

**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-10-005**

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

**Key Dates:**

<b>Application Deadline</b>	<b>Applications are due by March 19, 2010.</b>
<b>Intergovernmental Review (E.O. 12372)</b>	<b>Applicants must comply with E.O. 12372 if their State(s) participates. Review process recommendations from the State Single Point of Contact (SPOC) are due no later than 60 days after application deadline.</b>
<b>Public Health System Impact Statement (PHSIS)/Single State Agency Coordination</b>	<b>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.</b>

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## Executive Summary:

The Executive Office of the President, Office of National Drug Control Policy (ONDCP), and the Department of Health and Human Services (DHHS), Substance Abuse and Mental Health Services Administration (SAMHSA), Center for Substance Abuse Prevention (CSAP) are accepting applications for fiscal year (FY) 2010 Drug Free Communities Support Program (DFC) grants. The purpose of this program is to establish and strengthen collaboration to support the efforts of community coalitions working to prevent and reduce substance use among youth.

<b>Funding Opportunity Title:</b>	Drug Free Communities Support Program
<b>Funding Opportunity Number:</b>	SP-10-005
<b>Due Date for Applications:</b>	March 19, 2010
<b>Anticipated Total Available Funding:</b>	\$18.75 million
<b>Estimated Number of Awards:</b>	150
<b>Estimated Award Amount:</b>	Up to \$125,000 per year
<b>Length of Project Period:</b>	Up to five years
<b>Eligible Applicants:</b>	The application must be submitted by a community-based coalition. [See <a href="#">Part III-1</a> 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 (DHHS), Substance Abuse and Mental Health Services Administration (SAMHSA), Center for Substance Abuse Prevention (CSAP) are accepting applications for fiscal year (FY) 2010 Drug Free Communities Support Program (DFC) grants. The purpose of this program is to establish and strengthen collaboration to support the efforts of community coalitions working to prevent and reduce substance use among youth.

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, public and private nonprofit agencies, and Federal, State, local, and tribal governments to support the efforts of community coalitions to prevent and reduce substance use among youth. For the purposes of this RFA, “youth” is defined as individuals 18 years of age and younger.
- Reduce substance use among youth and, over time, reduce substance abuse 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, inhalants, marijuana, alcohol, and tobacco, where their use is prohibited by Federal, State, or local law. Substances may also include the non-medical use of prescription drugs or over-the-counter medicines.) Note: DFC efforts 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.

DFC grantees are required to work toward these two goals as the primary focus of their Federally-funded effort.

The Drug Free Communities Program (DFC) was created by the Drug Free Communities Act of 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. This announcement addresses Healthy People 2010 focus area 26 (Substance Abuse).

Since 1998, ONDCP has awarded approximately 1,600 DFC grants, with an additional 150 new awards expected in FY 2010. The communities 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 at <http://www.ondcp.gov/dfc>.

## **2. PRE-APPLICATION WORKSHOPS**

Potential applicants, including first-time ever (Year 1) prospective grantees, current grantees applying for a second full cycle of five years of funding (Year 6), or former grantees who experienced a lapse in funding during a five-year cycle, are invited and encouraged to attend one of the following pre-application workshops:

Fort Worth, TX	Tuesday, January 26, 2010
Salt Lake City, UT	Thursday, January 28, 2010
National Harbor, MD	Friday, February 12, 2010

These workshops will provide technical assistance to help applicants complete their applications. They are not general technical assistance workshops for coalitions. Attendees should read the RFA in advance of attending the workshops and come prepared to ask questions related to the effective completion of their applications.

More information about the workshops, including a link for attendee registration, can be found at <http://www.ondcp.gov/dfc> and <http://www.ondcp.gov/dfc/potentialgrantees.html>. A recorded workshop will be posted to this site by the end of January 2010.

## **3. ABOUT DFC GRANTEES**

### **3.1 Coalitions and the DFC Program's Focus**

The primary focus of the DFC Program is to strengthen collaboration among community entities to reduce substance use among youth. Grants awarded through the Drug Free Communities Program are intended to support *established community-based coalitions* capable of affecting community-level change. For the purposes of this Request for Applications (RFA) and the DFC Program, 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 with leaders within their communities to identify and address local youth substance use problems and create sustainable community-level change.

### **3.2 Environmental Strategies**

Environmental strategies are based on the belief that substance abuse is a product of multiple environmental conditions and circumstances. Environmental strategies incorporate prevention efforts aimed at changing or influencing community conditions, standards, institutions, structures, systems, and policies. More specifically, environmental strategies seek to: (1) limit access to substances, (2) change the culture and context within which decisions about substance use are made, and/or (3) shift the consequences associated with substance use. Examples include changing or modifying an ordinance; decreasing access to alcohol, tobacco, and illicit drugs through effective enforcement practices; changing the physical aspects of a community that

contribute to drug activity (e.g., lighting); and strengthening laws and regulations. Today, ample evidence exists that well-conceived and implemented policies—local, State, and national—can reduce community-level alcohol, tobacco, and other drug problems. Environmentally-based approaches reach entire populations and reduce collective risk, making them cost effective prevention strategies. Applicants should be mindful that DFC requires the planning and implementation of environmental strategies as part of their comprehensive efforts to reduce youth substance use.

Note: If an applicant has identified a community need for activities, practices, strategies, and/or interventions that affect individuals as opposed to the whole community, these efforts should be leveraged in coordination with local partners and funded primarily with in-kind match dollars.

For more information on environmental strategies, please see [http://www.cadca.org/files/Beyond the Basics EnvironmentalStrategies.pdf](http://www.cadca.org/files/Beyond_the_Basics_EnvironmentalStrategies.pdf).

### **3.3 Community Definition**

In order to increase the likelihood of the results described above, a coalition must clearly define and understand the unique characteristics of the community it seeks to serve. For the purposes of this RFA, a community must encompass a geographic area defined by the applicant. The DFC Program does not prescribe the size, shape, borders, demographics, or geographic locations of DFC grantees. As every community has unique characteristics, local expertise is needed to define what constitutes a meaningful community in which the coalition will work. DFC grantees use various physical demarcations, including neighborhoods, census tracts, zip codes, and school districts, as well as township, county, or parish lines, among others, to define their community. When determining the size/boundaries of the community, applicants are encouraged to be realistic about the area in which the coalition will have the ability to create change. For example, choosing a community that is too large may be problematic due to inclusion of neighborhoods that have significantly different problems or systems to address. When determining the parameters of a community, applicants should be mindful of the fact that multiple DFC grantees may not serve the same zip codes unless there is written evidence of cooperation between the overlapping coalitions.

### **3.4 Cultural Competence**

Cultural competence refers to a system of policies, skills, and attitudes that enable a coalition to effectively respond to differences in cultural beliefs, behaviors, and communication styles. Applicants must address cultural issues in their applications in terms of the design and implementation of the Action Plan and the coalition's organizational structure. For prevention efforts to be truly effective, diverse representation is needed early in the planning process as well as throughout the implementation of the Action Plan. Applications will be judged on their commitment to cultural competence throughout the application.

More information on cultural competence for coalitions can be found at [http://www.cadca.org/files/cultural\\_competence\\_jan09.pdf](http://www.cadca.org/files/cultural_competence_jan09.pdf).

## **4. EXPECTATIONS**

### **4.1 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 strategic plans and annual Action Plans. The SPF is a five-step evidence-based process for community planning and decision-making.

The five-step process includes:

1. **Assessment:** Identify local youth substance use problems and the community conditions that contribute to the specific drug use issues identified.
2. **Capacity:** Mobilize/build capacity to change the conditions and address the youth substance use problems.
3. **Planning:** Develop a Logic Model, comprehensive 12-month Action Plan, and optional multi-year strategic plan.
4. **Implementation:** Implement the plan with multiple activities, practices, strategies, or interventions.
5. **Evaluation:** Monitor, sustain, improve, or replace prevention activities, efforts, and strategies.

To learn more about the SPF, please visit <http://prevention.samhsa.gov/about/spf.aspx>.

### **4.2 Data Collection and Performance Measurements**

The Government Performance and Results Act of 1993 (P.L.103-62, or GPRA) requires all Federal agencies to collect and report specified data. As part of the government's GPRA guidelines, all DFC grantees are required to provide data on the following core measures for the coalition's entire community:

- Age of onset of drug use (including alcohol, marijuana, and tobacco)
- Past 30 day use (including alcohol, marijuana, and tobacco)
- Perception of risk or harm (including alcohol, marijuana, and tobacco)
- Perception of disapproval of use by parents (including alcohol, marijuana, and tobacco)

The terms and conditions of the grant award will specify how the data are to be submitted and the schedule for submission using an online data reporting system. A complete set of data representative of the entire community's youth must be collected and reported at least every two years, for at least three grade levels between sixth and twelfth grades. If funded, each grantee will be required to submit a comprehensive plan to SAMHSA/CSAP outlining specifically how the coalition will comply with the data reporting requirements. This plan will be due no later than 30 days after receipt of the Notice of Award (NoA).

The collection of these data will enable CSAP to report on the National Outcome Measures (NOMs), which have been defined by SAMHSA as key priority areas relating to substance use. In addition to these measures, grantees will be expected to collect and report any additional data

required for the National DFC Cross-Site Evaluation. Performance data will be reported to the public, the Office of Management and Budget (OMB), and Congress as part of SAMHSA's budget request.

### **4.3 National DFC Cross-Site Evaluation Requirements**

DFC grantees are required to participate in the National DFC Cross-Site Evaluation, which is intended to measure the progress and formative development of all DFC coalitions across the country. This includes the reporting of data on the four GPRA core measures described above in [Part I-4.2](#) of this RFA, as well as other measures and coalition information which may be required by ONDCP's national cross-site evaluation team on an as-needed basis. Please note, a new National DFC Cross-Site Evaluation contract is being awarded, so grantees should anticipate changes in the data collection and reporting processes. Grantees should report the measures listed in [Part I-4.2](#) of this RFA until further direction is given by ONDCP and SAMHSA/CSAP.

### **4.4 National Meeting Requirement**

Successful applicants funded through this RFA are required to budget for and send two people (one must be the person charged with daily oversight of the coalition) to a three-day New Grantee Meeting in Washington, DC in the first year of the grant award. The meeting usually takes place in December or January. This requirement applies to all first-time DFC grantees (Year 1) and to grantees that receive Year 6 funding or are returning to the DFC Program after a lapse in funding.

### **4.5 National Coalition Academy Requirement**

In addition to the above New Grantee Meeting, all applicants applying to become first-time ever DFC grantees (Year 1) are expected to budget to send two people to the National Coalition Academy (NCA). The NCA is a three-week training program spread out over the course of several months. It is designed to train coalitions in the SPF process and guide the creation of the products necessary for successful coalition functioning and operation. Costs associated with the NCA are generally limited to travel (e.g., flight, car rental). Lodging and meals, dependent upon location, may be provided. Should your coalition be awarded the DFC grant, two people from the coalition are required to attend the NCA (one person must be the same all three weeks and should be the person in charge of daily operations of the coalition; the second person can vary each week). There are several locations across the US where the NCA is held. It is highly recommended that you contact the National Coalition Institute immediately after being awarded the DFC grant to register for the NCA location of your choice.

More information on the National Coalition Academy can be found at [http://www.cadca.org/trainingevents/training\\_coalitions/national-coalition-academy](http://www.cadca.org/trainingevents/training_coalitions/national-coalition-academy). Applicants can also call the National Coalition Institute's Technical Assistance Manager at 1-800-542-2322, ext. 240 for more information.

#### 4.6 Sustainability Plan Required in Years 3 and 7

Coalitions funded through the DFC Program are required to submit Sustainability Plans in funding Years 3 and 7. These plans are submitted to the Government Project Officer. They are **not** required at the time of application.

#### 4.7 Meeting the Eligibility Requirements

The DFC Program has statutory eligibility requirements—requirements that were written into the law that established the DFC Program (see [Part III-1](#)). These requirements require attention in the application process, since failure to meet any single eligibility requirement will cause the application to be deemed ineligible, and the application will not move forward to Peer Review. Should your application fail to meet the eligibility requirements, the person listed as the Project Director on the Face Page of the submitted application will receive a letter stating why the application was deemed ineligible. No new materials or information may be added to the original application after it has been submitted for the purposes of attempting to move it into Peer Review. Final authority lies with the DFC Administrator to determine the eligibility of an application. Please read the eligibility requirements carefully and provide the evidence necessary to demonstrate meeting these requirements in Attachments 1-8 of the application.

## II. AWARD INFORMATION

<b>Funding Mechanism:</b>	Grant
<b>Anticipated Total Available Funding:</b>	\$18.75 million
<b>Estimated Number of Awards:</b>	150
<b>Estimated Award Amount:</b>	Up to \$125,000 per year
<b>Length of Project Period:</b>	Up to five years

**Proposed budgets cannot exceed \$125,000 in total costs (direct and indirect) in any year of the proposed project.**

Approximately \$18.75 million for 150 FY 2010 DFC grants will be awarded 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:

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

If selected to receive a DFC grant, coalitions will be awarded funds for one year (covering the 12-month period from September 30, 2010–September 29, 2011). Funds for subsequent years within a Years 1-5 or Years 6-10 grant 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, timely submission of the continuation application and all required data and reports, and compliance with all terms and conditions of the award.

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

NOTE: All applicants must clearly state the program award year for which they are applying (e.g., Year 1, Year 2). Please indicate in Attachment 15 (see [Appendix L](#)) the status of the coalition and for which specific years you have received DFC support in the past. If your coalition had a break in funding, indicate each year you did not receive funding from the Drug Free Communities Program.

Coalitions that have received 10 years of funding or believe that they may have received 10 years of DFC funding should refer to the End of Grant Policy (Congressional 10-Year Funding Limit Policy) outlined in [Appendix J](#).

### III. ELIGIBILITY INFORMATION

#### 1. 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 all eligibility criteria.

All DFC applications will be jointly screened by ONDCP and SAMHSA to determine whether each applicant meets all the DFC Program eligibility requirements contained in the eligibility requirements below. In addition, the nonprofit status of the grantee organization will be verified along with its ability to fiscally manage Federal funds. Applications submitted by eligible coalitions that demonstrate that they meet all requirements will then be scored by an independent panel according to the evaluation criteria described in [Part V, Application Review Information](#).

DFC grant funds are intended to support eligible community-based coalitions focused on addressing youth substance use. **Applications submitted by applicants that do not demonstrate that they meet all of the eligibility requirements will not advance to the Peer Review stage. Nothing can be added to an application once it has been submitted.**

The following table contains a summary of the DFC eligibility requirements and the minimum documentation applicants must provide to meet the eligibility criteria. “Where to Document”

sections in the following table tell you where to include the required information in your application (e.g., as an attachment, in the Project Narrative, in the Budget Narrative). **Each year, DFC grantees must demonstrate compliance with all of the following eligibility criteria** to be considered for continued funding.

**TABLE 1: ELIGIBILITY CRITERIA**

<b>Eligibility Requirement Item(s):</b>	<b>Evidence Required and Where to Document:</b>
<p><b>Requirement 1:</b> The coalition must consist of one or more representatives of each of the following <b>required 12 sectors</b>:</p> <ol style="list-style-type: none"> <li>1. Youth (18 or younger)</li> <li>2. Parents</li> <li>3. Businesses</li> <li>4. Media</li> <li>5. Schools</li> <li>6. Organizations serving youth</li> <li>7. Law enforcement</li> <li>8. Religious or fraternal organizations</li> <li>9. Civic/Volunteer groups (i.e., local organizations committed to volunteering; not a coalition member designated “volunteer”)</li> <li>10. Healthcare professionals</li> <li>11. State, local, or tribal governmental agencies with expertise in the field of substance abuse (including, if applicable, the State authority with primary authority for substance abuse)</li> <li>12. Other organizations involved in reducing substance abuse</li> </ol> <p><i>*(21 USC 1531 §1032 (a)(2)(A))</i></p> <p>An individual who is a member of the coalition may serve on the coalition as a representative of not more than one sector category.</p> <p><i>*(21 USC 1531 §1032 (a)(2)(C))</i></p>	<p><b>Evidence Required:</b> In table format, applicants must list:</p> <ul style="list-style-type: none"> <li>• Each of the required 12 sectors.</li> <li>• <b>One person</b> for each sector (listing more than one person will not increase an applicant’s score).</li> <li>• The agency/organization each person represents.</li> <li>• The contribution of the individual and agency/organization toward the coalition’s work.</li> </ul> <p><b>Neither paid staff, nor the person responsible for signing the CIA* on behalf of the coalition, is allowed to be listed as a sector member.</b></p> <p><b>NOTE:</b> A sample table is provided as <a href="#">Appendix E</a>. Applicants must use the same format as found in the sample.</p> <p>Applicants must also attach a Coalition Involvement Agreement* (CIA) from the person listed in the sector table for each of the 12 required sectors. Therefore, a total of 12 CIAs are required. Including more than 12 will not increase the applicant’s score. If someone must sign the CIA other than the person listed as the sector member (e.g., the sector member’s supervisor), the person listed in the sector table must be named the sector member by the person who signs the CIA (e.g., Sergeant Smith signing for Officer Jones, the designated sector member).</p> <p>*A sample CIA is provided as <a href="#">Appendix F</a> of this RFA. Applicants are not required to use the same format as is found in the sample. However, each CIA must <b>clearly</b> identify the name of the individual representative, the agency/organization the individual is affiliated with, and the sector he/she represents on the coalition, in addition to a detailed description of the individual’s role and contribution as a member of the coalition.</p> <p><b>Where to Document:</b> Attachment 1 – Sector Member Table Attachment 2 – 12 CIAs</p>

Eligibility Requirement Item(s):	Evidence Required and Where to Document:
<p><b>Requirement 2:</b> The coalition must demonstrate that the coalition members have worked together on substance abuse reduction initiatives for a period of <b>not less than 6 months at the time of the application</b>, acting through entities such as task forces, subcommittees, or community boards.</p> <p><i>*(21 USC 1531 §1032 (a)(3)(A))</i></p> <p>The coalition must also demonstrate <b>substantial participation from volunteer leaders</b> in the community.</p> <p><i>*(21 USC 1531 §1032 (a)(3)(B))</i></p>	<p><b>Evidence Required:</b> Applicants must submit <b>two sets of the applicant coalition’s meeting minutes</b>. Both sets of meeting minutes must show that the coalition has been actively involved in working to reduce youth substance use in the proposed community. Additional sets of minutes will not increase the applicant’s score. One set of minutes must be from a coalition meeting that took place <b>between January 1, 2009 and September 30, 2009</b>. The second set of minutes must be from a coalition meeting that took place <b>between October 1, 2009 and the deadline for submission of this application</b>. <b>These specific timeframes are used to determine the coalition’s length of existence.</b></p> <p>Both sets of minutes must:</p> <ul style="list-style-type: none"> <li>• Represent the coalition’s meetings and not those of an outside agent applying on behalf of a coalition.</li> <li>• Include the month, date, and year of the coalition meeting.</li> <li>• Indicate that the coalition has been involved in reducing community youth substance use.</li> <li>• Demonstrate coalition membership involvement, including, but not limited to, the 12 required sectors (not all 12 sectors must be present at all meetings). Please include in the list of attendees the sector that each attendee represents.</li> <li>• Indicate work on youth substance use prevention and reduction and not simply the initial establishment of the coalition.</li> </ul> <p><b>Where to Document:</b> Attachment 3 – Two sets of coalition minutes within the specified timeframes</p>
<p><b>Requirement 3:</b> The coalition must have as its <b>principal mission the reduction of substance abuse</b>, which, at a minimum, includes the use and abuse of drugs in a comprehensive and long-term manner, with a primary focus on youth in the community.</p> <p><i>*(21 USC 1531 §1032 (a)(3)(B)(4)(A))</i></p>	<p><b>Evidence Required:</b> Applicants must provide a copy of the <b>coalition’s</b> (NOT the applicant’s) mission statement. It must be clear to the reviewers that the principal mission of the coalition is youth substance use reduction and/or prevention.</p> <p><b>Where to Document:</b> Attachment 4 – Coalition’s mission statement</p>

Eligibility Requirement Item(s):	Evidence Required and Where to Document:
<p><b>Requirement 4:</b>  Applicants must have developed a strategic/action plan to reduce substance use among youth which targets <b>multiple drugs of abuse</b>.</p> <p>Substances may include, but are not limited to, narcotics, depressants, stimulants, hallucinogens, inhalants, marijuana, alcohol, and tobacco, where their use is prohibited by Federal, State, or local law.</p> <p><i>*(21 USC 1531 §1032 (a)(4)(D))</i></p>	<p><b>Evidence Required:</b>  Applicants must identify strategies that target, at a minimum, two specific drugs of use in their Action Plans. <b>Each drug must be named specifically and individually</b>. Do not use “ATOD” to describe the drugs being addressed by the coalition.</p> <p><b>Where to Document:</b>  <a href="#">Part V-1, Section A</a>, Question 13</p>

Eligibility Requirement Item(s):	Evidence Required and Where to Document:
<p><b>Requirement 5:</b> The applicant/coalition must demonstrate that the coalition is an ongoing concern by demonstrating that the coalition is a nonprofit organization; or has made arrangements with a legal entity that is <b>eligible to receive Federal grants</b>.</p> <p><i>*(21 USC 1531 §1032 (a)(5)(A))</i></p> <p><b>Organizations eligible to receive Federal funds as applicants must be legally recognized domestic public or private nonprofit entities.</b> For example, State and local governments; Federally recognized tribes; State recognized tribes; urban Indian organizations (as defined in P.L. 94-437, as amended); 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.</p> <p><i>*(HHS Grants Policy Statement, January 1, 2007 – Eligibility, page I-11)</i></p> <p>Grantee Financial Management Requirements: Federal regulations governing SAMHSA grants (45 CFR Part 74 and 45 CFR Part 92) provide standards for financial management systems of grantee organizations. To determine whether grantees have financial management systems that conform to those standards, SAMHSA’s Financial Advisory Services Officers (FASO) perform Financial Capability Reviews of new or prospective grantees. Based on a recent report on an audit performed in accordance with OMB Circular A-133, or a combination of financial statements together with accounting and personnel policies &amp; procedures (P&amp;P), the FASO will make a determination of the organization’s ability to adequately administer Federal awards. If needed, the FASO will request that the grantee take necessary corrective action to conform to the financial management standards.</p> <p><a href="http://www.samhsa.gov/grants/management.aspx">http://www.samhsa.gov/grants/management.aspx</a></p>	<p><b>Evidence Required:</b></p> <ol style="list-style-type: none"> <li>1. A coalition that is eligible to receive Federal grant funds on its own should simply state that it is a legally eligible entity.</li> <li>2. If a coalition is not eligible on its own to receive Federal grants, it must make arrangements with a legal entity that will apply for the grant on behalf of the coalition and serve as the “grantee” for the grant. In this case, the grantee must be the legal applicant, the recipient of the award, and the entity legally responsible for satisfying the grant requirements, including terms and conditions of award. This includes conformance with HHS grantee financial management requirements, fulfilling audit requirements, and reporting financial status, progress, and other related documents.</li> </ol> <p><b>For a coalition not acting as its own grantee, the application must include a completed and signed Memorandum of Understanding (MOU)* between the coalition and the legal entity that will serve as the grantee if awarded the grant.</b></p> <p>*A sample MOU is provided as <a href="#">Appendix H</a>. The coalition and grantee are not required to use the exact template provided for their own MOU. See <a href="#">Appendix G</a> for guidance on the role of a grantee.</p> <p><b>Where to Document:</b> Attachment 5 – MOU or statement of legal eligibility</p>

Eligibility Requirement Item(s):	Evidence Required and Where to Document:
<p><b>Requirement 6:</b> The coalition must have a <b>strategy to solicit substantial financial support from non-Federal sources</b> to ensure that the coalition is self-sustaining.</p> <p><i>*(21 USC 1531 §1032 (a)(5)(C)) &amp; *(21 USC 1531 §1032 (b)(1)(A)(i))</i></p>	<p><b>Evidence Required:</b> <b>Applicants must show at least dollar for dollar (1:1) matching funds</b> in their detailed one-year Budget Narrative. These matching funds must come from non-Federal sources. Applicants must itemize the match separately in the budget and explain the match separately in the Budget Narrative (see <a href="#">Section B</a>).</p> <p>Applicants with representation that includes at least one Native American may use Federal funds as match. These applicants must indicate this in Attachment 10.</p> <p>Make sure the budget totals match on all RFA documentation, including the 424 v2 and 424A.</p> <p><b>Where to Document:</b> <a href="#">Part V-1, Section B</a>, Budget Narrative 424 v2 424A Attachment 10 – Table from <a href="#">Section F</a> (if applicable)</p>
<p><b>Requirement 7:</b> The applicant <b>must not request more than \$125,000</b> in Federal funds.</p> <p><i>*(PL 109-469 §803)</i></p>	<p><b>Evidence Required:</b> Applicants’ budgets <b>may not show a request for Federal funds that exceeds \$125,000/year</b>, excluding Federal match from Requirement 6 above.</p> <p>Make sure the budget totals match on all RFA documentation, including the 424 v2 and 424A.</p> <p><b>Where to Document:</b> <a href="#">Part V-1, Section B</a>, Budget Narrative 424 v2 424A</p>

Eligibility Requirement Item(s):	Evidence Required and Where to Document:
<p><b>Requirement 8:</b>  <b>Two coalitions may not serve the same zip codes unless both coalitions have clearly described their plan for collaboration</b> in their applications and each coalition has independently met the eligibility requirements.</p> <p><i>*(21 USC 1531 §1032 (a)(5)(C))</i></p>	<p><b>Evidence Required:</b>  Each applicant coalition that proposes to overlap with an existing or newly applying DFC coalition (see <a href="http://www.ondcp.gov/dfc">http://www.ondcp.gov/dfc</a> for a list of existing DFC grantees by State) must provide a Letter of Mutual Cooperation between their coalition and the overlapping coalition that outlines their current plans and areas of collaboration.</p> <p>As part of the eligibility screening process, zip codes will be checked. “Zip codes served” from <a href="#">Section F</a> of the application are used to determine overlaps. If the applicant coalition overlaps with another applicant coalition and/or with an existing DFC grantee, Letters of Mutual Cooperation between the applicant and the other coalitions must be included as Attachment 6.</p> <p>In cases of overlap where there is not evidence of collaboration between two coalitions, coalitions already inside a five-year grant cycle will be given preference. If the overlap occurs between two new applicants, the one that scores higher in Peer Review will be given preference.</p> <p><b>Where to Document:</b>  Attachment 6 – Letter(s) of Mutual Cooperation or statement that there is no overlap between the applicant and other coalitions  Attachment 10 – Table from <a href="#">Section F</a></p>
<p><b>Requirement 9:</b>  Applicants/grantees may be awarded <b>only one grant at a time</b> through the DFC Support Program.</p>	<p><b>Evidence Required:</b>  Applicants must sign and submit the Applicant Assurance which is included as <a href="#">Appendix I</a>.</p> <p><b>Where to Document:</b>  Attachment 7 – Applicant Assurance</p>
<p><b>Requirement 10:</b>  Coalition may not receive more than 10 years of DFC funding (see details in <a href="#">Appendix J</a>).</p>	<p><b>Evidence Required:</b>  Applicants must print and sign the Applicant Assurance of Compliance with the End of Grant Policy (Congressional 10-Year Funding Limit Policy) which is included as <a href="#">Appendix J</a>.</p> <p><b>Where to Document:</b>  Attachment 8 – End of Grant Policy (Congressional 10-Year Funding Limit Policy )</p>

## 2. COST SHARING AND MATCH REQUIREMENTS

The DFC authorizing legislation requires grantees to demonstrate that they have matching funds from non-Federal sources for those funds awarded by the DFC Support Program. Applicants must itemize the match separately in the budget and explain the match separately in the Budget Narrative. (A sample Budget Narrative is provided in [Appendix A](#) of this announcement.) Applicants in their first cycle of DFC funding (Years 1-5) and those in Year 6 are required to have, each year, 100% match (1:1) from non-Federal sources. Beginning in Year 7, the percentage increases. **The table below indicates the percentage of match required for DFC grantees in each year of the grant.**

**TABLE 2: PERCENTAGE OF MATCH**

Year 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, including but not limited to office space, volunteer secretarial services, pro bono accounting services, and other personnel serving in a volunteer capacity to support the coalition's work.

An increased match level over the required amount will not result in a higher review score and should only be included if the additional amount of match funding is required for executing activities funded by the grant.

**All proposed match information included 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 gather 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.**

The DHHS Grants Policy Statement will help you understand allowable costs, volunteer rates, and conflict of interest issues. 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**

#### **3.1 Additional Eligibility Requirements**

Applicants must use the Application for Federal Assistance Form PHS 5161-1 available at <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 [Appendix B](#) of this document.

#### **3.2 Freedom of Information Act (FOIA) Disclaimer**

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

## **IV. APPLICATION AND SUBMISSION INFORMATION**

### **1. ADDRESS TO REQUEST APPLICATION PACKAGE**

You may request a complete application kit from the SAMHSA Health Information Network at 1-877-SAMHSA7 [TTY: 1-800-487-4889]. You also may download the required documents from the SAMHSA Web site at <http://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 that relate to SAMHSA grants (e.g., guidelines on cultural competence, consumer and family participation, and evaluation)
- a list of certifications and assurances referenced in item 21 of the SF 424 v2

When submitting an application, be sure to type “**SP-10-005 – DFC Support Program**” in Item Number 12 on the face page of the application form.

DFC application support information may be found on the Drug Free Communities Web site at <http://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 GRANT APPLICATION SUBMISSION**

#### **2.1 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. Applicants 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 a description of the program, specific information about the availability of funds, and instructions for completing the grant application. This document is the RFA. The RFA is available on the SAMHSA Web site (<http://www.samhsa.gov/grants/index.aspx>) and a synopsis of the RFA is available on the Federal grants Web site (<http://www.Grants.gov>).

Applicants must use all of the above documents in completing their applications.

## 2.2 Required Application Components

Applications must include the required application components. These components must be submitted in the order detailed below. Please refer to [Appendix B](#) for additional submissions requirements (e.g., font size, page margins).

1. **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 <http://www.dnb.com/us> 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.]
2. **Budget Form** – Use SF 424A, which is part of the PHS 5161-1. Fill out Sections B, C, and E of the SF 424A. A sample Budget Narrative is included in [Appendix A](#) of this document. Your completed form SF 424A should reflect the final numbers as they appear in your Budget Narrative.
3. **Congressional Justification** – The Congressional Justification should not be longer than 35 lines. In the first five lines or less, write a summary of the proposed coalition work that can be used, if the application is funded, in publications, reports to Congress, or press releases. A template Congressional Justification is provided in [Appendix K](#). **Your Congressional Justification should be placed prior to the Table of Contents.**
4. **Table of Contents** – Number every page of the application, including Supporting Documentation, beginning with your Table of Contents as Page 1. In the Table of Contents, include the page numbers for each of the major sections of the application and for each attachment.

5. **Community Overview** – The Community Overview describes the key features of the community. It may be no longer than 1 page in length.
6. **Project Narrative** – The Project Narrative describes the efforts the coalition will undertake to address youth substance use. It consists of Section A and may not be longer than 30 pages. (Remember that if the Project Narrative starts on page 5 and ends on page 35, it is 31 pages long, not 30 pages.) More detailed instructions for completing the Project Narrative are provided in [Part V. Application Review Information](#) of this document.
7. **Budget Narrative** – The Budget Narrative ([Section B](#)) provides narrative detail about both the Federal request and the non-Federal match.
8. **Attachment 1** – Sector Member Table (see [Appendix E](#))
9. **Attachment 2** – 12 CIAs (see [Appendix F](#)); including more than the 12 required CIAs will not increase an applicant’s score.
10. **Attachment 3** – Two sets of meeting minutes within the specified timeframes
11. **Attachment 4** – Coalition’s mission statement
12. **Attachment 5** – MOU or statement that the coalition is legally eligible to receive a grant (see [Appendix H](#))
13. **Attachment 6** – Letter(s) of Mutual Cooperation or statement that the zip code overlap requirement does not apply
14. **Attachment 7** – Applicant Assurance of No More than One DFC Grant (see [Appendix I](#))
15. **Attachment 8** – Assurance of Compliance with the End of Grant Policy (Congressional 10-Year Funding Limit Policy) (see [Appendix J](#))
16. **Attachment 9** – Resumes and Job Descriptions
17. **Attachment 10** – Table from [Part V-1, Section F](#)
18. **Attachment 11** – Table from [Part V-1, Section G](#)
19. **Attachment 12** – Organizational Chart
20. **Attachment 13** – Logic Model
21. **Attachment 14** – Letter to the Single State Authority (SSA)
22. **Attachment 15** – Disclosure of DFC Coalition Information (see [Appendix L](#))

23. **Attachment 16** – Forms, Certifications, Disclosures, and Assurances

- **Project Performance Site Location(s) Form** – This form is part of the PHS 5161-1. The purpose of this form is to collect location information on the site(s) where work funded under this grant announcement will be performed.
- **Assurance of Compliance with SAMHSA Charitable Choice Statutes and Regulations Form SMA 170** – Non-Construction Programs. Applicants must read the list of assurances provided on the SAMHSA Web site or in the application kit before signing the face page (SF 424 v2) of the application. Applicants are also required to complete the Assurance of Compliance with SAMHSA Charitable Choice Statutes and Regulations Form SMA 170. This form will be posted on SAMHSA’s Web site with the RFA and provided in the application kit available at <http://www.samhsa.gov/grants/index.aspx>.
- **Certifications** – Applicants 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** – Applicants must submit 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.

24. **Additional attachments as desired** (documents not required do not have to be included in the application)

25. **Checklist** – Use the Checklist found in PHS 5161-1. The Checklist ensures that the applicant has obtained the proper signatures, assurances, and certifications. If you are submitting a paper application, the PHS 5161-1 Checklist should be the next-to-last page.

26. **Pre-Submission Checklist** – Use the Checklist found in [Appendix N](#). This Checklist ensures that you have accurately documented the eligibility requirements and included all major components of the application. If submitting a paper application, the Pre-Submission Checklist should be the last page.

## 2.3 Application Formatting Requirements

Please refer to [Appendix B](#), *SAMHSA Checklist for Formatting Requirements and Screen-Out Criteria*, for SAMHSA's basic application formatting requirements. Applications that do not comply with these requirements will be screened out and will not be reviewed.

## 3. SUBMISSION DATES AND TIMES

Applications are due by close of business on **March 19, 2010**. Hard copy applications are due by 5:00 PM (EST). Electronic applications are due by 11:59 PM (EST). **SAMHSA will not accept or consider any applications that are hand carried or sent by facsimile. Applications may be shipped using only Federal Express (FedEx) or United Parcel Service (UPS).**

Within 30 days of submission, applicants will be notified by postal mail that their applications have been received.

**The application must be received by the application deadline or it will not be considered for review.** 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 the application by the deadline, it will be considered late and ineligible for review.

SAMHSA accepts electronic submission of applications through <http://www.Grants.gov>. Please refer to [Appendix C](#) for "Guidance for Electronic Submission of Applications." **If submitting electronically through Grants.gov, it is very important that applicants thoroughly read the application information provided in [Appendix C](#).**

## 4. INTERGOVERNMENTAL REVIEW (E.O. 12372) REQUIREMENTS

This grant program is covered under Executive Order (EO) 12372, as implemented through Department of Health and Human Services (DHHS) regulation at 45 CFR Part 100. Under this Order, States may design their own processes for reviewing and commenting on proposed Federal assistance under covered programs. Certain jurisdictions have elected to participate in the EO process and have established State Single Points of Contact (SPOCs). A current listing of SPOCs is included in the application kit and can be downloaded from the Office of Management and Budget (OMB) Web site at [http://www.whitehouse.gov/omb/grants\\_spoc](http://www.whitehouse.gov/omb/grants_spoc).

- 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 and receive any necessary instructions on the State's review process.
- For proposed projects serving more than one State, applicants 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, 1 Choke Cherry Road, Room 3-1044, Rockville, MD **20857**. ATTN: SPOC – Funding Announcement No. SP-10-005. Change the zip code to **20850** if you are using another delivery service.

In addition, if the applicant is a community-based, non-governmental service provider and is not transmitting the application through the State, the applicant must submit a Public Health System Impact Statement (PHSIS)<sup>1</sup> 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. Applicants that are a State or local government or American Indian/Alaska Native Tribe or tribal organization are not subject to these requirements.

The PHSIS consists of the following information:

- a copy of the face page of the application (SF 424 v2); and
- 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 for substance abuse can be found on SAMHSA's Web site at <http://www.samhsa.gov/grants/apply.aspx>. If the proposed project falls within the jurisdiction of more than one State, you should notify all representative SSAs.

If applicable, applicants must include a copy of a letter transmitting the PHSIS to the SSA as Attachment 14. The letter must notify the State that, if it wishes to comment on the proposal, its comments should be sent no 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, 1 Choke Cherry Road, Room 3-1044, Rockville, MD **20857**. ATTN: SSA – Funding Announcement No. SP-10-005. Change the zip code to **20850** if you are using another delivery service.

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<sup>1</sup> 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).

In addition:

- Applicants may request that the SSA send them a copy of any State comments.
- The applicant must notify the SSA within 30 days of receipt of an award.

## **5. 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 Support Program 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 any lease beyond the project period.
- 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.)
- Food is generally unallowable. Exceptions could include when food is used as a small incentive (not to exceed \$2.50 per person) to encourage participation in a community-wide event. Food is not allowable for general coalition or subcommittee meetings.
- No more than 20% of the total grant award may be used for data collection and evaluation.
- SAMHSA will not accept a "research" indirect cost rate. The grantee must use the "other sponsored program" rate or the lowest rate available.

## **6. OTHER SUBMISSION REQUIREMENTS**

Applicants may submit an application in either paper or electronic format:

### **Submission of Paper Applications**

Applicants must submit an original application and 2 copies (including attachments) via Federal Express (FedEx) or United Parcel Service (UPS) to the address below. The original and copies must not be bound. Do not use staples, paper clips, or fasteners. Nothing should be attached, stapled, folded, or pasted. Submit paper applications to:

Crystal Saunders, Director of Grant Review  
Office of Program Services  
Substance Abuse and Mental Health Services Administration  
1 Choke Cherry Road  
Room 3-1044  
Rockville, MD 20850

If a phone number is required for delivery, use (240) 276-1199.

Do not send applications to other agency contacts, as this could delay receipt. Be sure to include “DFC SP-10-005” in item number 12 on the face page (SF 424 v2) of any paper applications. As stated in [Part IV-3](#), SAMHSA will not accept or consider any applications that are hand carried or sent by facsimile.

Please refer to [Appendix B](#) for detailed instructions on submitting your paper application.

### **Submission of Electronic Applications**

SAMHSA accepts electronic submission of applications through <http://www.Grants.gov>. Electronic submission is voluntary. No review points will be added or deducted, regardless of whether the electronic or paper format is used.

To submit an application electronically, applicants must use the <http://www.Grants.gov> apply site. Applicants will be able to download a copy of the application package from <http://www.Grants.gov>, complete it off-line, and then upload and submit the application via <http://www.Grants.gov>. E-mail submissions will not be accepted.

Please refer to [Appendix C](#) for detailed instructions on submitting the application electronically.

## **V. APPLICATION REVIEW INFORMATION**

### **1. EVALUATION CRITERIA**

This portion of the RFA contains the Community Overview and Sections A-L. General instructions for completing these sections are provided below. In addition to following these instructions, be sure to carefully read and respond to the guidance, questions, and instructions that pertain to each individual section in the pages that follow.

#### **1.1 General Instructions**

##### **Community Overview (Not Scored)**

Provide a brief community context. This is the applicant’s opportunity to “set the stage” for Peer Reviewers in terms of what makes the community unique and in need of DFC funding. This

description should be on a single sheet of paper titled Community Overview, and must be no longer than 1 page. It should be placed between the Table of Contents and Project Narrative.

### **Project Narrative (Scored)**

The Project Narrative (Section A) includes 18 questions that guide you in describing your community's youth substance use problems and your plan to address them. If you meet the eligibility requirements outlined in [Part III](#) of this RFA, your Project Narrative will be scored by a Peer Review panel. In developing the Project Narrative, use the instructions outlined below, which have been tailored to this program. **You must use these instead of the Program Narrative instructions found in the PHS 5161-1.**

- The Project Narrative (Section A) may be **no longer than 30 pages**.
- Restrictions related to font size and page margins found in [Appendix B](#) must be followed.
- You must respond to each question individually.
- You **must retype the bold question** directly above each response you provide. Be sure to place all responses and required information under the correct question or they will not be considered or scored.
- Responses to the 18 questions should build upon and reference each other, so the application tells a cohesive story of the coalition's plans for addressing the two DFC goals.
- The Project Narrative will be scored according to how well you address the requirements for each question. Although score weights are not assigned to individual bullets, each bullet will be assessed when determining the score for each question.

### **Budget Narrative (Scored)**

In Section B, you must provide a detailed Budget Narrative using the structure and format as that of the sample provided in [Appendix A](#).

- The Budget Narrative must be in written form with detailed information appearing below each individual budget line item or category.
- There is no page limit for your Budget Narrative.

## **Sections C – L (Unscored)**

In Sections C, D, E, F, G, H, I, J, K, and L, you are asked to provide Supporting Documentation for various components of your application as Attachments to the application. Please read each section carefully and provide all requested information in the appropriate Attachments.

Most of the Supporting Documentation you provide for Sections C – L is used to determine whether your application meets the eligibility criteria. Therefore, although these sections are not directly scored by Peer Reviewers, they are critical in your application's ability to move forward to Peer Review. In addition, Peer Reviewers will consider these sections while assessing your responses in Section A.

### **1.2 Application Scoring Instructions**

Peer Reviewers will judge the responses to each question in Section A on a scale of 0-3 points. Peer Reviewers for the DFC applications are primarily current DFC grantees. Applicants are encouraged to remember their audience and focus their answers to accurately describe their coalitions to Peer Reviewers.

- 3 points: Answer is outstanding, complete, feasible, and realistic, with a high likelihood of successful implementation in the judgment of the reviewer.
- 2 points: Answer is sufficient and somewhat complete, feasible, and realistic, with a reasonable likelihood of successful implementation in the judgment of the reviewer.
- 1 point: Answer is insufficient, providing minimal feasibility and realism, with a low probability of successful implementation in the judgment of the reviewer.
- 0 points: Answer is poor, lacks completeness and feasibility, and is not realistic.

To arrive at the total points for each question, Peer Reviews will calculate the 0-3 score and then multiply that score by the multiplier provided in parentheses after each question. Multipliers range from 1 to 3, making questions worth a total of 3, 6, or 9 points each. Peer Reviewers will tally the number of the points each applicant receives for each question to create a total score for Section A (scores will range from 0 to 93 points).

In scoring Section B, Peer Reviewers will determine whether items identified in the budget (Federal request and non-Federal match) align with the activities outlined in your Action Plan and the DFC Program priorities using a 0-3 point scale.

- 3 points: Budget completely supports the objectives in the Action Plan; demonstrates outstanding support for environmentally-based, community-wide change; and makes effective use of both Federal grant funds and required matching funds.
- 2 points: Budget sufficiently supports the objectives in the Action Plan; demonstrates some support for environmentally-based, community-wide change; and makes adequate use of both Federal grant funds and required matching funds.

- 1 point: Budget insufficiently supports the objectives in the Action Plan; demonstrates minimal support for environmentally-based, community-wide change; and makes inadequate use of both Federal grant funds and required matching funds.
- 0 points: Budget does not support the objectives in the Action Plan and demonstrates no support for environmentally-based, community-wide change.

The score of 0-3 points will then be multiplied by 2.3. The resulting score for Section B will range from 0 to 7 points.

### 1.3 Questions/Items for Response When Writing Your Application

#### Community Overview (Not Scored)

Include a brief overview of your community prior to providing your responses to the scored questions in the Project Narrative (Section A). Type the heading **Community Overview**, then describe your community, including all aspects of its diversity. **The overview is not scored and does not count toward your 30 page limit. However, it can be no longer than 1 page in length.**

- Paint a picture of the community, including demographics and aspects of diversity such as age, race, ethnicity, gender, socioeconomic status, culture, religion, and sexual orientation, as applicable.
- Tell the story that describes what it is like to grow up in your community.
- Provide an historical perspective if there have been significant shifts or events.

#### Section A: Project Narrative (scored; maximum score: 93 points)

The following questions are based on the Strategic Prevention Framework (SPF), the required mobilization and planning method for the Drug Free Communities Support Program. Bolded questions are followed by bulleted items for clarification. See Application Scoring Instructions on page 29 for scoring information. Applicants should answer the bolded questions, using the bulleted items for guidance. In the response, applicants should **type only the bolded questions** followed by their complete answers.

1. **What are the community's youth substance use-related problems?** (multiplier of 1)  
Responses should address, but are not limited to, the following:
  - Youth substance use data/trends
  - Data related to youth access to substances that can be abused
  - Data related to youth consequences (i.e., social indicators) such as crime data, juvenile justice/social services referrals, school failure, impaired driving rates, emergency room data, substance abuse treatment admissions, teen pregnancy rates, and dating violence and sexual assault statistics
2. **What factors contribute to the community's youth substance use-related problems?** (multiplier of 2) Responses should address, but are not limited to, the following:
  - Environmental factors/conditions (e.g., outlet density)

- Policies and practices (e.g., licensing laws, local ordinances)
  - Community norms (e.g., denial, lack of readiness)
  - Inconsistent enforcement of laws and policies
  - Lack of coordination of existing agencies, organizations, and services
  - Insufficient involvement of key community leaders and decision makers
  - Inadequate financial resources
  - Access to services (e.g., treatment)
3. **What resources are available in the community to address youth substance use?** (multiplier of 1) Responses should address, but are not limited to, the following:
- Effective collaborations
  - Partners and systems supportive of positive youth development
  - Youth and adult volunteers, including time utilized for in-kind match
  - Financial resources, including in-kind match
  - Policies, practices, programs, and services
  - Training opportunities
4. **How has the coalition used data to inform and mobilize the community?** (multiplier of 1) Responses should address, but are not limited to, the following:
- Traditional media (e.g., radio/newspaper PSAs, brochures, community report cards)
  - Social media (e.g., Web sites, blogs, listservs)
  - Interactive feedback sessions (e.g., town halls, world cafés)
5. **How did the coalition organize/mobilize to respond to the identified youth substance use issues?** (multiplier of 1) Responses should address, but are not limited to, the following:
- Brief coalition history
  - Coalition’s mission and vision
  - Coalition’s evolution over time, including organizational maturation and response to changing community situations
  - Explanation of when and how youth substance use prevention was included in or added to the coalition’s focus
6. **What are the major duties and relevant experience of the coalition’s key paid staff and volunteer leadership?** (multiplier of 2) Responses should address, but are not limited to, the following:
- History/connection of the grantee/legal entity to youth substance use prevention/reduction (if applicable)
  - Duties and experience of the Program Director/Project Coordinator (provide resumes and/or job descriptions as Attachment 9)
  - Duties and experience of volunteer leaders (e.g., chairperson, committee chairs)
  - Coordination/collaboration between key leaders (paid staff and volunteer leaders), including the distribution of duties and strategies for shared leadership

7. **How has the coalition engaged volunteers/partners, including the required 12 sector members?** (multiplier of 2) Responses should address, but are not limited to, the following:
- Key activities of volunteers/partners
  - Shared ownership of coalition's efforts
  - Sector contribution of resources (additional detail may be included in CIAs – see [Appendix F](#))
  - Access to community leaders and decision makers
  - Engagement of diverse populations within the community
  - Available board leadership or youth substance use prevention training
8. **What are the coalition's operational structures?** (multiplier of 2) Responses should address, but are not limited to, the following:
- Leadership and committee structure (include Organizational Chart as Attachment 12)
  - Coalition's decision-making process, including a description of the types of decisions routinely made by the following: staff, elected coalition leaders, coalition committees (if applicable), and general coalition membership
  - Leadership selection processes, including the selection process for current leaders and office/role term limits
9. **What is the coalition's financial structure?** (multiplier of 2) Responses should address, but are not limited to, the following:
- Coalition's role in planning and allocating resources, monitoring grant funds, and making personnel decisions
  - Grantee/legal entity's role in planning and allocating resources, monitoring grant funds, and making personnel decisions (if applicable)
  - Systems, policies, and procedures related to financial decision-making
10. **What are the coalition's communication mechanisms?** (multiplier of 1) Responses should address, but are not limited to, the following:
- Internal and external communication structures or processes
  - Use of appropriate technology for the community
  - Culturally appropriate communications for all members of the community
11. **What planning process has the coalition used to address youth substance use?** (multiplier of 2) Responses should address, but are not limited to, the following:
- Coalition members' involvement in planning
  - Community participation (beyond coalition membership)
  - Use of data and current research
  - Prioritization process for determining what to address and in what order

12. **What key environmental strategies will the coalition employ to create community change?** (multiplier of 2) Responses should address, but are not limited to, the following:

- Connection between identified problems and strategies
- Identification of policies and practices that will be changed by the strategies
- Evidence that the strategies will impact the identified problems
- Reference the Logic Model (Attachment 13), if desired

13. **What is the coalition’s plan for addressing youth substance use in the first 12 months after the awarding of the DFC grant?** (multiplier of 3) Provide the coalition’s Action Plan in table format (shown below) for the first year of funding (September 30, 2010 through September 29, 2011). Under DFC Goal 1, include objectives, strategies, and activities that will strengthen the coalition’s internal capacity (e.g., leadership, management, board structure, recruitment, resource attainment), as well as increase overall community collaboration. Under DFC Goal 2, include objectives, strategies, and activities that will impact community youth substance use (e.g., policy changes, enforcement efforts, physical design changes, media advocacy). Please remember that the Action Plan must include objectives, strategies, and activities that target at least 2 substances. The table should fall within the text of this section and will count toward the 30 page limit.

Note: Applicants who are mailing their applications may use Times New Roman, 10-point font inside the table and utilize a landscape page orientation, if desired.

Applicants can have as many objectives, strategies, and activities as necessary to meet the specified goals.

**TABLE 3: 12-MONTH ACTION PLAN**

Cells in the tables below are intentionally left blank. Applicants should utilize these cells to describe planned activities, responsible parties, target dates, and resources.

**DFC Goal 1: Increase community collaboration**

Objective 1: *List your specific objective.*

Strategy 1: *List your specific strategy.*

Activity	Responsible Party/Parties	Target Date (By when?)	Resources (Who is helping? List funding sources.)

Strategy 2: *List your specific strategy.*

Activity	Responsible Party/Parties	Target Date (By when?)	Resources (Who is helping? List funding sources.)

**DFC Goal 2: Reduce youth substance use**

Objective 1: *List your specific objective.*

Strategy 1: *List your specific strategy.*

Activity	Responsible Party/Parties	Target Date (By when?)	Resources (Who is helping? List funding sources.)

Strategy 2: *List your specific strategy.*

Activity	Responsible Party/Parties	Target Date (By when?)	Resources (Who is helping? List funding sources.)

14. **How will the coalition implement the strategies and activities listed in the Action Plan?** (multiplier of 2) Responses should address, but are not limited to, the following:
- Role of staff, sector members, and other community volunteers
  - Engagement of key community leaders and decision makers
  - Identification of predictable barriers
  - Processes to address unexpected challenges and barriers, including modifying the Action Plan

15. **What is the coalition’s formal monitoring mechanism for ensuring effective implementation?** (multiplier of 2) Responses should address, but are not limited to, the following:
- Routine monitoring of the Action Plan by coalition members
  - Tracking processes and procedures
  - Keeping coalition members and the community informed of progress

16. **How will trends in community data be monitored to determine the coalition’s impact on the identified problems?** (multiplier of 2) Responses should address, but are not limited to, the following:
- Determination of indicators to be measured on an ongoing basis
  - Processes to be used to periodically collect and analyze social indicator data referenced in Question 1 of the Project Narrative

17. **How will the coalition collect the data required for the reporting of the core measures required for the National DFC Cross-Site Evaluation?** (multiplier of 2) Responses should address, but are not limited to, the following:
- Survey(s) that are currently in place in the coalition’s community that will provide a representative sample and will comply with DFC Program requirements (see [Part I-4.2](#))
  - Processes that will be used to gain the required DFC Program data in the specified time period if there is no survey currently in place
  - Relationships that exist or will have to be built in order to obtain and analyze the required DFC Program data

**18. How will the coalition maintain resources needed to achieve long-term goals?**

(multiplier of 1) Responses should address, but are not limited to, the following:

- Sustainability planning (steps already taken or planned)
- Ensuring human capital (volunteer and partner engagement)
- Securing financial resources
- Institutionalizing community changes, policies, practices, and procedures

**\*\*From this point forward, the information you submit does not count against your 30 page limit.\*\***

**Section B: Budget Narrative (scored; maximum score: 7 points)**

In this section, applicants must provide a one-year Budget Narrative (budget detail and justification). The Budget Narrative must include a description of matching resources and other support that the coalition will receive. You must use the template provided in [Appendix A](#), including providing a narrative description for each budget category for both Federal requests and non-Federal match. There is no page limit for the Budget Narrative. See Application Scoring Instructions on pages 29-30 for scoring information.

**1.4 Supporting Documentation**

Please include the information for Sections C – L as attachments to your application. This information should immediately follow Sections A and B with continuous page numbers that pick up exactly where the page numbers from Sections A and B terminate.

**Section C: Documentation for Eligibility Requirements**

Provide the documentation discussed in detail in [Part III. Eligibility Information](#) as Attachments 1-8.

**Section D: Resumes and Job Descriptions**

Applicants must include the following information as Attachment 9:

Include a resume (no longer than two pages) and a position description (no longer than one page) for the Program Director and Project Coordinator, and each additional key paid or in-kind position. If a person has been selected but not yet hired, include a letter of commitment from that individual along with a resume and position description. If no individual has been identified for a position, a position description is still required, along with an overview of your hiring plan.

Information on what should be included in resumes and position descriptions can be found on page 22, Item 6, in the Program Narrative section of the PHS 5161-1, available on the SAMHSA Web site at <http://www.samhsa.gov/grants/applicationkit.aspx>.

## Section E: Congressional Justification

Provide a Congressional Justification, no longer than 35 lines, immediately before the Table of Contents. A copy of the completed Congressional Justification should also be submitted via e-mail to [dfcnew2010@samhsa.hhs.gov](mailto:dfcnew2010@samhsa.hhs.gov). A sample Congressional Justification is included in [Appendix K](#) of this RFA. You must use this template. This information will be shared with members of Congress and the media, and may be posted to the DFC Web site, if the application is funded.

## Section F: General Applicant Information

In this section, you must provide the following information, in the following order, in the same format as below (provide each response in the cell directly below each question/request). Include this table as Attachment 10.

**TABLE 4: GENERAL APPLICANT INFORMATION**

Item	Questions and Responses
F1	Grant applicant (organization's legal name)
F1	<i>provide response here</i>
F2	Federal Dollar Amount Requested [same as Application Form, SF 424 v2, Line 18A and Budget Information Form, SF 424A, Line 7(1)]
F2	<i>provide response here</i>
F3	Name of coalition (if coalition is the applicant, indicate SAME and skip to F5)
F3	<i>provide response here</i>
F4	Coalition mailing address including: Street, PO Box, City, State, and Zip Code
F4	<i>provide response here</i>
F5	<p>There are two Key Personnel positions required for this grant: the Program Director and the Project Coordinator (see definitions in <a href="#">Appendix M</a>).</p> <p>The Program Director – who has daily oversight of the project – should be identified on the PHS 5161-1 Checklist, Part C.</p> <p>The contact information for the Project Coordinator – who should have the programmatic working knowledge of the coalition – should be listed below. This will be the person listed on the DFC Web site if you are awarded the grant.</p> <p>In some cases, the Project Coordinator may not be hired until after the grant is awarded. <b>Please select statement A or B as applicable to your coalition and provide the appropriate contact information as requested:</b></p> <p><b>A.</b> The Project Coordinator has been hired.</p> <p><b>B.</b> The Program Director will serve in this capacity until the position is hired – please use the Program Director contact information listed on the PHS 5161-1 for both positions. (skip to F12)</p>

<b>Item</b>	<b>Questions and Responses</b>
F5	<i>provide response here (A or B)</i>
F6	Project Coordinator name (or individual acting in this capacity)
F6	<i>provide response here</i>
F7	Agency or coalition position title (Project Coordinator or other title used)
F7	<i>provide response here</i>
F8	Mailing address including: Street, PO Box, City, State, and Zip Code
F8	<i>provide response here</i>
F9	Project Coordinator phone
F9	<i>provide response here</i>
F10	Project Coordinator fax
F10	<i>provide response here</i>
F11	Project Coordinator e-mail address
F11	<i>provide response here</i>
F12	Federal Congressional Districts served by the coalition (list the districts that the coalition will affect with DFC grant funds – establishes the service area)
F12	<i>provide response here</i>
F13	List every individual zip code for the geographic area of the community to be served by the coalition. Clarify if only part of a zip code is being served (e.g., natural divides such as rivers or highways that bisect zip codes). NOTE: There can only be one grant serving each location (i.e., zip code) unless the applicant demonstrates coordination with existing grantees or other coalitions currently applying for grants in the same area. Separate the zip codes with commas.
F13	<i>provide response here</i>
F14	Indicate whether the area(s) served is designated as an Economically Disadvantaged Area (see definition in <a href="#">Appendix M</a> ) by responding with Yes or No.
F14	<i>provide response here (Yes or No)</i>
F15	Indicate whether the area(s) served by the coalition is primarily rural or urban (see definitions in <a href="#">Appendix M</a> ) by responding with Rural or Urban.
F15	<i>provide response here (Rural or Urban)</i>
F16	If primarily rural, indicate if the county in which the coalition operates has a population of 30,000 or fewer people with the following statement, “The county of operation (XX county) has a population of 30,000 or fewer people.” Otherwise, type "N/A".
F16	<i>provide response here</i>
F17	Does the coalition serve a Federally recognized tribal area? Indicate Yes or No.
F17	<i>provide response here (Yes or No)</i>
F18	Does the coalition have representation that includes at least one Native American? Indicate Yes or No.
F18	<i>provide response here (Yes or No)</i>

## Section G: Information and Demographics

In this section, you must provide the following information, in the following order, in the same format as below (provide each response in the cell directly below each question/request). Include this table as Attachment 11.

**TABLE 5: ADDITIONAL COALITION INFORMATION AND DEMOGRAPHICS**

Item	Questions and Responses
G1	Contact information for the proposed evaluator for the DFC grant (include name, phone number, and e-mail address)
G1	<i>provide response here</i>
G2	Geographical boundaries of the community served by the coalition (e.g., city, county, street intersections)
G2	<i>provide response here</i>
G3	Total population of the community served by the coalition
G3	<i>provide response here</i>
G4	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 community (specified geographic area)
G4	<i>provide response here</i>
G5	List drugs addressed by the coalition as reflected in the Action Plan
G5	<i>provide response here</i>
G6	Is the applicant a religious or faith-based organization? Indicate Yes or No.
G6	<i>provide response here (Yes or No)</i>
G7	Has the applicant ever been officially mentored by a DFC-funded coalition through the DFC Mentoring Grant Program? Indicate Yes or No. If Yes, please name the mentor coalition and provide the DFC Mentoring Grant Number.
G7	<i>provide response here</i>
G8	List the coalition’s other Federal and State funding sources
G8	<i>provide response here</i>
G9	List the coalition’s other funding sources (e.g., foundations, fundraising drives, corporate support)
G9	<i>provide response here</i>
G10	Year the coalition was established
G10	<i>provide response here</i>
G11	Coalition board chair/president (chief volunteer) – include name, phone number, and e-mail address
G11	<i>provide response here</i>

## Section H: Organizational Chart

Include the coalition’s Organizational Chart as Attachment 12. The Organizational Chart should display the relationship between the coalition, its subcommittees, and the grantee/legal entity, as applicable.

## **Section I: Logic Model**

Include the coalition's current Logic Model as Attachment 13. A Logic Model is a tool to show how your proposed plans link goals, objectives, and local conditions with activities and expected outcomes. A Logic Model can help with planning, implementing, and assessing/evaluating the coalition's project by providing a *picture* of the coalition's planned work. The coalition's Logic Model should form a logical chain of "if-then" relationships that enable the coalition to demonstrate how it will get to the desired outcomes. The coalition's Logic Model should be based on assessment of its community's data, in which the coalition has identified the local conditions that contribute to youth substance use problems.

## **Section J: Single State Authority Letter**

As Attachment 14, include a copy of the letter to the Single State Authority showing that you have informed him/her that an application has been submitted for a DFC grant (see [Part IV-4](#) for instructions).

## **Section K: Disclosure of DFC Coalition Information**

The Disclosure of DFC Coalition Information form helps ONDCP and SAMHSA understand your previous years of DFC funding, if any. Complete the form included in [Appendix L](#) of this RFA and submit it with the application as Attachment 15.

## **Section L: Certifications, Disclosures, and Checklists**

Applicants must include the site location(s) form, certifications, assurances, and disclosures noted in [Part IV-2.2](#) as Attachment 16. The 5161-1 Checklist and the Pre-Submission Checklist should follow any additional, non-required attachments.

## **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 applicants meet all eligibility requirements outlined in [Part III](#). Applications submitted by coalitions that meet all eligibility requirements will then be scored by a Peer Review panel according to the evaluation criteria described in [Part V](#). Applications 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 [Part V](#), Sections A and B. 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. ADMINISTRATION INFORMATION**

### **1. AWARD NOTICES**

Within 30 days of receipt of the application, SAMHSA will notify the individual listed on the application through postal mail that the application has been received. If an applicant submits an application on time and does not receive notification by Monday, April 19, 2010, contact SAMHSA's Office of Grant Review Peer Review at 240-276-1199 for additional information.

By the end of August 2010, the list of awardees will be posted to <http://www.ondcp.gov/dfc>. Soon thereafter, if an applicant is approved for funding, the individual listed on the application will receive via postal mail a Notice of Award (NoA), signed by SAMHSA's Grants Management Officer. The NoA is the sole obligating document that allows the grantee to receive Federal funding for work on the grant project.

By mid-October 2010, all applicants whose applications went through Peer Review will receive a letter from SAMHSA through postal mail that contains their Peer Review score and summarized comments from the Peer Reviewers. If an application is not funded, the applicant may re-apply if there is another receipt date for the program.

### **2. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS**

- If an application is funded, the grantee must comply with all terms and conditions of the grant award. DFC standard terms and conditions are available on the DFC Web site located at <http://www.ondcp.gov/dfc>.
- If an application is funded, the grantee must also comply with the administrative requirements outlined in 45 CFR Part 74 or 45 CFR Part 92, as appropriate. For more information, see the SAMHSA Web site (<http://www.samhsa.gov/grants/management.aspx>).
- If an application is funded, the grantee will be held accountable for the information provided in the application related to performance targets. Government Project Officers will consider the grantee and/or coalition's progress in meeting goals and objectives, as well as the grantee and/or coalition's 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, goals, and objectives may result in suspension or termination of the grant award, or in reduction or withholding of continuation awards. Complete details related to the DFC Appeals Process are available at [http://www.ondcp.gov/dfc/appeals\\_process.html](http://www.ondcp.gov/dfc/appeals_process.html).
- Grant funds cannot be used to supplant current funding of existing activities. "Supplant" is defined as replacing funding of a recipient's existing program with funds from a Federal grant.

- 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 and is posted on the SAMHSA Web site at <http://www.samhsa.gov/grants/downloads/SurveyEnsuringEqualOpp.pdf>. Applicants are encouraged to complete the survey and return it, using the instructions provided on the survey form.

### **3. REPORTING REQUIREMENTS**

In addition to the data reporting requirements listed in [Part I-4.2](#), grantees and/or coalitions must comply with the following reporting requirements:

#### **3.1 Progress and Financial Reports**

Each year, grantees are required to submit two program progress reports, an annual coalition classification tool survey, and various financial reports. Full details regarding specific due dates are available at <http://www.ondcp.gov/dfc/reportduedates.html>.

#### **3.2 Publications**

If you are funded under this grant program, the grantee and/or coalition is required to notify the Government Project Officer (GPO) and SAMHSA’s Publications Clearance Officer (240-276-2130) of any materials based on the SAMHSA-funded grant 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 ONDCP and SAMHSA 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 and ONDCP to contain information of program or policy significance to the substance abuse prevention community.

## **VII. AGENCY CONTACTS**

For questions regarding prevention program and coalition-related issues, including those pertaining to the completion of an application for this grant program, contact:

Olivia Shockey  
Center for Substance Abuse Prevention  
Substance Abuse and Mental Health Services Administration  
1 Choke Cherry Road  
Room 4-1082  
Rockville, MD 20857  
(240) 276-1270  
[dfcnew2010@samhsa.hhs.gov](mailto:dfcnew2010@samhsa.hhs.gov)

For questions on financial and grants management issues or other such technical matters pertaining to the completion of an application for this grant program, contact:

Barbara Orlando  
Office of Program Services, Division of Grants Management  
Substance Abuse and Mental Health Services Administration  
1 Choke Cherry Road  
Room 7-1091  
Rockville, MD 20857  
(240) 276-1422  
[barbara.orlando@samhsa.hhs.gov](mailto:barbara.orlando@samhsa.hhs.gov)

## **Appendix A – Sample Budget**

### **(DEFINITIONS AND SAMPLE BUDGET NARRATIVE)**

Before developing a project budget, applicants should review SAMHSA’s guidelines to determine cost sharing expectations and any restrictions on the types of costs that may appear in the budget (see [Part III-2](#) and [Part IV-5](#)).

The Budget Narrative is used to determine reasonableness and allowability of costs in a DFC application. All of the proposed costs listed, whether supported by grant funds or match, must be reasonable, necessary to accomplish project objectives, allowable in accordance with applicable Federal cost principles, auditable, and incurred during the project period. All figures must be rounded to the nearest dollar.

### **BUDGET DEFINITIONS**

#### **Authorized Business Official:**

The individual authorized to act on behalf of the applicant and assume the obligations imposed by the Federal laws, regulations, requirements, and conditions that apply to grant applications or awards.

#### **Key Personnel:**

DFC grant key personnel include a Program Director and Project Coordinator. Key personnel are defined as individuals who contribute to the programmatic development or execution of the project in a substantive, measurable way, whether or not they receive salaries or other compensation under the grant.

#### **Program Director:**

An individual who will provide daily oversight of the grant, including fiscal and personnel management, community relations, and project implementation and evaluation during the project period. (Person listed on PHS 5161-1, Part C)

#### **Project Coordinator:**

An individual who will coordinate coalition services and DFC project activities, including training, coalition communication, data collection, and information dissemination. (Person listed in [Section F](#))

#### **Level of Effort:**

The direct productive time spent by an individual on DFC Program-related work. This time may not exceed 100% of all work on all projects or positions.

#### **Direct Costs:**

Costs used for salaries, travel, equipment, supplies, contractual arrangements, and tangible goods or services associated with this project.

**Indirect Costs:**

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 (e.g., overhead, facility maintenance). These costs require a negotiated indirect cost rate (see PHS 5161-1); otherwise, they may be charged directly if justified in detail. Instructions for applying for an indirect cost rate will be provided upon award. Applicants 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 applicant 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.

**Project Costs:**

The total allowable costs incurred by a recipient and charged to the award during a budget period, whether paid by Federal funds or contributed by the recipient to meet a matching requirement, and the value of any third-party in-kind contributions counted toward the recipient's matching requirement.

**Allowable Project Costs:**

A cost incurred by a recipient that is:

1. Reasonable for the performance of the award.
2. Allocable.
3. In conformance with any limitations or exclusions set forth in the Federal cost principles applicable to the organization incurring the cost.
4. Consistent with regulations, policies, and procedures of the recipient that apply uniformly to both Federally supported and other activities of the organization.
5. Accorded consistent treatment as a direct or indirect cost.
6. Determined in accordance with generally accepted accounting principles.
7. Not included as a cost in any other Federally supported award.

The cost principles address four tests in determining the allowability of 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.

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.

If an applicant has sufficient match to allow a budget request of the full \$125,000, the applicant should round up the final budget figures to equal \$125,000. There is no benefit to submitting a number slightly below the full amount (e.g., \$124,949). It is much more difficult for both the grantee and the government to track exact numbers less than the allowable amount. This does not apply to applicants who do not have sufficient match to request the full \$125,000.

Applicants are also strongly encouraged to apply for the full \$125,000 for each of the four subsequent renewal years of funding in their budget forecast even if they are not able to apply for full funding in Year 1 due to insufficient match. The amount requested in this original application for the four future years establishes the maximum amount that an applicant can receive in future years if awarded the grant. Grantees are required to submit an annual budget request each year. The annual amount requested can be less than \$125,000 due to possible challenges with having sufficient match, but can never be greater than the amount indicated in this submission. Therefore, it is more advantageous to request the full \$125,000 for each out-year of funding.

**SAMPLE BUDGET NARRATIVE  
FOR COMPLETING SF 424A: SECTION B  
FOR FIRST YEAR OF THE FUNDING CYCLE**

Please use the format below for submitting a Budget Narrative for [Section B](#).

**A. Personnel:**

An employee of the applying agency whose work is tied to the application.

**TABLE 6: FEDERAL REQUEST**

Position	Name	Annual Salary/Rate	Level of Effort	Cost
Program Director	John Doe	\$64,890	10%	\$6,489
Project Coordinator	TBD	\$46,276	100%	\$46,276
			<b>TOTAL</b>	<b>\$52,765</b>

**NARRATIVE JUSTIFICATION:** Enter a description of the personnel funds requested and how their use will support the purpose and goals of this proposal. Be sure to describe the role, responsibilities, and unique qualifications of each position.

**TABLE 7: NON-FEDERAL MATCH**

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

**NARRATIVE JUSTIFICATION:** Enter a description of the personnel matching funds provided and how their use will support the purpose and goals of this proposal. Be sure to describe how the matching funds will enhance the Federal budget request.

**SOURCE OF MATCH FUNDS:** State source of match funds.

**FEDERAL REQUEST** (enter in Section B column 1 line 6a of form SF 424A): **\$52,765**

**NON-FEDERAL MATCH** (enter in Section B column 2 line 6a of form SF 424A): **\$1,338**

**B. Fringe Benefits:**

Fringe benefits may include contributions for items such as social security, employee insurance, and pension plans. Only those benefits not included in an organization's indirect cost pool may be shown as direct costs. List all components of the fringe benefits rate.

**TABLE 8: FEDERAL REQUEST**

Component	Rate	Wage	Cost
FICA	7.65%	\$52,765	\$4,037
Workers Compensation	2.5%	\$52,765	\$1,319

Component	Rate	Wage	Cost
Insurance	10.5%	\$52,765	\$5,540
		TOTAL	\$10,896

**NARRATIVE JUSTIFICATION:** Enter a description of the fringe funds requested, how the rate was determined, and how their use will support the purpose and goals of this proposal. Fringe should reflect the rate for the agency.

**TABLE 9: 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

**NARRATIVE JUSTIFICATION:** Enter a description of the fringe matching funds provided, how the rate was determined, and how their use will support the purpose and goals of this proposal. Be sure to describe how the matching funds will enhance the Federal budget request.

**SOURCE OF MATCH FUNDS:** State source of match funds.

**FEDERAL REQUEST** (enter in Section B column 1 line 6b of form SF 424A): **\$10,896**

**NON-FEDERAL MATCH** (enter in Section B column 2 line 6b of form SF 424A): **\$275**

**C. Travel:**

The lowest available commercial fares for coach or equivalent accommodations must be used. Local travel policies prevail.

**TABLE 10: FEDERAL REQUEST**

Purpose of Travel	Location	Item	Rate	Cost
New Grantee Meeting	Washington, DC	Airfare	\$300/flight x 2 persons	\$600
New Grantee Meeting	Washington, DC	Hotel	\$200/night x 2 persons x 4 nights	\$1,600
New Grantee Meeting	Washington, DC	Per Diem (meals)	\$64/day x 2 persons x 4 days	\$512
Coalition Academy Week 1	Ft. Indiantown Gap, PA (tentative site)	Airfare	\$200/flight x 2 persons	\$400
Coalition Academy Week 1	Ft. Indiantown Gap, PA	Car Rental	\$200/week, unlimited miles	\$200
Coalition Academy Week 2	Ft. Indiantown Gap, PA (tentative site)	Airfare	\$200/flight x 2 persons	\$400

Purpose of Travel	Location	Item	Rate	Cost
Coalition Academy Week 2	Ft. Indiantown Gap, PA	Car Rental	\$200/week, unlimited miles	\$200
Coalition Academy Week 3	Ft. Indiantown Gap, PA (tentative site)	Airfare	\$200/flight x 2 persons	\$400
Coalition Academy Week 3	Ft. Indiantown Gap, PA	Car Rental	\$200/week, unlimited miles	\$200
Local travel	County-wide	Mileage	3,000 miles @ \$0.50/mile	\$1,500
			<b>TOTAL</b>	<b>\$6,012</b>

**NARRATIVE JUSTIFICATION:** Explain need for all travel other than that required by this application. Describe the purpose of travel and how costs were determined.

The grant requires travel of two members to attend the New Grantee Meeting in Washington, DC. Attendance at the National Coalition Academy is expected of all Year 1 grantees. In addition to the required trainings, funds for local travel are needed to attend local meetings, project activities, and training events. Local travel rate should be based on agency's personally owned vehicle (POV) reimbursement rate.

**TABLE 11: NON-FEDERAL JUSTIFICATION**

Purpose of Travel	Location	Item	Rate	Cost
Regional Training Conference	Chicago, IL	Airfare	\$300/flight x 2 persons	\$600
Regional Training Conference	Chicago, IL	Hotel	\$155/night x 2 persons x 2 nights	\$620
Regional Training Conference	Chicago, IL	Per Diem (meals)	\$46/day x 2 persons x 2 days	\$184
Local Travel	Outreach workshops	Mileage	304 miles x \$0.50/mile	\$152
			<b>TOTAL</b>	<b>\$1,556</b>

**NARRATIVE JUSTIFICATION:** Enter a description of the travel matching funds provided and how their use will support the purpose and goals of this proposal. Be sure to describe how the matching funds will enhance the Federal budget request. Local travel rate should be based on agency's POV reimbursement rate.

**SOURCE OF MATCH FUNDS:** State source of match funds.

**FEDERAL REQUEST** (enter in Section B column 1 line 6c of form SF 424A): **\$6,012**

**NON-FEDERAL MATCH** (enter in Section B column 2 line 6c of form SF 424A): **\$1,556**

**D. Equipment:**

Only when an applicant can demonstrate that the purchase of permanent equipment will be less expensive than rental may charges be made to the project for such purchases. Permanent equipment is defined as nonexpendable personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more. If the applying agency defines “equipment” at a lower rate, then follow the applying agency’s policy.

**TABLE 12: FEDERAL REQUEST**

Item(s)	Rate	Cost
None	\$0	\$0
	TOTAL	\$0

**NARRATIVE JUSTIFICATION:** Enter a description of the equipment and how its purchase will support the purpose and goals of this proposal.

**TABLE 13: NON-FEDERAL MATCH**

Item(s)	Rate	Cost
None	\$0	\$0
	TOTAL	\$0

**NARRATIVE JUSTIFICATION:** Enter a description of the equipment match provided and how its use will support the purpose and goals of this proposal. Be sure to describe how the matching funds will enhance the Federal budget request.

**SOURCE OF MATCH FUNDS:** State source of match funds.

**FEDERAL REQUEST** (enter in Section B column 1 line 6d of form SF 424A): **\$ 0**

**NON-FEDERAL MATCH** (enter in Section B column 2 line 6d of form SF 424A): **\$ 0**

**E. Supplies:**

Materials costing less that \$5,000 per unit and often having one-time use.

**TABLE 14: FEDERAL REQUEST**

Item(s)	Rate	Cost
General office supplies	\$50/mo. x 12 mo.	\$600
Postage	\$37/mo. x 8 mo.	\$296
Coalition promotional items	200 items @ \$1.64 each	\$328
Laptop computer	\$900	\$900
Printer	\$300	\$300
Projector	\$900	\$900
Copies	8000 copies x \$0.10/copy	\$800
Computer update (if needed)	\$250	\$250
	TOTAL	\$4,374

**NARRATIVE JUSTIFICATION:** Enter a description of the supplies requested and how their purchase will support the purpose and goals of this proposal.

**TABLE 15: NON-FEDERAL MATCH**

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

**NARRATIVE JUSTIFICATION:** Enter a description of the supplies match provided and how their use will support the purpose and goals of this proposal. Be sure to describe how the matching funds will enhance the Federal budget request.

**SOURCE OF MATCH:** State source of match funds.

**FEDERAL REQUEST** (enter in Section B column 1 line 6e of form SF 424A): **\$4,374**

**NON-FEDERAL MATCH** (enter in Section B column 2 line 6e of form SF 424A): **\$648**

**F. Contract:**

The costs of project activities to be undertaken by a third-party contractor should be included in this category as a single line item charge. A complete itemization of the cost comprising the charge should be attached to the budget. If there is more than one contractor, each must be budgeted separately and must have an attached itemization. A contract is generally the 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.

**TABLE 16: FEDERAL REQUEST**

Name	Service or Products	Cost
To be selected	Environmental Strategy Consultation \$150/day x 35 days = \$5,250 Travel 380 miles @ \$0.50/mile = \$190	\$5,440
To be selected	Board and Committee Leadership Consultation \$300/trainer x 2 trainers x 10 days = \$6,000 \$100/hour for individual TA x 15 hours = \$1,500	\$7,500
To be selected	Evaluation Contractor \$200/hour x 50 hours to include collection of core measures, creation of evaluation report, coalition evaluation support (e.g., member survey), and activity evaluation support (e.g., pre/post survey development)	\$10,000
To be selected	Dangers of Meth 1.5 minute Public Service Announcement (PSA) \$300/PSA x 10 PSAs	\$3,000
To be selected	Meth Training for Coalition Members Trainers: \$300/day x 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
Local Police Department	Alcohol Compliance Checks 6 checks @ \$300/check	\$1,800

Name	Service or Products	Cost
To be selected	Responsible Server 1-Day Training Trainer: \$500/day	\$500
	<b>TOTAL</b>	<b>\$30,608</b>

**NARRATIVE JUSTIFICATION:** Explain the need for each agreement and how their use will support the purpose and goals of this proposal.

**TABLE 17: NON-FEDERAL MATCH**

Name	Product or Service	Cost
Coalition members	Participation in coalition activities outlined in Action Plan 18 members @ \$17.50/hr. x 10 hr./mo. (average) x 12 mo.	\$37,800
Local School District	Student Assistance Program – CIA demonstrates breakout of services	\$15,400
Local Police Department	Alcohol Compliance Checks (1 hour each) Officer Overtime: 8 officers @ \$50/hour x 6 checks	\$2,400
Youth members	Alcohol Compliance Checks 8 youth @ \$200/youth x 6 checks = \$9,600 16 parent chaperones x 6 checks x \$25/check = \$2,400	\$12,000
Media sponsorship	Local cable station agrees to run coalition promotion PSA an average of 5 times/week for 24 weeks 5 PSAs/week \$50/PSA x 24 weeks	\$6,000
	<b>TOTAL</b>	<b>\$73,600</b>

**NARRATIVE JUSTIFICATION:** Explain the need for each match contract agreement and how their use will support the purpose and goals of this proposal. Be sure to describe how the matching funds will enhance the Federal budget request.

**SOURCE OF MATCH FUNDS:** State source of match funds.

**FEDERAL REQUEST** (enter in Section B column 1 line 6f of form SF 424A): **\$30,608**

**NON-FEDERAL MATCH** (enter in Section B column 2 line 6f of form SF 424A): **\$73,600**

**G. Construction: NOT ALLOWED**

On the SF 424A, leave the following section blank: Section B columns 1& 2 line 6g

**H. Other:**

Expenses not covered in any of the previous budget categories.

**TABLE 18: FEDERAL REQUEST**

Item	Rate	Cost
Rent	\$500/mo x 12 mo.	\$6,000
Telephone	\$100/mo. x 12 mo.	\$1,200
Student Surveys	\$1/survey x 2784	\$2,784
Brochures	\$0.89/brochure x 1500 brochures	\$1,335

Item	Rate	Cost
Meth literature for merchants	Window Clings: 1,500 clings x \$2 each = \$3,000 Handouts: 3,000 copies x \$0.50 each = \$1,500	\$4,500
	<b>TOTAL</b>	<b>\$15,819</b>

**NARRATIVE JUSTIFICATION:** Explain the need for each item and how their purchase will support the purpose and goals of this proposal. Be sure to break down costs into cost/unit (e.g., cost/square foot) and explain the use of each item requested.

**TABLE 19: NON-FEDERAL MATCH**

Item	Rate	Cost
Space rental	Varies between \$75/event to over \$300/event	\$8,300
Mentoring Program	12 mentors x 10 hrs./mo. x \$17.50/hr. x 12 mo. CIA demonstrates breakout of services	\$25,200
Internet service	\$26/mo. x 12 mo.	\$312
Student surveys	\$1/survey x 2046 surveys	\$2,046
Printing	\$300/run x 6 runs	\$1,800
Transition program for youth & parents	1 person x \$25/hr. x 3 hrs = \$75 100 parent packets x \$3.50/packet = 350	\$425
Health Fair	Coordination and administration CIA demonstrates breakout of services	\$1,500
Physician/Health Provider diagnostic tools and training	Coordination and administration CIA demonstrates breakout of services	\$2,000
Drug Free Workplace Initiative	Coordination and administration CIA demonstrates breakout of services	\$3,000
Underage Drinking Initiative	Coordination and administration CIA demonstrates breakout of services	\$3,000
	<b>TOTAL</b>	<b>\$47,583</b>

**NARRATIVE JUSTIFICATION:** Explain the need for each match item and how their use will support the purpose and goals of this proposal. Be sure to break down costs into cost/unit (e.g., cost/square foot) and explain the use of each item requested. Be sure to describe how the matching funds will enhance the Federal budget request.

**SOURCE OF MATCH FUNDS:** State source of match funds.

**FEDERAL REQUEST** (enter in Section B column 1 line 6h of form SF 424A): **\$15,819**

**NON-FEDERAL MATCH** (enter in Section B column 2 line 6h of form SF 424A): **\$47,583**

**TOTAL DIRECT COSTS:**

**FEDERAL REQUEST** (enter in Section B column 1 line 6i of form SF 424A): **\$120,474**

**NON-FEDERAL MATCH** (enter in Section B column 2 line 6i of form SF 424A): **\$125,000**

**TOTAL INDIRECT COSTS:**

**FEDERAL REQUEST** (enter in Section B column 1 line 6j of form SF 424A): **\$4,526**

**NON-FEDERAL MATCH** (enter in Section B column 2 line 6j of form SF 424A): **\$0**

**TOTAL PROJECT COSTS: Sum of Total Direct Costs and Indirect Costs**  
**FEDERAL REQUEST** (enter in Section B column 1 line 6k of form SF 424A): **\$125,000**  
**NON-FEDERAL MATCH** (enter in Section B column 2 line 6k of form SF 424A): **\$125,000**

**TABLE 20: BUDGET SUMMARY**

<b>Category</b>	<b>Federal Request</b>	<b>Non-Federal Match</b>	<b>Total</b>
Personnel	\$52,765	\$1,338	\$54,103
Fringe	\$10,896	\$275	\$11,171
Travel	\$6,012	\$1,556	\$7,568
Equipment	\$0	\$0	\$0
Supplies	\$4,374	\$648	\$5,022
Contractual	\$30,608	\$73,600	\$104,208
Other	\$15,819	\$47,583	\$63,402
<b>Total Direct Costs</b>	<b>\$120,474</b>	<b>\$125,000</b>	<b>\$245,474</b>
Indirect Costs	\$4,526	\$0	\$4,526
<b>Total Project Costs</b>	<b>\$125,000</b>	<b>\$125,000</b>	<b>\$250,000</b>

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.

**CALCULATION OF FUTURE BUDGET PERIODS  
BASED ON THE FIRST 12-MONTH BUDGET PERIOD  
(Sample for grants in the first year of the first five-year funding cycle)**

**TABLE 21: SAMPLE OF FUTURE BUDGET PERIODS**

Category	2nd project year Federal	2nd project year Match	3rd project year Federal	3rd project year Match	4th project year Federal	4th project year Match	5th project year Federal	5th project year Match
<b>Personnel</b>								
Program Director	\$6,489	\$0	\$6,489	\$0	\$6,489	\$0	\$6,489	\$0
Project Coordinator	\$46,276	\$0	\$46,276	\$0	\$46,276	\$0	\$46,276	\$0
Clerical Support	\$0	\$1,338	\$0	\$1,338	\$0	\$1,338	\$0	\$1,338
<b>Fringe Benefits</b>	\$10,896	\$275	\$10,896	\$275	\$10,896	\$275	\$10,896	\$275
<b>Travel</b>	\$5,000	\$2,000	\$5,000	2,250	\$4,000	2,500	\$4,000	2,500
<b>Equipment</b>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>Supplies</b>	\$4,500	\$2,000	\$4,500	\$2,000	\$4,000	2,000	4,000	2,000
<b>Contract</b>								
Evaluation	\$4,500	\$0	\$4,500	\$0	\$4,500	\$0	\$4,500	\$0
Targeted Media	\$15,000	\$20,000	\$15,000	\$30,000	\$15,000	\$30,000	\$10,000	\$35,000
Campaigns Training	\$4,000	\$0	\$3,000	\$0	\$2,500	\$0	\$2,500	\$0
Compliance Checks	\$1,000	\$12,000	\$1,500	\$14,000	\$1,500	\$14,000	\$1,500	\$14,000
Coalition Members	\$0	\$35,000	\$0	\$40,000	\$0	\$40,000	\$0	\$40,000
<b>Other</b>	\$24,497	\$52,387	\$24,997	\$35,137	\$26,997	\$34,887	\$31,997	\$29,887
<b>Total Direct Costs</b>	<b>\$122,158</b>	<b>\$125,000</b>	<b>\$122,158</b>	<b>\$125,000</b>	<b>\$122,158</b>	<b>\$125,000</b>	<b>\$122,158</b>	<b>\$125,000</b>
<b>Total Indirect Costs</b>	\$2,842	\$0	\$2,842	\$0	\$2,842	\$0	\$2,842	\$0
<b>Total Costs</b>	<b>\$125,000</b>	<b>\$125,000</b>	<b>\$125,000</b>	<b>\$125,000</b>	<b>\$125,000</b>	<b>\$125,000</b>	<b>\$125,000</b>	<b>\$125,000</b>

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: Column (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 a coalition is applying for a second 5-year funding cycle, see [Section III-2](#) for a breakdown of the required matching funds for each year.**

## Appendix B – SAMHSA Checklist for Formatting Requirements and Screen-Out Criteria

*SAMHSA's goal is to review all applications submitted for grant funding. However, this goal must be balanced against SAMHSA's obligation to ensure equitable treatment of applications. For this reason, SAMHSA has established certain formatting requirements for its applications. **If an applicant does not adhere to these requirements, the application will be screened out and 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 in [Part IV-3](#) of this grant announcement.
- 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. Tables may be included using a font of Times New Roman 10 and may have a landscape orientation, if desired. (For Project Narratives submitted electronically, see separate requirements in [Part IV-6](#) and [Appendix C](#).)
- To ensure equity among applications, the 30 page limit 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 an application, follow these additional guidelines. Failure to adhere to the following guidelines will not, in itself, result in the application being screened out. However, following these guidelines will help ensure that the application is complete and will aid reviewers' consideration of the application.*

- The application components required for SAMHSA applications should be included and submitted in the order described in [Part IV-2](#), Section 2.2.
- 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**, starting with the Table of Contents as page 1, so that information can be located easily during review of the application (hand write page numbers if necessary). The four pages of Standard Form 424 v2, the two pages of the Standard Form 424A, and the Congressional Justification placed before the Table of Contents are not to be numbered. Attachments should be labeled and

separated from the Project Narrative and Budget Narrative, and the pages should be numbered to continue the sequence.

- Send the original application and two copies to the mailing address in [Part IV-6](#) of this document. Please do not use staples, paper clips, or 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. It is recommended that you insert a piece of colored paper between each of the three copies of the application. Odd-sized and oversized attachments such as posters will not be copied or sent to reviewers. Do not include videotapes, audiotapes, CD-ROMs, or DVDs.

## Appendix C – Guidance for Electronic Submission of Applications

If you would like to submit the application electronically, search <http://www.Grants.gov> for the downloadable application package by the funding announcement number (called the opportunity number) or by the Catalog of Federal Domestic Assistance (CFDA) number. Applicants can find the CFDA number on the first page of this RFA.

Applicants must follow the instructions in the User Guide available at the <http://www.Grants.gov> apply site, on the Help page. In addition to the User Guide, applicants should follow all the instructions contained in this document. Failure to upload any and all of the required documentation to Grants.gov that is described in this RFA will result in the application not being considered for funding. In addition to the User Guide, applicants may wish to use the following sources for help:

- By e-mail: [support@Grants.gov](mailto:support@Grants.gov)
- By phone: 1-800-518-4726

The Grants.gov Contact Center is available 24 hours a day, 7 days a week, excluding Federal holidays.

**If this is the first time your coalition has submitted an application through Grants.gov, you must complete three 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; and 3) Grants.gov registration (get username and password). **REMINDER: CCR registration expires each year and must be updated annually.**

Please also allow sufficient time for entering the application into Grants.gov. The process of electronic submission through Grants.gov includes multiple e-mails from Grants.gov. When an applicant submits an application, a notice that the application is being processed will be sent and the individual whose e-mail address was entered will receive two e-mails from Grants.gov within 24-48 hours. One e-mail will confirm receipt of the application in Grants.gov, and the other will indicate that the application was either successfully validated by the system (**with a tracking number**) or rejected due to errors. It will also provide instructions that if the named individual did not receive a receipt confirmation **and** a validation confirmation or a rejection e-mail within 48 hours, he/she must contact Grants.gov directly.

It is important to understand that **the application process is not complete until an applicant has received a Grants.gov tracking number. Receipt of the tracking number is the only indication that Grants.gov has successfully received and validated an application. If an applicant does not receive a Grants.gov tracking number, contact the Grants.gov Contact Center for assistance.**

Please note that it is incumbent on applicants to monitor their applications to ensure that they are successfully received and validated by Grants.gov. **If an application is not successfully validated by Grants.gov, it will not be forwarded to SAMHSA as the receiving institution.**

**It is strongly recommended that applicants submit grant applications using Microsoft Office 2003 products (e.g., Microsoft Word 2003, Microsoft Excel). The new Microsoft Vista operating system and Microsoft Word 2007 products are not currently accepted by Grants.gov.** If applicants do not have access to Microsoft Office 2003 products, PDF files may be submitted. 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 an application being unreadable upon receipt.

The Project Narrative must be a separate document in the electronic submission. Formatting requirements for SAMHSA grant applications are described in [Appendix B](#). 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:* The required font is 12-point Times New Roman. The application must be single spaced, with 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 15,450 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 a 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., Attachments 1-3, Attachments 4-5).**

Ensure all pages in the application are numbered consecutively, with the exception of the standard forms in the PHS-5161-1 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 an application.

Applicants are strongly encouraged to submit their applications to Grants.gov early enough to resolve any unanticipated difficulties prior to the deadline. Applicants may also submit a back-up paper copy of their applications. Any such paper submission must be received in accordance with the requirements for timely submission detailed in [Part IV-3](#). 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.

If you are submitting any documentation that cannot be submitted electronically, please send a hard copy to the address below via Federal Express (FedEx) or United Parcel Service (UPS). [SAMHSA no longer requires submission of a signed paper original of the face page (SF 424 v2) or the assurances (SF 242B).] **Applicants must include their Grants.gov application tracking number on these documents. The documents must be received at the following address within 5 business days after the electronic submission.** Delays in receipt of these documents may impact the score an application receives or the ability of the application to be funded.

Crystal Saunders, Director of Grant Review  
Office of Program Services  
Substance Abuse and Mental Health Services Administration  
1 Choke Cherry Road  
Room 3-1044  
Rockville, MD 20850  
ATTN: Electronic Applications

If a phone number is required for delivery, use (240) 276-1199.

## Appendix D – Coalition Roles and Relationship to Sector Members

The coalition must include a minimum of one member from each of the following 12 sectors: youth (an individual 18 or younger); parents; businesses; media; schools; youth-serving organizations; law enforcement; 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 use or abuse. For the purposes of this application, an individual coalition member may not represent more than one of the 12 sectors.

The coalition should demonstrate that it has substantial participation from volunteer leaders in the community. 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. 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.

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:

- Create job descriptions for all roles developed by the coalition, such as those for members, committee chairs, coalition chair, and staff.
- Obtain members' agreement on the expectations for active membership, such as the number of meetings to be attended annually.
- Develop a Coalition Involvement Agreement (see [Appendix F](#)) between the coalition and each of its members that establishes the minimum acceptable contribution to be considered an active coalition member.

## Appendix E – Sector Member Table

This is a template for the Sector Member Table. Fill in the empty cells in the table below and include the completed table in the application as Attachment 1.

**TABLE 22: SECTOR MEMBER TABLE**

Sector	Individual Member Name	Organization Name	Summary of Contribution(s)	Signed CIA Included for this Individual <i>(Required-Indicate Page Number of Application)</i>
<i>youth (an individual 18 or younger)</i>		<i>If the youth is not a member of an organization, write "N/A"</i>		Yes
<i>parent</i>		<i>If the parent is not a member of an organization, write "N/A"</i>		Yes
<i>business</i>				Yes
<i>media</i>				Yes
<i>school</i>				Yes
<i>youth-serving organization</i>				Yes
<i>law enforcement</i>				Yes
<i>religious or fraternal organization</i>				Yes
<i>civic or volunteer group</i>				Yes
<i>healthcare professional</i>				Yes
<i>State, local, or tribal governmental agency with expertise in the field of substance abuse</i>				Yes
<i>other organization involved in reducing substance abuse</i>				Yes

## Appendix F – Coalition Involvement Agreement (CIA)

Below is a *sample* CIA for sector members. Applicants do not have to use this format or the language provided. Applicants can tailor the agreement as needed, but **must use Table 23 at the top of each CIA**. Applicants must include one CIA for each sector member, and the member listed on the CIA must match the name provided on the Sector Member Table provided as Attachment 1 (see [Appendix E](#)). The CIA does not require a signature by a notary public. It is simply an agreement between the coalition and the sector member for active participation in the coalition’s work.

If someone in an organization feels they must sign the CIA and appoint a sector member, this is acceptable as long as the sector member is named in the CIA. For example, if the Chief of Police feels that he/she must sign the CIA but is not the sector member, he/she must name the person listed in the Sector Member Table as the representative for the police department in the CIA that he/she signs.

If the applicant coalition already has a written agreement with a sector member, that agreement can be submitted **only if**: (1) the signature matches the name provided in the Sector Member Table as Attachment 1 and (2) the agreement is not more than 12 months old (from the date of application).

**Neither paid staff, nor the person signing the CIA on behalf of the coalition (if different), can be listed as a sector member.**

All 12 required CIAs must be included in the application as Attachment 2.

**TABLE 23: SECTOR INFORMATION (MUST BE AT THE TOP OF EVERY CIA)**

Sector Name	Sector Member	Agency/Organization
<i>Insert Sector Represented (e.g., Youth, Parent, Business, Media, etc.)</i>	<i>Insert Individual’s Name (as listed in the Sector Member Table, Attachment 1)</i>	<i>Insert Organization Name</i>

## **SAMPLE COALITION INVOLVEMENT AGREEMENT (CIA)**

1. This Agreement between *[Coalition Name]* and *[Sector Member]* shall be from September 30, 2010 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. Respect the right of the *[Sector Member/Organization Name members]* to their own opinions and beliefs.
  
3. *[Sector Member]* shall be responsible to:
  - a. Attend \_\_\_ 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 ongoing Logic Model development and strategic planning processes;
  - f. Participate in ongoing 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 (optional)**

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 (optional)**

An original agreement does not require notarization. The original agreement may be amended by mutual consent of both parties; however, such amended agreements must be in writing and signed by both parties.

\_\_\_\_\_  
Coalition Representative's Name  
(Please Print)

By: \_\_\_\_\_  
[Coalition Representative's Signature]

\_\_\_\_\_  
Title (Please Print)

\_\_\_\_\_  
Sector Member's Name and Sector  
Represented (Please Print)

By: \_\_\_\_\_  
[Sector Member's Signature]

\_\_\_\_\_  
Title (Please Print)

## Appendix G – Grantee Roles and Relationship to a Coalition

Many coalitions that apply for DFC funding are not recognized as legal entities for the purposes of applying for and receiving Federal funds. Therefore, a coalition may need to partner with a legally eligible entity to serve as the “grantee” for the purposes of administering the DFC grant funding. This appendix describes the considerations that need to be taken into account when developing a relationship with a grantee to provide administrative services for the coalition.

1. 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 that 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.** It is the intent of the DFC Program that the coalition’s volunteer leadership has a clearly defined management role in all financial decisions related to the DFC grant applied for on their behalf by a partnering organization.
2. In accordance with [Part III. Eligibility Information](#), a grant recipient must be a legal entity in order to receive Federal grant funds. If the coalition is not a legal entity eligible to receive Federal funds as described in [Part III](#), then the coalition must partner with a recognized legal entity to represent the coalition in all legal issues concerning the grant award and receipt of Federal grant funds. For the purposes of the application, the eligible entity becomes the grant applicant and, if awarded, the recipient of grant funding on behalf of the coalition.
3. Many DFC grantees utilize a partnering organization (as previously described) to serve on their behalf in applying for the DFC grant. 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 partnering organization chooses to waive the fees and provide the service in-kind.
4. Partnering organizations that agree to become the grantee on behalf of a coalition extend their legal services and coverage to the coalition for the purposes of managing DFC grant funds. In this situation, if awarded a grant, the partnering organization, recognized as the grantee, is legally responsible for all matters concerning the grant.

Arrangements for grantee services should be treated as a business transaction. It is suggested that the grantee and coalition seek guidance from an attorney and/or an accountant when entering into such agreements. A grantee, as well as a coalition, should be fully aware and understand the commitment placed on the grantee through provision of this service.

The agreement between a coalition and grantee should be carefully considered and fully understood prior to applying for the DFC grant. A Memorandum of Understanding (MOU) between the coalition and the grantee is required to be submitted as a part of this application. A

sample MOU is provided as [Appendix H](#) and may be modified for further clarification of expectations and specific needs of the organizations, particularly related to 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, the grant recipient (coalition or partnering organization) is subject to a Financial Capability Review to determine if the officially named 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 grantee) 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. 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 grantee to serve as the grant recipient, but do not have adequate fiscal accounting processes to meet the needs of managing a Federal grant, is that grantees may 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 consider this as part of their in-kind match.

For further assistance on understanding issues regarding grantee role and responsibilities or expectations, contact SAMHSA's Division of Grants Management at (240) 276-1422.

## **Appendix H – Memorandum of Understanding (MOU) between a Coalition and Partnering Organization Serving as the Grantee**

Below is a sample MOU that can be used between a coalition and partner organization where the coalition is not considered a legally eligible entity for the purposes of applying for Federal funding. Applicants can tailor the agreement as needed. If a coalition is using a partnering organization as the official grantee, an MOU must be included in the application as Attachment 5.

### **SAMPLE MEMORANDUM OF UNDERSTANDING BETWEEN COALITION AND PARTNERING ORGANIZATION SERVING AS GRANTEE**

1. This Agreement between [*Coalition Name*] and [*Grantee Name*] shall be from [Month Date, 2010] 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;
  - h. Provide to [*Grantee 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; and
  - i. Respect the right of other [*Grantee Name*] users to their own opinions and beliefs.
  
3. [*Grantee 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. Ensure *[Coalition Name]* maintains a physical mailing address (not a Post Office Box) at which they will receive all mail;
  - 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 *[Grantee Name]* library any reference materials targeted toward the general public which are provided by *[Coalition Name]* for that purpose;
  - i. Take messages received at *[Grantee Name]* phone number, record them, and forward them to *[Coalition Name]* organization;
  - j. Maintain a nonprofit mailing permit, which can be used for mailings of *[Coalition Name]* materials which conform to Post Office regulations; and
  - k. 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 *[Grantee Name]* for any indirect or direct expenses incurred by *[Grantee 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 *[Grantee Name]* library will become the property of *[Grantee 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

1. *[Grantee Name]* shall obtain Workman's Compensation Insurance coverage for *[Coalition Name]* employees to be afforded such coverage as required by State law.
2. *[Grantee Name]* shall obtain general liability coverage for *[Grantee Name]* premises.
3. *[Coalition Name]* is solely responsible for liabilities arising out of its program and its interaction with participants in its program. *[Coalition Name]* specifically indemnifies *[Grantee Name]* against any and all claims arising from the actions of the governing body or paid and volunteer staff of *[Coalition Name]*.

## EQUAL OPPORTUNITY

4. *[Grantee Name]* and *[Coalition Name]* mutually agree to be bound by and abide by all applicable anti-discrimination 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

5. An original agreement does not require notarization. The original agreement may be amended by mutual consent of both parties; however, such amended agreements must be in writing and signed by both parties.

\_\_\_\_\_  
Coalition Representative's Name (Printed)  
(Printed)

By: \_\_\_\_\_

\_\_\_\_\_  
Coalition Representative's Signature  
[Insert Title and Organization]

Grantee Representative's Name

By:

\_\_\_\_\_  
Grantee Representative's Signature  
[Insert Title and Organization]

# Appendix I – Applicant Assurance of No More than One Grant

This is a template for Assurance of No More than One Grant. Please fill in the applicant’s name and signature information fields and include the completed assurance in the application as Attachment 7.

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

\_\_\_\_\_  
Authorized Official’s Name (print)

\_\_\_\_\_  
Title

\_\_\_\_\_  
Organization

\_\_\_\_\_  
Date

## **Appendix J – Applicant Assurance of Compliance with the End of Grant Policy (Congressional 10-Year Funding Limit Policy)**

This is a template for End of Grant Policy Assurance. Please fill in the applying organization's name and signature information fields and include the completed assurance in the application as Attachment 8.

I attest that the applicant organization, \_\_\_\_\_, is in compliance with the following requirements regarding the End of Grant Policy:

### **End of Grant Policy (Congressional 10-Year Funding Limit 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 grantees. Specific restrictions on coalitions and grantees are outlined below. Receipt of DFC Mentoring Grant funds does not apply toward the ten years of allowable 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 grantee/legal agent(s) is no longer eligible to receive funds through the DFC Program, regardless of how long they have been served by that grantee. For example, if Coalition X has received DFC funding through Grantee Y for six years, and Grantee 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 funding through a new or different grantee.
4. A coalition that proposes to serve a 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 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.

## Grantees

1. A grantee may not receive DFC funds on behalf of the same coalition for more than 10 years. For example, if Grantee W has received DFC funds on behalf of Coalition A for 10 years, Grantee W may no longer receive funds on behalf of Coalition A. Additionally, Coalition A may no longer receive funds directly or through a different grantee.
2. A grantee may receive DFC funds only on behalf of only one coalition at a time.
3. A grantee 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 grantee has received DFC funds on behalf of another coalition for 10 years. For example, if Grantee 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 grantee 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 Grantee W may receive funds on behalf of Coalition C for up to six years.
5. A grantee 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) status and serve as their own grantees.

Applicants are asked to demonstrate compliance with these requirements by signing this document and including it as Attachment 8. Issuing false or misleading statements in response to these requirements is unlawful and subject to criminal penalties, 18 USC1001.

---

Authorized Official's Signature

---

Title

---

Organization

---

Date

## Appendix K – Sample Congressional Justification

This is a template for the Congressional Justification. **Applicants must follow the format below when completing their justifications.** Please fill in all required information and include the completed Congressional Justification immediately before the Table of Contents. A copy of the completed Congressional Justification should also be submitted via e-mail to [dfcnew2010@samhsa.hhs.gov](mailto:dfcnew2010@samhsa.hhs.gov). The Congressional Justification must include the following headers and requested information at the top of the page:

Coalition Name:

Grantee Name:

Coalition Community:

Grantee Contact Name:

Coalition Contact Name:

Grantee Contact Mailing Address:

Coalition Contact Mailing Address:

Grantee Contact E-Mail Address:

Coalition Contact E-Mail Address:

Grantee Contact Phone/Fax Number:

Coalition Phone/Fax Number:

**Applicants must insert the appropriate information for the coalition in each underlined or italicized item in the paragraph below. Also, include a one-sentence description of each strategy that the coalition will implement with these funds [examples: (1) Review and recommend school board and city policies related to youth substance use. (2) Strengthen expressions of community norms against underage use. (3) Enforce limits on access laws aimed at retailers.]**

**Coalition Name**  
**State**  
**Serving Congressional District(s) # \_\_\_\_\_**

### Project Description

The [*Coalition Name*] was awarded a \$\_\_\_\_\_ Drug Free Communities Support Program FY 2010 grant by the White House Office of National Drug Control Policy (ONDCP) and the Substance Abuse and Mental Health Services Administration (SAMHSA). The Coalition services [*Community/Town*], [*State*], an [*urban/rural*] area with a population of [*# of people*].

The goals of the Coalition are: (1) establish and strengthen collaboration among [*Coalition Name*]'s partner organizations in support of the community's effort to prevent and reduce substance use among youth; and (2) reduce substance use among youth in [*Community/Town*], [*State*], and, over time, reduce substance abuse among adults by addressing the community issues that increase the risk of substance abuse and promoting the factors that minimize the risk of substance abuse.

The Coalition will achieve its goals by implementing these strategies:

- (1)
- (2)
- (3)

## Appendix L – Disclosure of DFC Coalition Information

This is a template for the Disclosure of DFC Coalition Information. Fill in the missing information below and include the completed form in the application as Attachment 15.

Name of Grantee: \_\_\_\_\_

Name of Coalition: \_\_\_\_\_

To help us accurately determine if and when the applicant coalition has previously received DFC funding, please place an “X” beside the statement that describes the coalition:

\_\_\_\_\_ DFC coalition that was formerly funded (experienced a funding break/gap)

\_\_\_\_\_ DFC coalition that is currently funded

\_\_\_\_\_ Coalition applying for first-time DFC funding

For current or prior DFC coalitions/grantees (FIRST TIME APPLICANTS DO NOT COMPLETE THIS SECTION), identify the name of the Federal agency that funded the prior grant (i.e., SAMHSA/CSAP or DOJ/OJJDP), year(s) of funding (enter ranges where applicable), grant number, and grantee name as it appeared on the Notice of Award (when using acronyms, please also include the full name).

*Please delete the example information provided when entering information into the table.*

**TABLE 24: PREVIOUS DFC FUNDING**

Federal Agency	DFC Funding	DFC Grant #	Grantee Name
<b>Example:</b> SAMHSA	2004 - 2007	SP012345	CONA - Coalition of North America

If the coalition had a break/gap in funding, please indicate the year(s) of the break/gap:

\_\_\_\_\_

[year(s) of break/gap]

## Appendix M – 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.

**Activities:** Efforts (e.g., projects, programs, other actions) to be conducted to achieve the identified objectives. A number of activities may be needed to achieve each objective (e.g., coordinate development and delivery of multi-disciplinary, multi-agency strategies to create an ordinance change).

**Assessment:** Assessment involves the collection of data to define problems within a geographic area. It involves gathering data to construct a profile of the community's prevention needs. The assessment identifies, analyzes, and depicts the nature and extent of youth drug use in the community. Based on this data, a subset of modifiable risk and protective factors are selected as the focus of the coalition's prevention strategies.

**ATOD:** Acronym for alcohol, tobacco, and other drugs.

**Capacity:** Capacity involves the mobilization of resources within a geographic area (State/community). It includes efforts to engage community stakeholders, recruit and sustain the commitment of coalition members, and build prevention-related knowledge among coalition members and within the community.

**Community:** The intended area of focus for the coalition's work. This includes the geographical area the coalition intends to impact (and may include populations the coalition will focus on assisting). Each applicant must define the boundaries of their community.

**Community-Level Change:** Change that occurs within the population of focus in your community.

**Community-Level Interventions:** Multi-component interventions that generally combine individual and environmental change strategies across multiple settings to prevent dysfunction and promote well-being among population groups in a defined community.

**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 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.

**Economically Disadvantaged Area:** An area with 20% or more children living in households below the poverty line as defined by the U.S. Census Bureau.

**Evaluation:** A systematic, data-driven examination of coalition development, functioning, outcomes, and effectiveness.

**Goal:** A broad statement of what the coalition intends to accomplish. For example, “To create a healthy community where drugs and alcohol are not abused by adults or used by underage youth.”

**Implementation:** Taking action guided by the strategic plan. Progress toward achieving objectives related to the goal of reducing substance use among youth is made through the implementation of related activities.

**Objectives:** What is to be accomplished during a specific period of time to move toward achievement of a goal, expressed in specific, measurable terms. Objectives are the results of coalition strategies to reduce youth substance use in the community.

**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 as a result of a coalition’s efforts.

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

**Process Evaluation:** This evaluation 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, problem solving skills).

**Resources:** Anything 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:** Factors that increase an individual’s vulnerability to drug use and abuse (e.g., academic failure, negative social influences, favorable parental or peer attitudes toward involvement with drugs).

**Rural:** The Census Bureau's classification of "rural" consists of all territory, population, and housing units located outside of an urbanized area (UA) or an urban cluster (UC). (See Definition of Urban below.) The rural component contains both place and non-place territory. Geographic entities, such as census tracts, counties, metropolitan areas, and the territory outside metropolitan areas, often are "split" between urban and rural territory, and the population and housing units they contain often are partly classified as urban and partly classified as rural.

**Strategic Planning:** The development of a strategic plan that includes policies, programs, and practices to be implemented, changed, or enforced that will address the problems identified in the assessment.

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

**Urban:** The Census Bureau classifies as "urban" all territory, population, and housing units located within an urbanized area (UA) or an urban cluster (UC). It delineates UA and UC boundaries to encompass densely settled territory, which consists of:

- core census block groups or blocks that have a population density of at least 1,000 people per square mile and
- surrounding census blocks that have an overall density of at least 500 people per square mile.

**Youth:** Individuals 18 years of age or younger.

## Appendix N – Pre-Submission Checklist

Use the checklist below to ensure that the application meets all submission requirements. Please place an “X” beside each item that has been completed. Include the completed checklist as the last page of the application.

**TABLE 25: PRE-SUBMISSION CHECKLIST**

Items to Complete	“X” if Completed
Did you complete and sign the Face Page (424 v2)?	
Did you complete the Non-Construction Budget Worksheet (424A)?	
Did you include your Congressional Justification before your Table of Contents (see <a href="#">Appendix K</a> )?	
Did you include a Table of Contents on which the page numbering starts?	
Did you include your Community Overview after the Table of Contents?	
Is your Project Narrative ( <a href="#">Section A</a> ) no longer than 30 pages?	
Has your Project Narrative addressed all 18 questions?	
Did you consider cultural competence throughout the Project Narrative?	
Did you adequately address collection of the four DFC core measures?	
Does your application target multiple drugs and address the two DFC goals?	
Did you include a one-year Budget Narrative ( <a href="#">Section B</a> )?	
Did you demonstrate that your coalition will meet matching fund requirements ( <a href="#">Section B</a> , 424 v2, and 424A)?	
Did you meet all eligibility requirements (see <a href="#">Part III-1</a> )?	
In Attachment 1, did you list all 12 community sectors (see <a href="#">Appendix E</a> )?	
In Attachment 2, did you include one CIA from each person listed in the Sector Member Table (see <a href="#">Appendix F</a> )?	
In Attachment 3, did you provide two sets of meeting minutes from the specified timeframes?	
In Attachment 4, did you include the coalition’s mission statement?	
In Attachment 5, did you include an MOU between the coalition and the grantee/legal entity or a statement that the coalition is legally eligible to receive a grant (see <a href="#">Appendix H</a> )?	
In Attachment 6, did you include Letter(s) of Mutual Cooperation, if applicable?	
In Attachment 7, did you include the Applicant Assurance of No More than One Grant (see <a href="#">Appendix I</a> )?	
In Attachment 8, did you include Assurance of Compliance with the End of Grant Policy (Congressional 10-Year Funding Limit Policy) (see <a href="#">Appendix J</a> )?	
In Attachment 9, did you include the required resumes and job descriptions?	
In Attachment 10, did you include the completed table from <a href="#">Section F</a> ?	
Did you list the specific zip codes in which your coalition will work to impact youth substance use trends and problems in Attachment 10, Item F13?	
In Attachment 11, did you include the completed table from <a href="#">Section G</a> ?	
In Attachment 12, did you include the coalition’s Organizational Chart?	
In Attachment 13, did you include the Logic Model?	

<b>Items to Complete</b>	<b>“X” if Completed</b>
In Attachment 14, did you include a copy of the letter to the SSA?	
In Attachment 15, did you include your Disclosure of DFC Coalition Information (see <a href="#">Appendix L</a> )?	
In Attachment 16, did you include all required forms, certifications, disclosures, and assurances?	
Did you include the Checklist from the PHS 5161-1 as the next-to-last page of the application?	
Is this completed Pre-Submission Checklist the last page of your application?	