunteering their time to participate and facilitate coalition activities as outlined in the strategic plan. Hourly rate is based on average salaries of the volunteers. Travel is based on average distance between volunteer’s location and the meeting sites. Mileage rate is based on POV reimbursement rate. 2) Local School District is donating their contracted services to provide drug testing, referral and case management for 50 non-school attending youth. Average cost is \$300/person. 3) Local PD and Youth members are paid through a grant from the State Alcohol Commission. 4) As part of the contract for producing the Meth PSA the local media outlet agrees to run the ads on its cable network. This is part of the original contract signed by all parties. 5) contract will require at least a one for one match on any purchased advertising

FEDERAL REQUEST – (enter in Section B column 1 line 6f of form SF424A) \$ 30,608

NON-FEDERAL MATCH – (enter in Section B column 2 line 6f of form SF424A) \$74,284

G. Construction: NOT ALLOWED – Leave Section B columns 1&2 line 6g on SF424A blank.

H. Other: expenses not covered in any of the previous budget categories

1. FEDERAL REQUEST

Item	Rate	Cost
1. Rent	\$500/mo x 12 mo.	\$6,000
2. Telephone	\$100/mo. x 12 mo.	\$1,200
3. Student Surveys	\$1/survey x 2784	\$2,784
4. Brochures	.89/brochure X 1500 brochures	\$1,335
5. Meth literature for merchants	Window Clings Handouts (printing)	\$3,000 \$1,500
TOTAL		\$15,819

JUSTIFICATION: Breakdown costs into cost/unit: i.e. cost/square foot. Explain the use of each item requested.

1) Rent is figured on the cost of space used by personnel 2) Monthly telephone costs reflect the % of effort for the personnel listed in this application. 3) Survey copyright requires the purchase of the ATOD surveys. 4) Brochures will be used at various community functions (health fairs and exhibits) 5) Clings and handouts will be used by local merchants.

2. NON-FEDERAL MATCH

Item	Rate	Cost
1. Space rental	Varies between \$75/event to over \$300/event	\$8,300
2. Mentoring Program	12 mentors X 10 hrs/mo X 17.50 MOU demonstrates breakout of services	\$25,200
3. Internet services	\$26/mo. x 12 mo.	\$312
4. Student surveys	\$1/survey x 2045surveys	\$2,045
5. Printing	\$300/run x 6 runs	\$1,800
6. Transition program for youth & parents	1 person x \$25/hr. x 3 hrs = \$75 100 parent packets x \$3.50/packet = 350	\$425
7. Health Fair	Coordination and administration MOU demonstrates breakout of services	\$1,500
8. Physician/Health Provider diagnostic tools and training	Coordination and administration MOU demonstrates breakout of services	\$2,000
9. Drug Free Workplace Initiative	Coordination and administration MOU demonstrates breakout of services	\$3,000
10. Underage Drinking Initiative	Coordination and administration MOU demonstrates breakout of services	\$3,000

	TOTAL	\$47,582
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JUSTIFICATION: Breakdown costs into cost/unit: i.e. cost/square foot and name or organization. Explain the use of each item requested. All activities are reflected in the strategic plan.

1) Various coalition and community organizations donate space for the various activities outlined in the strategic plan, such as teen night out, community health fairs, and health care provider training. The prices range from \$75/event for the School District to over \$300/event for the local hotel meeting rooms. 2) Local Mentoring group will provide mentors for at least 10 youth. 3) The applying agency is donating the internet services for the full-time coordinator. 4) The Local School District is donating the cost of the student surveys. 5) ABC Church is donating the printing for the bi-monthly newsletter. 6) Local Behavioral Health organization will provide presentation and parent information packets for parents of children transitioning from junior high to high school. 7) Local Fraternal Organization will coordinate community-wide health fair. 8) Community Hospital will work with physicians to change intake process to include questions regarding alcohol and tobacco use. 9) Local Chamber of Commerce will coordinate coalition's drug free workplace initiative as outlined in the strategic plan. 10) Local SA Prevention Member will coordinate the Underage Drinking Initiative outlined as outlined in the strategic plan.

FEDERAL REQUEST – (enter in Section B column 1 line 6h of form SF424A) **\$ 15,819**

NON-FEDERAL MATCH – (enter in Section B column 2 line 6h of form SF424A) **\$ 47,582**

Indirect cost rate: Grantees that have not established indirect cost rates and wish to claim indirect costs are required to submit an indirect cost proposal to the appropriate office within 90 days from the start date of the project period. If the grantee requests indirect cost reimbursement but does not have an approved rate agreement at the time of award, the grantee shall be limited to a provisional rate equaling one-half of the indirect costs requested, up to a maximum of 10 percent of salaries and wages only. If the recipient fails to provide a timely proposal, indirect costs paid in the anticipation of establishment of a rate must be disallowed. **SAMHSA will not accept a research indirect cost rate.** The grantee must use another sponsored program rate or lowest rate available.

If claiming Indirect Cost include a copy of the fully executed, negotiated, indirect cost agreement. Indirect costs are taken on **total direct costs** not total amount of the available award.

TOTAL DIRECT COSTS:

FEDERAL REQUEST – (enter in Section B column 1 line 6i of form SF424A) **\$120,474**

NON-FEDERAL MATCH – (enter in Section B column 2 line 6i of form SF424A) **\$125,683**

TOTAL INDIRECT COSTS:

FEDERAL REQUEST – (enter in Section B column 1 line 6j of form SF424A) **\$4,526**

NON-FEDERAL MATCH – (enter in Section B column 2 line 6j of form SF424A) **\$0**

TOTAL PROJECT COSTS: Sum of Total Direct Costs and Indirect Costs

FEDERAL REQUEST (enter in Section B column 1 line 6k of form SF424A) **\$125,000**

NON-FEDERAL MATCH (enter in Section B column 2 line 6k of form SF424A) **\$125,000**

BUDGET SUMMARY:

Category	Federal Request	Non-Federal Match	Total
Personnel	\$52,765	\$1,338	\$54,103
Fringe	\$10,896	\$275	\$11,171
Travel	\$6,340	\$1,556	\$7,896
Equipment	0	0	0
Supplies	\$4,046	\$648	\$4,694
Contractual	\$30,608	\$74,284	\$104,892
Other	\$15,819	\$47,582	\$63,401
Total Direct Costs*	\$120,474	\$125,683	\$246,157
Indirect Costs	\$4,526	\$	\$4,526
Total Project Costs	\$125,000	\$125,683	\$250,683

The Federal dollars requested for all object class categories for the first 12-month period are entered on Form 424A, Section B, Column 1, line 6a-6i.

Budget definitions:

Direct Costs: Those costs used for salaries, travel, equipment, supplies, contractual arrangements and other costs associated with paying for tangible goods.

Indirect Costs: Those costs that cannot be identified readily and specifically with a particular sponsored project program or activity but are necessary to the operation of the organization (i.e. overhead, facility maintenance) required negotiated rate. (see PHS 5161-1)

The cost principles address four tests in determining the allowability costs. The tests are as follows:

- *Reasonableness (including necessity).* A cost is reasonable if, in its nature or amount, it does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the cost. The cost principles elaborate on this concept and address considerations such as whether the cost is of a type generally necessary for the organization's operations or the grant's performance, whether the recipient complied with its established organizational policies in incurring the cost or charge, and whether the individuals responsible for the expenditure acted with due prudence in carrying out their responsibilities to the Federal government and the public at large as well as to their organization.
- *Allocability.* A cost is allocable to a specific grant, function, department, or other component, known as a cost objective, if the goods or services involved are chargeable or assignable to that cost objective in accordance with the relative benefits received or other equitable relationship. A cost is allocable to a grant if it is incurred solely in order to advance work under the grant; it benefits both the grant and other work of the organization, including other grant-supported projects or programs; or it is necessary to the overall operation of the organization and is deemed to be assignable, at least in part, to the grant.
- *Consistency.* Recipients must be consistent in assigning costs to cost objectives. They must be treated consistently for all work of the organization under similar circumstances, regardless of the source of funding, so as to avoid duplicate charges.
- *Conformance.* This test of allowability—conformance with limitations and exclusions contained in the terms and conditions of award, including those in the cost principles—may vary by the type of activity, the type of recipient, and other characteristics of individual awards. “Allowable Costs and Activities” below provides information common to most HHS grants and, where appropriate, specifies some of the distinctions if there is a different treatment based on the type of grant or recipient.

These four tests apply regardless of whether the particular category of costs is one specified in the cost principles or one governed by other terms and conditions of an award. These tests also apply regardless of treatment as a direct cost or an indirect cost. The fact that a proposed cost is awarded as requested by an applicant does not indicate a determination of allowability.

CALCULATION OF FUTURE BUDGET PERIODS

(Based on first 12-month budget period)
(Sample for grants in the first 5-year funding cycle)

Input, review and verify the accuracy of your future year's budget estimates corresponding to the Strategic Plan and Logic Model. Complete the projected budget for the 2nd through the 5th project year.

Total federal share is not to exceed \$125,000 in any year.

Category	2 nd project year		3 rd project year		4 th project year		5 th project year	
	Federal	Match	Federal	Match	Federal	Match	Federal	Match
Personnel								
- Executive Director	\$6,489		\$6,489		\$6,489		\$6,489	
- Coordinator	\$46,276		\$46,276		\$46,276		\$46,276	
- Clerical Support		\$1,338		\$1,338		\$1,338		\$1,338
TOTAL								
	\$52,765	\$1,338	\$52,765	\$1,338	\$52,765	\$1,338	\$52,765	\$1,338
Fringe Benefits	\$10,896	\$275	\$10,896	\$275	\$10,896	\$275	\$10,896	\$275
Travel	\$5,000	\$2,000	\$5,000	2,250	\$4,000	2,500	\$4,000	2,500
Equipment								
Supplies	\$4,500	\$2,000	\$4,500	\$2,000	\$4,000	2,000	4,000	2,000
Contract								
- Evaluation	\$4,500		\$4,500		\$4,500		\$4,500	
- Targeted media campaigns	\$15,000	\$20,000	\$15,000	\$30,000	\$15,000	\$30,000	\$10,000	\$35,000
- Training								
- Compliance checks	\$4,000		\$3,000		\$2,500		\$2,500	
- Coalition members	\$1,000	\$12,000	\$1,500	\$14,000	\$1,500	\$14,000	\$1,500	\$14,000
		\$35,000		\$40,000		\$40,000		\$40,000
Other	\$24,497	\$52,387	\$24,997	\$35,137	\$26,997	\$34,887	\$31,997	\$29,887
Total Direct Costs								
Total Indirect Costs	\$2,842		\$2,842		\$2,842		\$2,842	
Total Costs	\$125,000	\$125,000	\$125,000	\$125,000	\$125,000	\$125,000	\$125,000	\$125,000

Provide reason(s) for anticipated changes from the first year budget.

NOTE: The total Federal Dollars (direct + indirect costs) requested for the second through the fifth 12-month budget periods are entered on Form 424A, Section E, Columns (b) = Year 2; Column (c) = Year 3; Column (d) = Year 4; Column (e) = Year 5. The amounts entered onto Form 424A, Section E are used to determine the total Federal funds a grantee may request in each of the project years.

If you are applying for a second 5-year funding cycle the match required for:
 Years 7 and 8 is equal to at least 125% of the total Federal request
 Years 9 and 10 is equal to at least 150% of the total Federal request.

ATTACHMENT 2: Application Submission and Formatting Requirements

CONTENT AND FORM OF APPLICATION SUBMISSION

APPLICATION KIT

SAMHSA application kits include the following documents:

- PHS 5161-1 (revised July 2000) – Includes the face page (SF 424 v2), budget forms, assurances, certification, and checklist. You must use the PHS 5161-1. **Applications that are not submitted on the required application form will be screened out and will not be reviewed.**
- Request for Applications (RFA) – Provides specific information about the availability of funds along with instructions for completing the grant application. This document is the RFA. The RFA will be available on the SAMHSA Web site (www.samhsa.gov/Grants/index.aspx) and a synopsis of the RFA is available on the Federal grants Web site (www.Grants.gov).

You must use all of the above documents in completing your application.

REQUIRED APPLICATION COMPONENTS

To ensure equitable treatment of all applications, applications must be complete. In order for your application to be complete, it must include all the required application components (Face Page, Budget Form, Abstract, Table of Contents, Budget Form, Project Narrative and Supporting Documentation).

- Face Page** – SF 424 v2 is the Face Page. This form is part of the PHS 5161-1. [Note: Applicants must provide a Dun and Bradstreet (DUNS) number to apply for a grant or cooperative agreement from the Federal Government. SAMHSA applicants are required to provide their DUNS number on the face page of the application. Obtaining a DUNS number is easy and there is no charge. To obtain a DUNS number, access the Dun and Bradstreet Web site at www.dunandbradstreet.com or call 1-866-705-5711. To expedite the process, let Dun and Bradstreet know that you are a public/private nonprofit organization getting ready to submit a Federal grant application.]
- Budget Form:** Use SF 424A which is part of the 5161-1. Fill out Sections B, C, and E of the SF 424A. (Your completed form SF 424A should reflect the final numbers as they appear in your Sample Budget – see Attachment 1 of this RFA).
- Abstract** – Your total abstract should not be longer than 35 lines. In the first five lines or less of your abstract, write a summary of your project that can be used, if your project is funded, in publications, reporting to Congress, or press releases. A sample abstract is

provided in Attachment 4 of this RFA. **Your abstract should be provided in Section I of your application and a copy of your abstract placed prior to the Table of Contents.**

- ❑ **Table of Contents** – Include page numbers (beginning with your Table of Contents as Page 1) for every page of the application including Supporting Documentation.
- ❑ **Project Narrative and Supporting Documentation** – The Project Narrative describes your project. It consists of Sections A through E. Sections A-E together may not be longer than 25 pages. (Remember that if your Project Narrative starts on page 5 and ends on page 30, it is 26 pages long, not 25 pages.) More detailed instructions for completing each section of the Project Narrative are provided in “Section V - Application Review Information” of this document.

The Supporting Documentation (Sections G through K) provides additional information necessary for the review of your application. This supporting documentation should be provided as appendices as listed below:

- *Section G:* Documentation for Eligibility Requirements
- *Section H:* Resumes and Job Descriptions
- *Section I:* Program Abstract
- *Section J:* General Applicant Information
- *Section K:* Applicant Demographics
- *Section L:* Certifications, Disclosures, and Checklists

APPLICATION FORMATTING REQUIREMENTS

Applicants also must comply with the following basic application requirements. Applications that do not comply with these requirements will not be considered for funding.

- ❑ Use the PHS 5161-1 application form.
- ❑ Applications must be received by the application due date and time, as detailed below.
- ❑ Information provided must be sufficient for review.
- ❑ Text must be legible. Pages must be typed in black ink, single-spaced, using a font of Times New Roman 12, with all margins (left, right, top, bottom) at least one inch each. (For Project Narratives submitted electronically, see separate requirements below under “Submission of Electronic Applications.”)
- ❑ To ensure equity among applications, page limits for the Project Narrative cannot be exceeded.
- ❑ Paper must be white paper and 8.5 inches by 11.0 inches in size.

To facilitate review of your application, follow these additional guidelines. Failure to adhere to the following guidelines will not, in itself, result in your application being screened out and returned without review. However, following these guidelines will help reviewers to consider your application.

- ❑ Pages should be typed single-spaced in black ink with one column per page. Pages should not have printing on both sides.
- ❑ Pages should be **numbered consecutively** from beginning to end so that information can be located easily during review of the application. Sections should be provided in the order they are presented in the RFA (A, B, C, etc.) The two exceptions to this are that the front of the application submitted should be Standard form 424 v2 and Standard Form 424A. These pages are NOT to be numbered. The next page should be the one-page abstract (from Section I) followed by the Table of Contents which should be page 1. Immediately following the Table of Contents will be the responses to each section in order (beginning with Section A).
- ❑ Send the original application and two copies to the mailing address provided below under Other Submission Requirements. Please do not use staples, paper clips, and fasteners. Nothing should be attached, stapled, folded, or pasted. Do not use heavy or lightweight paper or any material that cannot be copied using automatic copying machines. Odd-sized and oversized attachments such as posters will not be copied or sent to reviewers. Do not include videotapes, audiotapes, or CD-ROMs.

GUIDANCE FOR ELECTRONIC SUBMISSION OF APPLICATIONS

If you would like to submit your application electronically, you may search www.Grants.gov for the downloadable application package by the funding announcement number (called the opportunity number) or by the Catalogue of Federal Domestic Assistance (CFDA) number. You can find the CFDA number on the first page of this funding announcement.

You must follow the instructions in the User Guide available at the www.Grants.gov apply site, on the Help page. In addition to the User Guide, you may wish to use the following sources for help:

- By e-mail: support@Grants.gov
- By phone: 1-800-518-4726 (1-800-518-GRANTS). The Customer Support Center is open from 7:00 a.m. to 9:00 p.m. Eastern Time, Monday through Friday, excluding Federal holidays.

If this is the first time you have submitted an application through Grants.gov, you must complete four separate registration processes before you can submit your application. Allow at least two weeks (10 business days) for these registration processes, prior to submitting your application. The processes are: 1) DUNS Number registration; 2) Central Contractor Registry (CCR) registration; 3) Credential Provider registration; and 4) Grants.gov registration.

It is strongly recommended that when using Grants.Gov you submit your grant application using Microsoft Office products (e.g., Microsoft Word, Microsoft Excel, etc.). If you do not have access to Microsoft Office products, you may submit PDF files. Directions for creating PDF files can be found on the Grants.gov Web site. Use of file formats other than Microsoft Office or PDF may result in your file being unreadable by our staff.

The Project Narrative must be a separate document in the electronic submission. Formatting requirements for SAMHSA grant applications are described above. These requirements also apply to applications submitted electronically, with the following exceptions only for Project Narratives submitted electronically in Microsoft Word. These requirements help ensure the accurate transmission and equitable treatment of applications.

- *Text legibility:* Use a font of Times New Roman 12, line spacing of single space, and all margins (left, right, top, bottom) of at least one inch each. Adhering to these standards will help to ensure the accurate transmission of your document.
- *Amount of space allowed for Project Narrative:* The Project Narrative for an electronic submission may not exceed **12,875** words. **If the Project Narrative for an electronic submission exceeds the word limit, the application will be screened out and will not be reviewed.** To determine the number of words in your Project Narrative document in Microsoft Word, select file/properties/statistics.

Keep the Project Narrative as a separate document. Please consolidate all other materials in your application to ensure the fewest possible number of attachments. Be sure to label each file according to its contents, e.g., “Sections G-L”.

Ensure all pages in your application are numbered consecutively, with the exception of the standard forms in the PHS-5161 application package. **Documents containing scanned images must also contain page numbers to continue the sequence.** Failure to comply with these requirements may affect the successful transmission and consideration of your application.

Applicants are strongly encouraged to submit their applications to Grants.gov early enough to resolve any unanticipated difficulties prior to the deadline. You may also submit a back-up paper submission of your application. Any such paper submission must be received in accordance with the requirements for timely submission detailed below under Submission Dates and Times. The paper submission must be clearly marked: **“Back-up for electronic submission.”** The paper submission must conform to all requirements for non-electronic submissions. If both electronic and back-up paper submissions are received by the deadline, the electronic version will be considered the official submission.

After you electronically submit your application, you will receive an automatic acknowledgement from Grants.gov that contains a Grants.gov tracking number. It is important that you retain this number. **Include the Grants.gov tracking number in the top right corner of the face page (SF 424 v2) for any paper submission. Receipt of the tracking number is the only indication that Grants.gov has successfully received and validated your application. If you do not receive a Grants.gov tracking number, you may want to contact the Grants.gov help desk for assistance.**

The Grants.gov Web site does not accept electronic signatures at this time. Therefore, you must submit a signed paper original of the face page (SF 424 v2), the assurances (SF 424B), and hard copy of any other required documentation that cannot be submitted electronically. **You must include the Grants.gov tracking number for your application on these documents with original signatures, on the top right corner of the face page, and send the documents to the following address. The documents must be received at the following address within 5 business days after your electronic submission.** Delays in receipt of these documents may impact the score your application receives or the ability of your application to be funded.

For United States Postal Service:

Crystal Saunders, Director of Grant Review
Office of Program Services
Substance Abuse and Mental Health Services Administration
Room 3-1044
1 Choke Cherry Road
Rockville, MD **20857**
ATTN: Electronic Applications

For other delivery services, change the zip code to 20850.

If you require a phone number for delivery, you may use (240) 276-1199.

SUBMISSION DATES AND TIMES

Applications are due by close of business on **March 21, 2008**. Hard copy applications are due by 5:00 PM (EST). Electronic applications are due by 11:59 PM (EST). **Hand carried applications will not be accepted. Applications may be shipped using only DHL, Federal Express (FedEx), United Parcel Service (UPS), or the United States Postal Service (USPS).**

You will be notified by postal mail that your application has been received.

Your application must be received by the application deadline or it will not be considered for review. Please remember that mail sent to Federal facilities undergoes a security screening prior to delivery. You are responsible for ensuring that you submit your application so that it will arrive by the application due date and time.

If an application is mailed to a location or office (including room number) that is not designated for receipt of the application and, as a result, the designated office does not receive your application by the deadline, your application will be considered late and ineligible for review.

SAMHSA will not accept or consider any applications sent by facsimile.

SAMHSA accepts electronic submission of applications through www.Grants.gov. Please refer to the information above for “Guidance for Electronic Submission of Applications.”

INTERGOVERNMENTAL REVIEW (E.O. 12372) REQUIREMENTS

This grant program is covered under Executive Order 12372, as implemented through Department of Health and Human Services (DHHS) regulation at 45 CFR Part 100, which sets up a system for State and local review of applications for Federal financial assistance. A current listing of State Single Points of Contact (SPOCs) is included in the application kit and can be downloaded from the Office of Management and Budget (OMB) Web site at www.whitehouse.gov/omb/grants/spoc.html.

- Check the list to determine whether your State participates in this program. You **do not** need to do this if you are an American Indian/Alaska Native tribe or tribal organization.
- If your State participates, contact your SPOC as early as possible to alert him/her to the prospective application(s) and to receive any necessary instructions on the State's review process.
- For proposed projects serving more than one State, you are advised to contact the SPOC of each affiliated State.
- The SPOC should send any State review process recommendations to the following address within 60 days of the application deadline. **For United States Postal Service:** Crystal Saunders, Director of Grant Review, Office of Program Services, Substance Abuse and Mental Health Services Administration, Room 3-1044, 1 Choke Cherry Road, Rockville, MD **20857**. ATTN: SPOC – Funding Announcement No. **SP-08-002**. Change the zip code to **20850** if you are using another delivery service.

In addition, if you are a community-based, non-governmental service provider and you are not transmitting your application through the State, you must submit a Public Health System Impact Statement (PHSIS)¹ to the head(s) of appropriate State and local health agencies in the area(s) to be affected no later than the application deadline. The PHSIS is intended to keep State and local health officials informed of proposed health services grant applications submitted by community-based, non-governmental organizations within their jurisdictions. If you are a State or local government or American Indian/Alaska Native tribe or tribal organization, you are not subject to these requirements.

The PHSIS consists of the following information:

- a copy of the face page of the application (SF 424); and

¹ Approved by OMB under control no. 0920-0428; Public reporting burden for the Public Health System Reporting Requirement is estimated to average 10 minutes per response, including the time for copying the face page of SF 424 v2 and the abstract and preparing the letter for mailing. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. The OMB control number for this project is 0920-0428. Send comments regarding this burden to CDC Clearance Officer, 1600 Clifton Road, MS D-24, Atlanta, GA 30333, ATTN: PRA (0920-0428).

- a summary of the project, no longer than one page in length, that provides: 1) a description of the population to be served, 2) a summary of the services to be provided, and 3) a description of the coordination planned with appropriate State or local health agencies.

For SAMHSA grants, the appropriate State agencies are the Single State Agencies (SSAs) for substance abuse and mental health. A listing of the SSAs can be found on SAMHSA's Web site at www.samhsa.gov. If the proposed project falls within the jurisdiction of more than one State, you should notify all representative SSAs.

Applicants who are not the SSA must include a copy of a letter transmitting the PHSIS to the SSA in **“Letter to the SSA.”** The letter must notify the State that, if it wishes to comment on the proposal, its comments should be sent not later than 60 days after the application deadline to:

If applicable, you must include a copy of a letter transmitting the PHSIS to the SSA in **“Letter to the SSA”** in **Section J**. The letter must notify the State that, if it wishes to comment on the proposal, its comments should be sent not later than 60 days after the application deadline to the following address. **For United States Postal Service:** Crystal Saunders, Director of Grant Review, Office of Program Services, Substance Abuse and Mental Health Services Administration, Room 3-1044, 1 Choke Cherry Road, Rockville, MD **20857**. ATTN: SSA – Funding Announcement No. **SP-08-002**. Change the zip code to **20850** if you are using another delivery service.

In addition:

- Applicants may request that the SSA send them a copy of any State comments.

FUNDING LIMITATIONS/RESTRICTIONS

Cost principles describing allowable and unallowable expenditures for Federal grantees, including SAMHSA grantees, are provided in the following documents, which are available at <http://www.samhsa.gov/grants/management.aspx>:

- Institutions of Higher Education: OMB Circular A-21
- State and Local Governments and Federally Recognized Indian Tribal Governments: OMB Circular A-87
- Nonprofit Organizations: OMB Circular A-122
- Hospitals: 45 CFR Part 74, Appendix E

In addition, SAMHSA's DFC grant recipients must comply with the following funding restrictions:

- DFC grant funds must be used for purposes supported by the program.
- DFC grant funds may not be used to pay for the purchase or construction of any building or structure to house any part of the grant project. (Applicants may request up to \$75,000

for renovations and alterations of existing facilities, if necessary and appropriate to the project.)

- SAMHSA will not accept a “research” indirect cost rate. The grantee must use the “other sponsored program rate” or the lowest rate available.

OTHER SUBMISSION REQUIREMENTS

You may submit your application in paper or electronic format.

SAMHSA collaborates with www.Grants.gov to accept electronic submission of applications. Please refer to the information above for “Guidance for Electronic Submission of Applications.” Following are instructions for submission of paper applications.

You must submit an original application and 2 copies (including attachments). The original and copies must not be bound. Do not use staples, paper clips or fasteners. Nothing should be attached, stapled, folded or pasted.

Send applications to the following address:

For United States Postal Service:

Crystal Saunders, Director of Grant Review
Office of Program Services
Substance Abuse and Mental Health Services Administration
Room 3-1044
1 Choke Cherry Road
Rockville, MD **20857**

Change the zip code to **20850** if you are using another delivery service.

Do not send applications to other agency contacts, as this could delay receipt. Be sure to include “**DFC – SP-08-002**” in item number 12 on the face page (SF 424 v2) of any paper applications. If you require a phone number for delivery, you may use (240) 276-1199.

Hand carried applications will not be accepted. Applications may be shipped using only DHL, Federal Express (FedEx), United Parcel Service (UPS), or the United States Postal Service (USPS).

SAMHSA will not accept or consider any applications sent by facsimile.

ATTACHMENT 3: Sample Sector Representative Table

Sector	Individual Representative	Organization	Contribution
-youth (an individual 18 or under);			
-parents;			
-business community;			
-media;			
-school;			
-youth-serving organization;			
-law enforcement agencies;			
-religious or fraternal organizations;			
-civic and volunteer groups;			
-healthcare professionals;			
-State, local, or tribal governmental agencies with expertise in the field of substance abuse (if applicable, the State authority with primary authority for substance abuse); and			
-other organizations involved in reducing substance abuse.			

ATTACHMENT 4: Sample Program Abstract

Applicants are required to include a program abstract in their applications which should appear immediately prior to the Table of Contents. The abstract must not exceed 35 lines and should provide basic information about the proposed project. The abstract will be used for media releases and notification to congressional members if the Application is awarded funding. Please include the following information prior to the Abstract paragraph:

Coalition Name:
Fiscal Agent Name:
Coalition Community:
Contact Name:
Contact Mailing Address:
Contact E-Mail Address:
Contact Phone/Fax Number:

The ABC Coalition serves Eastern County, VT, a rural area with a population of 22,000, which is 7 percent Native American. The goals of the program are to: 1) reduce substance abuse among youth in Eastern County, VT, and, over time, among adults by addressing the factors in our community that increase the risk of substance abuse and promoting the factors that minimize the risk of substance abuse; 2) establish and strengthen collaboration among Eastern County's private nonprofit agencies, and Federal, State, local, and tribal governments to support the efforts of community coalitions to prevent and reduce substance abuse among youth. To achieve these goals, the coalition will implement the following strategies: 1) develop a 2-year countywide youth risk prevention action plan for interagency collaboration and community action; 2) establish a media campaign to increase awareness of youth drug problems; and 3) sponsor training for law enforcement officers who respond to underage drinking parties.

ATTACHMENT 5: Sample Logic Model

Sample Logic Model							
Theory of Change							
When a community comes together and implements multiple strategies to address youth use of methamphetamines in a comprehensive way, youth will be more likely to use later and use less.							
Problem Statement			Strategies	Activities	Outcomes		
Problem	But why?	But why here?			Short Term	Intermediate	Long-Term¹
Too many youth are using meth-amphetamine drugs	Meth is easy to make	Over-the-counter products are sold that contain ephedrine and pseudoephedrine used to make meth	Increase barriers and pass policy	Pass ordinance making products with those ingredients available only by prescription	Community mobilization Sample ordinance developed	Ordinance passed	80% of high school seniors never try meth Less than 5% of high school seniors will report 30 day meth use
	Meth is easy to get	Meth is widely sold at school	Increase barriers and pass policy Provide support	Pass zero tolerance policy at school Train teachers and school staff	Teachers can recognize signs of meth use in students	Zero tolerance policy that requires youth who are caught using meth to attend drug counseling	75% of youth 12-18 report that meth use is risky or harmful
	Meth is not perceived to be harmful	Lack of public education about dangers of meth use	Provide information	Social norms campaign on dangers of meth use	Social norm campaign materials are developed and widely posted	Youth report believing that campaign materials	80% of youth 12-18 report disapproval of use by peers and adults
	Meth labs are hard to find	Labs are plentiful, easily hidden, hard to locate	Build skills and provide information Increase barriers to manufacture meth Change physical design	Educate public to spot meth labs Increase law enforcement to bust labs	Public reports possible meth labs to law enforcement	Increase busts of meth labs by law enforcement	

¹ The long-term outcomes are affected not by any single strategy but by ALL of the strategies and activities

ATTACHMENT 6: Fiscal Agent Roles and Relationship to a Coalition

Many coalitions are not recognized legal entities and may need to partner with a designated non-profit organization to serve as its “fiscal agent” for the purposes of administering this grant. This attachment describes the considerations that need to be taken into account when developing a relationship with a fiscal agent to provide administrative services for the coalition.

The Drug Free Communities Act of 1997 (Public Law 105-20) and its subsequent Reauthorization Acts (Public Law 107-82; and Public Law 109-469), authorizes initial grant funding or renewal grant funding **for coalitions** who meet specific identified criteria. It is clearly the intent of Congress to fund the work of coalitions through this grant program, not the work of service providing agencies.

In accordance with Part III, Eligibility Requirements, in this RFA, a grant recipient, in this case the Coalition, must be a legal entity represented by one of the specified designations in order to receive Federal grant funds.

If the Coalition is not a legal entity as described in Part III, Eligibility Requirements, in this RFA, then the coalition must partner with or make arrangement with a recognized legal entity to represent the coalition in all legal issues concerning the grant award and receipt of Federal grant funds. For purposes of the application, the legal “fiscal agent” becomes the grant applicant and recipient of grant funding for the Coalition.

By the very nature of a coalition’s ability to remain flexible in their mission, many coalitions do not seek the formal structure of becoming a recognized non-profit organization or other recognized legal entity. However, the Federal government, and other grant making bodies normally can make grant awards only to a legally recognized organization.

Coalitions often seek a formal partnership arrangement with a legal organization to represent the coalition in fiscal management issues to meet grant requirements. Often, a member organization of the coalition will serve this function as part of their contribution to the coalition’s efforts. Fees or charges normally associated for this service can be counted as part of the match requirement if the fiscal agent chooses to waive the fees and provide the service “in kind”.

Agencies who agree to become the fiscal agent for a coalition extend the legal services and coverage to the coalition for the purposes of managing grant funds and sometimes employees or staff hired under the coalition grant. In this situation, the fiscal agent becomes the grant applicant and if awarded a grant, is recognized as the grant recipient and is legally responsible for all matters concerning the grant.

Arrangements for fiscal agent services should be treated as a business transaction and it is suggested that the fiscal agent and coalition seek guidance from an attorney and/or an accountant when entering into such agreements. Fiscal agents, as well as the coalition, should be fully aware and understand the commitment placed on the fiscal agent to provide this service.

The agreement between a coalition and fiscal agent should be carefully considered and fully understood prior to applying for the grant funds. A Memorandum of Agreement (MOU) between the coalition and the fiscal agent is required to be submitted as a part of this application. A sample MOU is provided below and may be modified for further clarity of expectations and specific needs of the organizations and their relationship.

Accounting Requirements

Another consideration for the coalition applying for this grant is the administration of accounts receivable and payable. Upon award of grant funds, grant recipients (coalition or fiscal agent) are subject to a Financial Capability Review to determine if a grantee's finances are adequate to carry out the tasks outlined in the grant. The review typically includes an examination of: financial statements, including those contained in reports issued to stockholders, lending institutions and SEC filings, cash flow forecasts, loan agreements and evidence showing compliance with these agreements, aging of accounts receivable and payable and financial history of the grantee and affiliated concerns.

In accordance with OMB Circular A-110, a Federal grant recipient must be capable of accounting for the expenditure of Federal funds. The grant recipient (coalition or fiscal agent) must demonstrate that it has proper accounting procedures and control measures in place to adequately manage and administer the grant funding. Details are discussed in this circular and should be reviewed by the applicant.

Grantees who do not meet these criteria or the criteria described in the Financial Capability Review may be placed in a "high risk" status upon award of the grant until the identified deficiencies can be corrected. The high risk status requires grantees to submit invoices for reimbursement of funds as opposed to drawing down funds in advance in a lump sum.

Another consideration for coalitions that have a legal designation and can apply for this grant themselves or secure a fiscal agent to serve as the grant recipient, but do not have adequate fiscal accounting processes to meet the needs of managing a federal grant, can use grant funds to contract services from an accounting firm or bookkeeper to provide the required fiscal accounting services. Coalitions are often able to have this service donated by a local accountant and can be considered as part of their in-kind match.

Further assistance on understanding issues regarding fiscal agent role and responsibilities or expectations may contact the Division of Grants Management at (240) 276-1405.

ATTACHMENT 7: Sample Memorandum of Understanding (MOU) - Coalition and Fiscal Agent

1. This Agreement between *Coalition Name and Fiscal Agent Name* shall be from October 1, 2008 until terminated by mutual agreement:

SERVICES AND RESPONSIBILITIES

2. *Coalition Name* shall be responsible to:

- (a) Set policy for its own programs;
- (b) Formulate goals and objectives in compliance with its funding source;
- (c) Oversee the daily operation of its activities and programs;
- (d) Jointly select and direct any *Coalition Name* staff and any volunteers working on its program;
- (e) Jointly set goals and objectives for contract employees, and negotiate and approve their contracts;
- (f) Create, approve and follow its budget in compliance with the requirements of its funding source;
- (g) Obtain, pay for and monitor its own telephone for making long distance calls and an answering machine for receiving confidential messages; and
- (h) Provide to *Fiscal Agent Name* copies of all required documentation, including but not limited to grant proposals, by-laws, minutes of meetings, goals and objectives, budget, personnel agreements, and personnel and program policies.
- (i) *Coalition Name* will respect the right of other *Fiscal Agent's Name* users to their own opinions and beliefs.

3. *Fiscal Agent Name* shall be responsible to:

- (a) Provide space in which *Coalition Name* can store its supplies, maintain its records, and where its personnel can work;
- (b) Through and by its staff, assist per grant details, administer as specified in the grant, and compile the *Coalition Name* financial reports on a mutually agreed schedule;
- (c) Provide banking services, perform bookkeeping, prepare and distribute payroll, and

prepare and submit through its bookkeeping staff the appropriate forms for any employment taxes. Wages and payroll taxes due shall be paid from *Coalition Name* funds;

(d) Provide banking services regarding funds received, provide bookkeeping, and pay outstanding bills as approved;

(e) May maintain and pay for a Post Office Box at which *Coalition Name* can receive mail care of *Fiscal Agent Name*;

(f) Jointly select and direct any *Coalition Name* staff and any volunteers working on its activities or programs;

(g) Jointly set goals and objectives for contract employees, and negotiate and approve their contracts;

(h) Incorporate into *Fiscal Agent's Name* library any reference materials targeted toward the general public which are provided by the *Coalition Name* for that purpose;

(i) Take messages received at *Fiscal Agent's Name* phone number, record them and forward them to *Coalition's Name* organization;

(j) Maintain a non-profit mailing permit, which can be used for mailings by *Fiscal Agent Name* of *Coalition's Name* materials which conform to Post Office regulations;

(k) *Fiscal Agent Name* agrees to maintain and make available to *Coalition Name* upon request all books, records, documents and other evidence pertaining to the costs and expenses relating to this Agreement to the extent and in such detail as will properly reflect all direct costs of labor, materials, equipment, supplies, services and other costs and expenses of whatever nature for which reimbursement is claimed or payment is made under the provisions of this contract.

4. This agreement shall be subject to all applicable provisions of State and Federal law and regulations related to the delivery and funding of social service.

SERVICE FEES AND EXPENSES

5. *Coalition Name* shall reimburse *Fiscal Agent Name* for any indirect or direct expenses incurred by *Fiscal Agent Name* with prior approval of the *Coalition Name* Board.

SUPPLIES AND RESOURCE MATERIALS

6. If *Coalition Name* dissolves or becomes inactive, resource materials provided by *Coalition Name* which are incorporated into the *Fiscal Agent's Name* library will become the property of *Fiscal Agent Name* in order that such materials continue to be available to the public.

CONFIDENTIALITY

7. Both parties agree that they shall be bound by and shall abide by all applicable Federal or State statutes or regulations pertaining to the confidentiality of client records or information, including volunteers. The parties shall not use or disclose any information about a recipient of the services provided under this Agreement for any purpose not connected with the parties' contract responsibilities, except with the written consent of such recipient, recipient's attorney, or recipient's parent or guardian.

LIABILITY AND INSURANCE

8. *Fiscal Agent Name* shall obtain Workman's Compensation Insurance coverage for *Coalition Name* employees to be afforded such coverage as required by *State* law.

9. *Fiscal Agent Name* shall obtain general liability coverage for *Fiscal Agent's Name* premises.

10. *Coalition Name* is solely responsible for liabilities arising out of its program and its interaction with participants in its program. *Coalition Name* specifically indemnifies *Fiscal Agent Name* against any and all claims arising from the actions of the governing body or paid and volunteer staff of *Coalition Name*.

EQUAL OPPORTUNITY

11. *Fiscal Agent Name* and *Coalition Name* mutually agree to be bound by and abide by all applicable antidiscrimination statutes, regulations, policies and procedures as may be applicable under any Federal or State contracts, statutes or regulations or otherwise as presently or hereinafter adopted by the agency.

AMENDMENT

12. This agreement may be amended by mutual consent of both parties, however such agreements MUST BE in writing and signed by both parties before a notary.

DATED this _____ day of _____, 2008.

Coalition Name

Fiscal Agent Name

By: _____, Chair

By: _____, CEO

ATTACHMENT 8: Applicant Assurance for No More Than One Grant

I attest that the applying organization, _____,
if awarded this grant, will be in receipt of only one grant through this grant program.

Authorized Official's Signature

Title

Organization

Date

ATTACHMENT 9: Applicant Assurance of Compliance with Year 11 Policy

I attest that the applying organization, _____, is in compliance with the following requirements regarding Year 11 funding:

Year 11 Policy

Under the DFC Act, grantees may not receive DFC funding for more than ten years. ONDCP believes that the funding limitation is intended to apply to DFC coalitions and not to fiscal agents. Specific restrictions on coalitions and fiscal agents are outlined below. Receipt of DFC Mentoring Grant funds does not apply toward your ten years of DFC grant funding for the purposes of this policy.

Coalitions:

1. A coalition that has received ten years of direct DFC funding is not eligible to receive additional funds through the DFC program.
2. A coalition that has received 10 years of DFC funds through a fiscal/legal agent(s) is no longer eligible to receive funds through the DFC program, regardless of how long they have been served by that fiscal agent.

For example, if Coalition X has received DFC funding through Fiscal Agent Y for six years, and Fiscal Agent Z for four years, Coalition X is no longer eligible to receive DFC funds.

3. A coalition that has received ten years of DFC funding may not receive additional DFC through a new or different fiscal agent.
4. A coalition that proposes to serve a target community that has already been served for 10 years by another DFC-funded coalition must demonstrate to the satisfaction of the DFC Administrator that it is unique and distinct from the coalition that has already served the same community.

To be considered “unique and distinct,” the new coalition must be made up of different representatives from, where possible, different organizations in the community. Additionally, the coalition should have different leadership and have a different strategic plan from any previously funded organization serving the same area. Personnel and plans from the original coalition may not be repurposed, redressed, and/or renamed in order to receive funds through DFC as a “new” coalition.

Applicants are asked to demonstrate compliance with this requirement in Section V-G of the RFA, “Documentation of Eligibility Requirements.” Issuing false or misleading statements in response to these requirements is unlawful and subject to criminal penalties, 18 USC1001.

Fiscal Agents:

1. A fiscal agent may not receive DFC funds on behalf of the same coalition for more than 10 years.

For example, if Fiscal Agent W has received DFC funds on behalf of coalition A for 10 years, Fiscal Agent W may no longer receive funds on behalf on Coalition A. Additionally, Coalition A may no longer receive funds directly or through a different Fiscal Agent.

2. A fiscal agent may receive DFC funds only on behalf of one coalition at a time.
3. A fiscal agent may receive a DFC grant on behalf of a ‘new’ coalition that meets the criteria above for involving different individuals or serving a different geographic area (one that has never before received DFC funding) even if that fiscal agent has received DFC funds on behalf of another coalition for 10 years. However, a fiscal agent may receive DFC funds on behalf of one coalition at a time.

For example, if Fiscal Agent W received DFC funds on behalf of Coalition A for 10 years, it may now receive DFC funds on behalf of Coalition B (a coalition which has never before received a DFC grant and meets the criteria above).

4. A Fiscal Agent may receive a DFC grant on behalf of a coalition which has been funded through DFC in the past, so long as that coalition has not already received DFC funding for 10 years.

For example, if Coalition C previously received four years of DFC funding and is eligible to receive six more, then Fiscal Agent W may receive funds on behalf of Coalition C for up to six years.

5. A fiscal agent that is also its own coalition may receive only 10 years of DFC funding. This applies to coalitions that are their own 501(c) (3)s and serve as their own fiscal agents.

Authorized Official’s Signature

Title

Organization

Date

ATTACHMENT 10: Coalition Roles and Relationship to Member Sectors

The coalition must demonstrate that it has substantial participation from volunteer leaders in the community, has representation from its targeted community, and includes a minimum of one member from each of the following 12 sectors: youth (an individual 18 or under); parents; business community; media; school; youth-serving organization; law enforcement agencies; religious or fraternal organizations; civic and volunteer groups; healthcare professionals; State, local, or tribal governmental agencies with expertise in the field of substance abuse (if applicable, the State authority with primary authority for substance abuse); and other organizations involved in reducing substance abuse.

A representative of the community is defined as a coalition member if he/she participates in regularly scheduled coalition management and planning meetings and is an active participant and contributor to the coalition's activities, events, and strategic planning. For purposes of this application, an individual coalition member may not represent more than one of the 12 sectors. An "individual who supports or sponsors the coalition or its activities" is not necessarily the same as "an active coalition member."

Coalition sector members leverage resources for change in the community through their professional and personal spheres of influence. For coalitions to harness the diverse resources of active community coalition members and work toward shared goals, it is essential that coalition members and staff understand their responsibilities and what is expected of them. Clear roles and responsibilities enable communication among coalition members and staff, as well as between the coalition and the larger community, in order to facilitate mobilization.

In order for a coalition to function smoothly and have the greatest possible impact in the community, clear organizational structures need to be in place. Essential steps for having clear roles are to:

- 1) Create "job descriptions" for all roles developed by the coalition such as those for members, committee chairs, coalition chair, staff, etc.
- 2) Obtain members' agreement on the expectations for active membership such as the number of meetings to be attended annually.
- 3) Develop a memorandum of understanding between the coalition and its members that establishes the minimum acceptable contribution to be considered an "active coalition member."

ATTACHMENT 11: Sample Memorandum of Understanding (MOU) – Coalition and Sector Member

1. This Agreement between *Coalition Name and Sector Member Name* shall be from October 1, 2008 until terminated by mutual agreement:

SERVICES AND RESPONSIBILITIES

2. *Coalition Name* shall be responsible to:

- (a) Set policies for staff and programs;
- (b) Formulate goals and objectives in compliance with its funding source;
- (c) Oversee the daily operation of its activities and programs;
- (d) Direct any *Coalition Name* staff and volunteers working on its activities and programs;
- (e) Jointly set goals and objectives for staff and volunteers, and negotiate and approve their activities;
- (f) Create and follow its strategic plan within the requirements of its funding source; and
- (g) *Coalition Name* will respect the right of *Sector Member Name* members to their own opinions and beliefs.

3. *Sector Member Name* shall be responsible to:

- (a) Attend ___ number of meetings annually;
- (b) Participate in _____committee;
- (c) Attend coalition sponsored trainings, seminars, and community-wide events;
- (d) Participate in assessing and analyzing root causes of substance abuse problems in the community;
- (e) Participate in on-going logic model development and strategic planning processes;
- (f) Participate in on-going refinement of the coalition vision, mission, objectives, goals, and activities;
- (g) Ensure clear communication between the sector member's organization and the coalition;

- (h) Participate in the implementation of multiple strategies across multiple sectors to achieve community change;
- (i) Work towards creating population–level change as evidenced by the four core measures;
- (j) Participate in sustaining the coalition’s vitality, involvement, and energy in the community; and
- (k) Support the overarching principles of cultural competence and ensure its incorporation into the coalition’s comprehensive approach.

CONFIDENTIALITY

Both parties agree that they shall be bound by and shall abide by all applicable Federal or State statutes or regulations pertaining to the confidentiality of client records or information, including volunteers. The parties shall not use or disclose any information about a recipient of the services provided under this Agreement for any purpose not connected with the parties' contract responsibilities, except with the written consent of such recipient, recipient's attorney, or recipient's parent or guardian.

AMENDMENT

This agreement may be amended by mutual consent of both parties, however such agreements **MUST BE** in writing and signed by both parties before a notary.

DATED this _____ day of _____, 2008.

Coalition Name

Sector Member Name

By: _____, Chair

By: _____, CEO

ATTACHMENT 12: Glossary of Terms

Below are definitions of some of the terms used in this RFA. The definitions in this glossary are included to provide guidance and clarity to applicants in preparing their applications.

Activity: Things that you do—activities you plan to conduct in your program.

Community Assessment: A comprehensive description of your target community (however your coalition defines community). The assessment process is a systematic gathering and analysis of data about your community.

Capacity: The various types and levels of resources that an organization or collaborative has at its disposal to meet the implementation demands of specific interventions.

Community Level Change: This is change that occurs within the target population in your target area.

Cultural Competence: (1) A set of behaviors, attitudes and policies that come together in a system, agency or program or among individuals, enabling them to function effectively in diverse cultural interactions and similarities within, among, and between groups. (2) A point on a continuum with several guiding principles that enables coalitions to have positive interactions in culturally diverse environments.

Goal: A goal states intent and purpose, and supports the vision and mission statements. For example, “To create a healthy community where drugs and alcohol are not abused by adults or used by underage youth.”

Objective: Objectives are the specific, measurable results a coalition plans to accomplish and serve as the basis by which to evaluate the work of the coalition.

Outcome: Outcomes are used to determine what has been accomplished, including changes in approaches, policies and practices to reduce risk factors and promote protective factors as a result of the work of the coalition. An outcome measures change is what you expect or hope will happen as a result of your efforts.

Outcome Evaluation: Outcome evaluation is evaluation that describes and documents the extent of the immediate effects of coalition strategies, including what changes occurred.

Process Evaluation: This is evaluation that describes and documents what was actually done, how much, when, for whom, and by whom during the course of the project.

Protective Factors: Factors that increase an individual’s ability to resist the use of drugs, e.g., strong family bonds, external support systems, and problem solving skills.

Resources: A resource is any or all of those things that can be used to improve the quality of community life—the things that can help close the gap between what is and what ought to be.

Risk Factors: Those factors that increase an individual's vulnerability to drug use and abuse, e.g., academic failure, negative social influences and favorable parental or peer attitudes toward involvement with drugs or alcohol.

Strategy: The strategy identifies the overarching approach of how the coalition will achieve intended results.

ATTACHMENT 13: Scoring Sheets

Community Assessment- 22 Points Total

#	Question	0-3		Multiplier	Score	Comments:
	Provide a brief overview of your community.	N/A			N/A	
A.1	Describe and identify the youth substance abuse problems in your community. Please include the following elements in your description: <ul style="list-style-type: none"> • Did you collect your own data or use existing data, or both? Identify your data sources (e.g., school surveys, focus groups, reviewing existing data sources, etc.) and how the data support your findings. • Specifically describe how you gathered your data. 	0-3	x	1.83		
A.2	If you have baseline data on the four substance use measures used to evaluate the overall effectiveness of the DFC program below, please provide them. <ul style="list-style-type: none"> • Age of onset of any drug use (including alcohol, marijuana, and tobacco); • Frequency of use in the past 30 days (including alcohol, marijuana, and tobacco); • Perception of risk or harm (including alcohol, marijuana, and tobacco); and • Perception of disapproval of use by parents (including alcohol, marijuana, and tobacco). Include in this response, identification of the survey or instrument(s) used, or that you plan to use, and how that/those instrument(s) are a meaningful reflection of the drug use and drug perceptions of the youth of your entire community. and discuss how the data support your findings. OR: If you do not currently collect data on all four DFC substance use measures, describe how the coalition will successfully begin to collect data on these measures.	0-3	x	1.83		
A.3	Describe how your coalition’s intended activities will impact the four DFC substance use measures above. Based on your findings, clearly articulate the substance abuse problems you plan to address in your target community. Explain the findings from your community assessment that support your decision to address those specific problems. Cite the specific data you are using and the methods used to collect that data (primary or secondary are both acceptable). Include any details related to risk and protective factors in your community or the developmental asset issues you identified in your assessment.	0-3	x	1.83		
A.4	Section Cohesiveness	0-3	x	1.83		
						= Sect.Total

Capacity Building- 12 Points Total

#	Question	0-3		Multiplier	Score	Comments:
B.1	Describe the resources that exist in your community to target problems addressed in your community assessment. For example: <ul style="list-style-type: none"> • Current financial resources (cash and in-kind); • Other community resources (training, knowledge, facilities, volunteers, other coalitions, etc.). 	0-3		x 0.67		
B.2	Discuss your community's gaps in resources and/or services, and how you plan to address these specific challenges.	0-3		x 0.67		
B.3	Discuss how you will manage the resources at your disposal. <ol style="list-style-type: none"> Describe the structure of the coalition. How are decisions made and communicated? What coalition structure do you incorporate to foster community involvement and volunteer participation? Please include any committee or subcommittee structures and decision-making processes in your answer. What role do key partners and coalition members play in your coalition? Your answer should include, but not necessarily be limited to, the required 12 key sectors (outlined in the Eligibility Requirements). 	0-3		x 0.67		
B.4	Describe how you will maintain and strengthen the coalition and its prevention efforts over the next year.	0-3		x 0.67		
B.5	Describe how your coalition will train, encourage, and mobilize your current and future leaders, workers, and volunteers.	0-3		x 0.67		
B.6	Section Cohesiveness	0-3		x 0.67		
						= SectionTotal

Strategic and Action Planning- 16 points

#	Question	0-3		Multiplier	Score	Comments:
C.1	Based on the problem(s) you identified in Section A, describe your coalition's goals, objectives, and expected outcomes.	0-3	x	1.07		
C.2	Outline your five-year, long-term strategic plan to achieve Goals 1 and 2 above. Identify your priority objectives based on your discussions in Sections A and B. Discuss how your plan will impact multiple sectors of the community and lead to lasting environmental change.	0-3	x	1.07		
C.3	How was your community involved in developing your Strategic Plan?	0-3	x	1.07		
C.4	Describe past experience that will help you accomplish your goals and objectives of this project.	0-3	x	1.07		
C.5	Section Cohesiveness	0-3	x	1.07		

= Sect.Total

Implementation- 20 points

#	Question	0-3		Multiplier	Score	Comments:
D.1	• a detailed description of the specific strategies and activities the coalition will undertake	0-3	x	1.11		
D.2	• the outcome(s) that will result from each activity;	0-3	x	1.11		
D.3	• how the coalition will measure progress toward achieving the outcomes related to each activity and how this ties into the problems identified in Section A;	0-3	x	1.11		
D.4	• who is responsible for each activity in your coalition and community;	0-3	x	1.11		
D.5	• the resources you will need to achieve the desired outcome for each activity.	0-3	x	1.11		
D.6	Section Cohesiveness	0-3	x	1.11		
						= SectionTotal

Evaluation- 20 points

#	Question	0-3		Multiplier	Score	Comments:
E.1	Describe how the coalition has created partnerships in order to collect, analyze, and report data and conduct evaluation activities.	0-3	x	1.11		
E.2	Describe how you plan to continually track changes in data trends and check the accuracy of data developed in your original community assessment.	0-3	x	1.11		
E.3	How will you use your findings from your evaluation to continually improve your coalition's one year and five year plans?	0-3	x	1.11		
E.4	What is your plan to use information from the evaluation to inform, engage and recruit the target population and community members?	0-3	x	1.11		
E.5	How will the process evaluation of your coalition's operations and administration be used in future planning and implementation?	0-3	x	1.11		
E.6	Section Cohesiveness	0-3	x	1.11		

= SectionTotal

ATTACHMENT 14: Pre-submission Checklist

This Checklist should be used by applicants to ensure that they have met all submission requirements of the DFC RFA.

- Has your application complied with all eligibility requirements? (Page 11)

- Does your application include the coalition's Mission Statement? (Page 11)

- Does the application target multiple drugs and address the two DFC goals? (Page 11)

- Does your application include two sets of meeting minutes? (Page 12)

- Does your application list the 12 community sectors and include MOUs from each?
(Page 12)

- Does your application include an MOU between the coalition and the Fiscal Agent, if
applicable? (Attachment 7)

- Does your application include an organizational chart of the coalition? (Page 13)

- Does your application include an Assurance Sheet that the coalition is not applying for
an 11th year of DFC funding? (Page 14 and Attachment 9)

- Have you included an Applicant Assurance of no more than one grant? (Attachment 8)

- Does your application demonstrate that your coalition will meet matching fund
requirements? (Page 15)

- Is your Project Narrative (Sections A-E) no longer than 25 pages combined? (Page 18)

- Has your Project Narrative addressed all six section headings (A-F) and responded to every request in each category? (Page 18)

- Has your application considered cultural competence in each section of the narrative? (Page 19)

- Has your application addressed data collection of the four DFC core measures? (Page 20)

- Have you included a one year budget with your application? (Page 23)

- Have you included documentation for eligibility requirements as required in Section G? (Page 24)

- Have you included resumes and job descriptions as required in Section H? (Page 24)

- Have you included a program abstract as required in Section I? (Page 25)

- Have you included all general applicant information as required in Section J? (Page 24)

- Have you described applicant demographics as required in Section K? (Page 25)

- Have you included all required certifications, disclosures and checklists as required in Section L? (Page 26)