

**Department of Health and Human Services
Substance Abuse and Mental Health Services Administration
Center for Substance Abuse Prevention**

**Drug Free Communities Mentoring Program
(Amendment as of March 19, 2010)**

Request for Applications (RFA) No. SP-10-006

Catalog of Federal Domestic Assistance (CFDA) No. 93.276

Key Dates:

Application Deadline	Applications are due by April 23, 2010.
Intergovernmental Review (E.O. 12372)	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.
Public Health System Impact Statement (PHSIS)/Single State Agency Coordination	Applicants must send the PHSIS to appropriate State and local health agencies by application deadline. Comments from Single State Agency are due no later than 60 days after application deadline.

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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 Mentoring Program (DFC Mentoring) grants. The purpose of the DFC Mentoring Program is to provide grant funds to existing DFC grantees, so that they may serve as Mentors to newly-formed and/or developing coalitions that have never received a DFC grant.

Funding Opportunity Title:	Drug Free Communities Mentoring Program
Funding Opportunity Number:	SP-10-006
Due Date for Applications:	April 23, 2010
Anticipated Total Available Funding:	\$1.125 million
Estimated Number of Awards:	15 (one award per grantee)
Estimated Individual Award Amount:	Up to \$75,000 per year
Length of Project Period:	Up to 2 years
Eligible Applicants:	Only existing DFC grantees are eligible to apply. [See Part III of this RFA for complete eligibility information.]

I. FUNDING OPPORTUNITY DESCRIPTION

1. INTRODUCTION

The Executive Office of the President, Office of National Drug Control Policy (ONDCP), and the Department of Health and Human Services (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 Mentoring Program (DFC Mentoring) grants. The purpose of the DFC Mentoring Program is to provide grant funds to existing DFC grantees, so that they may serve as Mentors to newly-formed and/or developing coalitions that have never received a DFC grant.

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, 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.) Note: DFC projects must focus on multiple drugs of abuse. When the term “drug” or “substance” is used in this funding announcement, it is intended to include all of the above drugs.

Mentoring grant funds must be used by the Mentor coalition (grantee) for the direct benefit of the Mentee community/coalition. Funding through this grant should support access for the Mentee community/coalition to obtain the training and technical assistance necessary to help them form a community coalition and pursue a DFC Support Program grant.

In addition, the Mentor coalition must establish a mentoring plan that not only includes training and technical assistance for the Mentee community/coalition, but also assists the new coalition in moving toward being an effective entity capable of addressing youth substance use. It is the intent of the DFC Mentoring Program that communities mentored through this effort will form functioning coalitions working to reduce youth drug use at the community level, and that those coalitions should meet the basic eligibility criteria ([Part III](#)) of the DFC program. **By the end of the two-year grant period, Mentor coalitions should have fully prepared each Mentee community/coalition to effectively compete for their own DFC grants.**

The Drug Free Communities Program (DFC) was created by the Drug Free Communities Act, 1997 (Public Law 105-20). DFC Mentoring grants were established as a component of the DFC Program when the DFC Program was reauthorized on December 14, 2001 (Public Law 107-82, 115 Stat. 814). Congress again demonstrated its support for the DFC Mentoring effort when the

DFC Program and the DFC Mentoring Program were reauthorized in December of 2006 (Public Law 109-469).

The coalitions that have been awarded DFC Mentoring grants represent a cross-section of communities from every region in the nation. In FY 2009, ONDCP awarded 10 new DFC Mentoring Grants and 10 Mentoring Continuation grants. More information about DFC and DFC Mentoring grants can be found on the DFC Web site (<http://www.ondcp.gov/dfc>).

2. ABOUT DFC MENTOR GRANTEES

2.1 Coalitions and the DFC Program's Focus

The primary focus of the DFC Mentoring Program is to strengthen collaboration among Mentee community entities to reduce substance use among youth. Grants awarded through the Drug Free Communities Mentoring program are intended for grantees to mentor newly-formed and/or developing coalitions to increase their capacity to form coalitions capable of successfully applying for the DFC Support Program grants. For the purposes of this Request for Applications (RFA) and the DFC Mentoring 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 Mentoring funds are expected to work with leaders within the Mentee communities to identify and address local youth substance use problems.

2.2 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 Mentoring grantees are expected to help mentees understand and include 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).

2.3 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 Mentoring 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.

2.4 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 their work with the Mentee community/coalition in developing a strong, inclusive coalition. For prevention efforts to be truly effective, diverse representation is needed early in the coalition development process. Applications will be assessed on their commitment to cultural competence.

More information on cultural competence for coalitions can be found at http://www.cadca.org/files/cultural_competence_jan09.pdf.

3. EXPECTATIONS

DFC Mentoring grantees are expected to assist **one or more communities** in the development of community-based coalitions that are working to reduce and prevent youth drug use in their communities. **In developing this application, if a Mentor coalition plans to mentor more than one new community/coalition, all questions must be answered for each Mentee community/coalition. Please consider this issue in answering the questions within the 25-page limit.**

By building the capacity of non-DFC communities to assess their communities' unique challenges and organize a coalition-based response to those challenges, the mentoring process should better prepare the Mentee communities/coalitions to build drug prevention coalitions which can successfully compete for a DFC grant.

Funding through this grant must support the Mentee community/coalition in obtaining the training and technical assistance necessary to help them form a community coalition and pursue a DFC grant. In addition, the Mentee community/coalition may need to engage in initial processes to support the appropriate identification of problems (assessment) in their community in an effort to work toward a local solution (logic model and strategic plan development). It is the intent of the DFC Mentoring Program that communities mentored through this effort will form functioning coalitions working to reduce youth substance use at the community level and will be able to successfully compete for a DFC grant in the future.

Additionally, the Mentor coalition is expected to mobilize key sectors of its community in a peer-to-peer effort in the formation of the Mentee coalition. The DFC Mentoring Program seeks to combine both staff and volunteer resources from the Mentor coalition and Mentee community/coalition to successfully support the development of a functioning coalition in the Mentee community.

The types of activities that are expected and allowable include, but are not limited to: education of community members in the Mentee community/coalition; training and technical assistance for the Mentee community/coalition, including the community itself; assistance with the development of a needs assessment (to include data collection and analysis), logic model, and strategic (long-term) and action plans (12-months). Any training, technical assistance, or other activities associated with bolstering the Mentee community/coalition should be included in the Mentoring Plan ([Section A, Question 9](#)).

3.1 Strategic Prevention Framework

DFC Mentor coalitions are expected to assist Mentee communities/coalitions in using the Strategic Prevention Framework (SPF) as the model for identifying local problems, prioritizing those problems, and engaging community planning. The SPF is a five-step evidence-based process for community planning and decision-making.

The five-step process includes:

1. **Assessment:** Identify local substance abuse 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 substance abuse 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, strategies, or interventions.
5. **Evaluation:** Monitor, sustain, improve, or replace prevention activities, efforts, and strategies.

To eventually compete for a DFC grant, a Mentee community/coalition must demonstrate a capacity to implement the plans developed through the SPF process. Therefore, effective use of the SPF should be a key focus of the mentoring process.

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

3.2 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 Mentoring grantees are required to document their ability to collect and report the following:

1. Development of baseline data regarding drug use and related substance abuse problems in Mentee community/coalition, for the following:
 - Age of onset of any 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)
2. Identification of the key sectors of the Mentee community/coalition for development of a successful coalition.
3. Development of a comprehensive substance abuse prevention strategic and/or action plan utilizing the Strategic Prevention Framework incorporating environmental strategies to reduce youth drug use in Mentee communities/coalitions.

The Terms and Conditions of the grant award will specify the information to be submitted and the schedule for submission of that information using an online data reporting system. DFC Mentoring grant recipients are required to report once a year on Mentee community/coalition progress for each of the four measures mentioned above. For example, if “Coalition A” receives a DFC Mentoring grant to work with “Coalition Z”, then “Coalition A” must report whether “Coalition Z” has developed baseline and follow-up measures of the four substance abuse measures listed above.

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 Cross-Site DFC 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.

Performance indicators regarding coalition membership and strategic/action planning are essential developments for the Mentee community. The DFC Mentoring grant recipients need to indicate progress toward this development.

3.3 National DFC Cross-Site Evaluation

DFC Mentoring Coalitions must participate in DFC’s National Cross-Site Evaluation, which is intended to measure the progress and the formative development of all DFC coalitions across the country. This includes the reporting of data on the four GPRA core measures 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 above measures ([Part I-3.2](#)) until further direction is given by ONDCP and SAMHSA/CSAP.

3.4 National Meeting Requirement

Successful applicants funded through this RFA are required to budget for and send one representative from both the Mentor coalition and the Mentee community/coalition (one must be the Program Director) to a three-day New Grantee Meeting in Washington, D.C. in the first year of the grant award. In the second year of funding, grantees must budget for one meeting/training per year to be defined by the DFC Program Administrator that will include one representative from the Mentor coalition and each Mentee community/coalition. You must include a detailed budget and narrative for this travel in your budget. This requirement is in addition to any other training(s) that applicants may choose to include in their budgets. ONDCP and/or SAMHSA will notify DFC grantees if training will occur in any given fiscal year and will provide details (date/time/location) for these trainings as far in advance as possible. If there is no mandatory meeting/training in a given fiscal year, each grantee should work with their SAMHSA Project Officer and Grants Management Specialist to redirect the money for other appropriate trainings and/or activities.

3.5 Meeting the Eligibility Requirements

The DFC Mentoring Program has statutory eligibility requirements—requirements that were written into the law that established the DFC Program (see [Part III](#)). 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 1-7 of the application.

II. AWARD INFORMATION

Funding Mechanism:	Grant
Anticipated Total Available Funding:	Approximately \$1.125 million
Estimated Number of Awards:	15
Estimated Award Amount:	Up to \$75,000 per year
Length of Project Period:	Up to 2 years

Proposed budgets cannot exceed \$75,000 in total costs (direct and indirect) in any year of the proposed budget.

Approximately \$1.125 million for 15 FY 2010 DFC Mentoring grants will be awarded through this RFA. Grants will be available to eligible coalitions in amounts of up to \$75,000 per year over a two-year period, known as a funding cycle. To apply for a DFC Mentoring grant under this RFA, the Mentor coalition must have been in existence for **at least five years and have an active DFC grant for the duration of the two year funding cycle**. Additional eligibility requirements are listed below in [Part III](#) and must be met by the Mentor coalition in order to be considered for funding.

Funds for the second year of the grant are distributed as non-competing continuation awards. Continuation awards are contingent upon the availability of DFC funds, the continued ability of the grantee to demonstrate eligibility, grantee progress in meeting grant goals and objectives, compliance with all terms and conditions of the award, and timely submission of the continuation application as well as required data and reports.

Under the terms of this announcement, applicants may request and receive funding to mentor one or more coalitions for a maximum of two years. A DFC Mentoring grant may not be used to mentor the same coalition for more than two years. A DFC coalition may have only one DFC Mentoring grant at a time.

III. ELIGIBILITY INFORMATION

1. ELIGIBLE APPLICANTS

The Drug Free Communities Act of 1997 (Public Law 105-02) and its subsequent Reauthorization Acts (Public Law 107-82, 115 Stat 814 and Public Law 109-469) authorize initial grant funding and renewable grant funding for coalitions who meet the eligibility criteria outlined below.

DFC Mentoring applicants must be current DFC grantees and must meet all eligibility requirements of the DFC Program.

All DFC Mentoring applications will be jointly screened by ONDCP and SAMHSA to determine whether each applicant meets all the DFC Mentoring program eligibility requirements contained in the eligibility requirements table below. Applications submitted by eligible coalitions that demonstrate meeting all requirements will then be scored by an independent Peer Review panel according to the evaluation criteria described in [Part V: Application Review Information](#).

DFC Mentoring grant funds are intended to provide support for a Mentor coalition (a current DFC grantee) to assist a new community/coalition (Mentee). **Applications submitted by Mentor coalitions (applicant) that do not demonstrate that they meet the eligibility requirements will not advance to the Peer Review stage. SAMHSA/ONDCP will not accept any additional materials submitted after the published deadline for receipt of applications.**

The following table contains a summary of the DFC Mentoring eligibility requirements and the minimum documentation applicants must provide in [Part V-1](#) of their applications. “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 Mentoring grantees MUST demonstrate compliance with all of the following eligibility criteria to be considered for initial and continued funding:

Eligibility Requirements	Evidence Required and Where to Document
<p>Requirement 1: The Mentor coalition must have been in existence for at least five years. <i>*(21 USC 1535 § 1035 (d)(1))</i></p>	<p>Evidence Required: Provide the date the Mentor coalition was established.</p> <p>Where to Document: Section G: Information and Demographics, Question 10</p>
<p>Requirement 2: The Mentor coalition must be in compliance with all requirements of their existing DFC Grant (i.e., DFC reporting and Grants Management requirements) for the previous year and for the full duration of the mentoring grant. If an applicant (Mentor coalition) is on high-risk status, they are not eligible to submit an application for a DFC Mentoring grant. <i>*(21 USC 1535 § 1035 (a))</i></p>	<p>Evidence Required: Provide information documenting previous and existing DFC grant awards using the template located in Appendix F.</p> <p>Note: In order to qualify for a DFC Mentoring grant, you must have a continuation award (Years 2-5 or Years 7-10) for an existing DFC grant or, if you are a coalition applying for a Year 6 DFC grant, you can be considered only if you are awarded the Year 6 DFC grant.</p> <p>Where to Document: Attachment 7</p>
<p>Requirement 3: The Mentor coalition must have achieved, through its own efforts, measurable results in the prevention of substance use among youth. <i>*(21 USC 1535 § 1035 (d)(2))</i></p>	<p>Evidence Required: Report most recent DFC Mentor coalition core measure data.</p> <p>Where to Document: Section A, Question 2</p>
<p>Requirement 4: The Mentor coalition must have at least one staff person, as well as sector volunteers willing to serve as mentors to the Mentee community/coalition in the prevention of substance abuse. <i>*(21 USC 1535 § 1035 (d)(3))</i></p>	<p>Evidence Required: Provide: 1) a list of individuals from the Mentor coalition (staff members/volunteers) who will participate in the mentoring project: and 2) a description of the role of each individual.</p> <p>Where to Document: Section A, Question 6</p>

Eligibility Requirements	Evidence Required and Where to Document
<p>Requirement 5: The Mentor coalition must propose to serve a Mentee community/coalition that is not currently and never has been funded through the DFC grant program.</p>	<p>Evidence Required: Provide certification of Mentee community/coalition funding status using the template located in Appendix F.</p> <p>Where to Document: Attachment 7</p>
<p>Requirement 6: The Mentor coalition must demonstrate that there is a willingness on the part of the Mentee community/coalition and its community to actively participate in the mentoring process. *(21 USC 1535 § 1035 (d)(4))</p>	<p>Evidence Required: Submit a Memorandum of Understanding (MOU) between the Mentor coalition and each Mentee community/coalition, as described in Section D.</p> <p>Where to Document: Attachment 2</p>
<p>Requirement 7: The Mentor coalition must submit a detailed Mentoring Plan for the coalition mentoring activities to be supported by the grant. *(21 USC 1535 § 1035 (d)(5))</p>	<p>Evidence Required: Provide a detailed Mentoring Plan for the coalition mentoring activities.</p> <p>Where to Document: Section A, Question 9</p>
<p>Requirement 8: The Mentor coalition may not request more than \$75,000 in Federal funds per year. *(21 USC 1535 § 1035 (g)(2))</p>	<p>Evidence Required: Provide budget request.</p> <p>Where to Document: Section B, Budget Narrative</p>
<p>Requirement 9: The Mentor coalition must demonstrate a minimum of a 1:1 match in non-Federal funds not previously identified as match to their current DFC grant. *(21 USC 1535 § 1035 (g)(1))</p>	<p>Evidence Required: Provide budget match information.</p> <p>Where to Document: Section B, Budget Narrative</p>

2. COST SHARING and MATCH REQUIREMENTS

The DFC Mentoring authorizing legislation requires grantees to demonstrate that they have matching funds from non-Federal sources on a dollar-for-dollar (1:1) basis for those funds awarded by the DFC Support Program. Awards will not be made to applicants who do not meet the match requirement.

- Applicants must itemize the match in the budget and explain the match in the budget narrative. (A sample budget narrative is provided in [Appendix A](#) of this announcement.)
- In-kind support may be used for the match requirement. In-kind support includes the value of goods and services donated to the operation of the Mentor coalition. Typical examples include donated office space, volunteer secretarial services, pro bono accounting services, or other personnel serving in a voluntary capacity.

- DFC funds currently received by the Mentor coalition or other Federal funds, including those funneled through States, may NOT be used to meet the matching requirements for DFC Mentoring applicants.
- Applicants may not identify the same match for this application as identified for their existing DFC grant.
- Applicants must provide match funds for both years of the Mentoring grant.
- 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.

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>.

3. OTHER

3.1 Additional Eligibility Requirements

You must comply with the following requirements, or your application will be screened out and will not be reviewed: use of the PHS 5161-1 application form (available at <http://www.samhsa.gov/grants/apply.aspx>); application submission requirements in [Part IV-3](#) of this document; and formatting requirements provided in [Appendix B](#) of this document.

3.2 Evidence of Experience

SAMHSA and ONDCP believe that existing, experienced coalitions with demonstrated infrastructure will best be able to reduce youth substance use in their communities. You will have the opportunity to describe the experience and infrastructure of your coalition in the Project Narrative ([Part V-1, Section A, Project Narrative](#)).

3.3 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 [TDD: 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); and
- a list of certifications and assurances referenced in item 21 of the SF 424 v2.

When submitting an application, be sure to type “**SP-10-006 – DFC Mentoring 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. You must use the PHS 5161-1. **Applications that are not submitted on the required application form will be screened out and will not be reviewed.**

Request for Applications (RFA) – Provides 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 will be 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>).

You must use all of the above documents in completing your application. **A complete list of documents included in the application kit is available at:** <http://www.samhsa.gov/Grants/ApplicationKit.aspx>.

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**– This abstract should not be longer than 35 lines. In the first five lines or less of your abstract, write a summary of your project that can be used, if your project is funded, in publications, reporting to Congress, or press releases. A Congressional Justification template is provided in [Appendix D](#). **Your Congressional Justification should be provided in your application as Attachment 1 and a copy should be placed immediately prior to the Table of Contents.**
4. **Table of Contents** – Number every page of your 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 your application and for each attachment.
5. **Mentee Community Overview (Unscored)** - Provide a brief community context for each Mentee community. This is the applicant’s opportunity to “set the stage” for Peer Reviewers in terms of what makes the Mentee community unique and in need of DFC funding. This description should be on a single sheet of paper titled Mentee Community Overview, and must be no longer than 1 page. It should be placed between the Table of Contents and Project Narrative.
6. **Project Narrative** – The Project Narrative describes your project. It consists of [Section A](#) and may not be longer than 25 pages. (Remember that if your Project Narrative starts on page 5 and ends on page 30, it is 26 pages long, not 25 pages.) More detailed instructions for completing the Project Narrative are provided in [Part V: Application Review Information](#) of this document.
7. **Budget Narrative** ([Section B](#)) provides narrative detail about both the Federal request and the non-Federal match.

Supporting Documentation provides additional information necessary for the review of your application. This documentation should be provided immediately following your Project Narrative and Budget Narrative. There are no page limits for these attachments, except for Attachment 3 (refer to [Section E: Resume and Job Descriptions](#)). Additional instructions for completing these attachments are included in [Part V-1: Supporting Documentation](#). Supporting documentation should be submitted in black and white (no color).

8. **Attachment 1:** Congressional Justification Part V - [Section C](#)

9. **Attachment 2:** MOU between Mentor Coalition and each Mentee Community/Coalition Part V - [Section D](#)
10. **Attachment 3:** Resumes and Job Descriptions Part V - [Section E](#)
11. **Attachment 4:** General Applicant Information Part V, [Section F](#)
12. **Attachment 5:** Applicant Information and Demographics Part V, [Section G](#)
13. **Attachment 6:** Letter to the SSA Part V, [Section H](#)
14. **Attachment 7:** Disclosure of DFC Grantee and Coalition Information, [Appendix F](#)
15. **Attachment 8:** Certifications and Disclosures Part V, [Section I](#) – Included in this Attachment will be the following:
 - **Project/Performance Site Location(s) Form** – This form is found at <http://www.samhsa.gov/Grants/ApplicationKit.aspx>. The purpose of this form is to collect location information on the site(s) where work funded under this grant announcement will be performed.
 - **Assurances** – Non-Construction Programs. You 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. You 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** – You must read the list of certifications provided on the SAMHSA Web site or in the application kit before signing the face page (SF 424 v2) of the application.
 - **Disclosure of Lobbying Activities** – You 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.
16. **Additional attachments as desired** (document not required to not have to included in the application)

17. **Checklist** – Use the Checklist found in PHS 5161-1. The Checklist ensures that you have obtained the proper signatures, assurances, and certifications. If you are submitting a paper application, the Checklist should be the next-to-last page.
18. **Pre-Submission Checklist** – Use the Checklist found in [Appendix G](#). This Checklist ensures that you have accurately documented the eligibility requirements and included all major components of the application. If you are 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 **April 23, 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).**

You will be notified by postal mail that your application has been received within 30 days of submission.

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

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

SAMHSA accepts electronic submission of applications through <http://www.Grants.gov>. Please refer to [Appendix C](#), *Guidance for Electronic Submission of Applications*. **If you plan to submit electronically through Grants.gov it is very important that you read thoroughly 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.

- 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 to receive any necessary instructions on the State's review process.
- For proposed projects serving more than one State, you are advised to contact the SPOC of each affiliated State.
- The SPOC should send any State review process recommendations to the following address within 60 days of the application deadline. For United States Postal Service: Crystal Saunders, Director of Grant Review, Office of Program Services, Substance Abuse and Mental Health Services Administration, 1 Choke Cherry Road, Room 3-1044, Rockville, MD **20857**. ATTN: SPOC – Funding Announcement No. SP-10-006. Change the zip code to **20850** if you are using another delivery service.

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

The PHSIS consists of the following information:

- a copy of the face page of the application (SF 424 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, you must include a copy of a letter transmitting the PHSIS to the SSA in [Section H: Notification to the SSA](#). The letter must notify the State that, if it wishes to comment on the proposal, its comments should be sent not later than 60 days after the application deadline to 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-10-006**. Change the zip code to **20850** if you are using another delivery service.

In addition, applicants may request that the SSA send them a copy of any State comments. 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 Mentoring grant recipients must comply with the following funding restrictions:

- DFC grant funds must be used for purposes supported by the program.
- DFC grant funds may not be used to pay for the purchase or construction of any building or structure to house any part of the grant project.
- Food is generally unallowable. Exceptions could include using food 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 percent 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

You may submit your application in paper or electronic format.

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 you use the electronic or paper format.

To submit an application electronically, you must use the <http://www.Grants.gov> apply site. You 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 your application electronically.

Submission of Paper Applications

You 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.

Send applications to the address below:

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

Do not send applications to other agency contacts, as this could delay receipt. Be sure to include “**DFC SP-10-006**” in item number 12 on the face page (SF 424 v2) of any paper applications. If you require a phone number for delivery, you may use (240) 276-1199. 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.

V. APPLICATION REVIEW INFORMATION

1. EVALUATION CRITERIA

This portion of the RFA contains Sections A-I. 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

Mentee Community Overview (Unscored)

Provide a brief community context for each Mentee community. This is the applicant’s opportunity to “set the stage” for Peer Reviewers in terms of what makes the Mentee community unique and in need of DFC funding. This description should be on a single sheet of paper titled

Mentee 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 14 questions that guide you in describing how you will mentor the new community. 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 section of your application, you **MUST** use these instructions, which have been tailored to this program. **These are to be used instead of the “Program Narrative” instructions found in the PHS 5161-1.**

- The Project Narrative ([Section A](#)) may be no longer than 25 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 provided. Be sure to place all responses and required information under the correct question or they will not be considered or scored.
- 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.
- Reviewers will be looking for evidence of cultural competence in the Project Narrative, and will consider how well the application addresses cultural competence when scoring your application. Guidelines for addressing cultural competence for coalitions can be found on the Community Anti-Drug Coalitions of America Web site at http://www.cadca.org/files/cultural_competence_jan09.pdf.

Budget Narrative (Scored)

- In [Section B](#), you must provide a detailed Budget Narrative using the suggested 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 detailed Budget Narrative.

Sections C-I (Unscored)

In Sections C, D, E, F, G, H, and I, 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 in Sections C-I is used to determine whether your application meets the eligibility criteria and is eligible to proceed to Peer Review.

Therefore, although these sections are not directly scored by Peer Reviewers, they are critical in your application's ability to move from eligibility screening to Peer Review. In addition, Peer Reviewers will review these sections while assessing your responses to [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 Mentoring 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/or realistic with a reasonable likelihood of successful implementation in the judgment of the reviewer
- **1 point:** Answer is insufficient, providing minimal feasibility and realism and has a low probability of successful implementation in the judgment of the reviewer
- **0 points:** Answer is poor, lacks completeness, feasibility and is not realistic

To arrive at the total points for each question, Peer Reviews will calculate the 0-3 score and then multiple 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 Mentoring Plan and the DFC Program priorities using a 0-3 point scale.

- **3 points:** Budget completely supports the objectives in the Mentoring Plan, demonstrates outstanding support for appropriate training and technical assistance for the Mentee coalition, and clearly includes the elements necessary for moving the Mentee toward being a future DFC grantee.
- **2 points:** Budget sufficiently supports the objectives in the Mentoring Plan, demonstrates some support for appropriate training and technical assistance for the Mentee coalition, and includes some elements necessary for moving the Mentee toward being a future DFC grantee.

- **1 point:** Budget insufficiently supports the objectives in the Mentoring Plan, demonstrates minimal support for appropriate training and technical assistance for the Mentee coalition, and includes few elements necessary for moving the Mentee toward being a future DFC grantee.
- **0 points:** Budget does not support the objectives in the Mentoring Plan, demonstrates no support for appropriate training and technical assistance for the Mentee coalition, and includes no means for moving the Mentee toward being a future DFC grantee.

1.3 Questions/Items for Response When Writing Your Application

Mentee Community Overview (Unscored)

Include a brief overview of each Mentee community prior to providing your responses to the scored questions in the Project Narrative ([Section A](#)). Type the heading **Mentee Community Overview** and include the information outlined in the following two items immediately below. This overview is not scored and does not count toward the 25 page limit. However, **it can be no longer than 1 page in length.**

- Paint a picture of each community that will receive assistance via the DFC Mentoring grant. Include basic demographic and aspects of diversity such as age, race, ethnicity, gender, religious sectors, sexual orientation, socioeconomic status and total population, as applicable.
- Identify the specific geographic boundaries of each Mentee community/coalition, e.g., zip codes, street/highway boundaries, school districts, and/or other such locally designated descriptors.
- Explain how and why each Mentee community/coalition was identified. Briefly describe how the Mentor coalition is uniquely positioned to help the target Mentee community/coalition develop/strengthen as a community coalition.

Section A: Project Narrative (Scored – 93 points)

The following questions are based on the Strategic Prevention Framework (SPF), the required mobilization and planning method for the Drug Free Communities Mentoring Program. Bolded questions are followed by bulleted items for clarification. See [Application Scoring Instructions](#) 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.

Section A will require descriptive information and responses from the perspective of both the Mentor coalition and Mentee community/coalition. If a Mentor coalition is proposing to mentor more than one community/coalition, answers must include all Mentee coalitions within the 25-page limit. To assist reviewers in understanding both Mentor capacity and Mentee opportunity for community change, some questions include templates or tables for you to use to organize your responses.

1. **How is the Mentor coalition capable of providing the necessary guidance to the Mentee community/coalition for the purposes of strengthening the new coalition and assisting it in becoming eligible for a DFC grant in the near future?** (multiplier of 2) Responses could address, but are not limited to, the following:
 - Successes that uniquely qualify the Mentor coalition to assist a new coalition
 - Commonalities between the two coalitions (Mentor and Mentee) that facilitate a positive relationship for learning and growth
 - Role of the Project Director and other key personnel, their level of effort and qualifications
 - Key staff experience and familiarity with the culture and language of the Mentee community/coalition members

2. **Provide the Mentor coalition's measurable outcomes specific to the four core measures (age of onset, 30-day use, perception of risk/harm, perception of parental disapproval) required by the DFC Program, including the baseline and most recent data available. How will the Mentor coalition transfer its knowledge in reducing youth substance use to the Mentee community/coalition?** (multiplier of 2) Responses could address, but are not limited to, the following:
 - Community mobilization and planning
 - Use of environmental prevention strategies
 - Ongoing assessment to adapt and adjust over time

3. **If the Mentee community has conducted a Needs Assessment, what are the Mentee community's youth substance use problems? If a Needs Assessment has not been completed yet, what efforts by both the Mentor and Mentee communities will be conducted to complete this task?** (multiplier of 3) Responses could address, but are not limited to, the following:
 - Youth substance use data/trends
 - Youth access data
 - Data related to youth consequences (e.g., social indicators) such as crime data, juvenile justice/social services referrals, school failure, DWI rates, emergency room data, substance abuse treatment admissions, teen pregnancy rates, and dating violence and sexual assault statistics
 - Roles, activities, and responsibilities of members
 - Collaborative data gathering and needs assessment
 - Identification of existing or missing data
 - Assessment training to be provided by the Mentor (including Mentor's experience with providing such training)

4. **What opportunities and barriers exist in the creation of a community drug prevention coalition in the Mentee community?** (multiplier of 2) Responses could address, but are not limited to, the following:
 - Mentee community's history, thus far in developing a substance abuse prevention coalition

- Identification of needs, gaps and barriers in creating or growing a DFC-eligible Mentee coalition
5. **What resources are currently available and/or need to be developed in the Mentee community to address youth substance use?** (multiplier of 2) Responses could address, but are not limited to, the following:
- Collaborations, partnerships and systems supportive of positive youth development
 - Youth and adult volunteers
 - Financial resources
 - Policies, practices, programs, and services
 - Training and technical assistance opportunities
 - Development of products (Community Assessment, Logic Model, Strategic/Action Plan, Evaluation Plan, etc.)
6. **What is the Mentee coalition’s current or intended membership and which members of the Mentor coalition will be involved in developing the Mentee coalition?** (multiplier of 2) Responses could address, but are not limited to, the following:
- Discuss plans to recruit and obtain demonstrable engagement and support from missing and/or additional community sectors
 - Indicate the role the Mentor coalition members will play in recruiting and developing their counterparts in the Mentee coalition
 - Using the template provided below in Table 1, identify the current or intended membership of the Mentee coalition
 - Using the template provided below in Table 2, identify the Mentor coalition representatives (sector members) who will play a part in developing the Mentee coalition

TABLE 1: MENTEE COALITION MEMBERSHIP

Individual Name	Agency/Organization	DFC Sector (up to 12)	Designate as Currently Participating or To Be Recruited

Note: At the time of application submission, the Mentee coalition is not required to have representation from all 12 sectors as active participants in order to be eligible to be mentored. (See the list of sectors below Table 2.)

TABLE 2: MENTOR COALITION MEMBERSHIP

Individual Name	Agency/Organization	DFC Sector (12 total)	Description of Role in the Mentoring Relationship

Note: The 12 key DFC sectors (as required in the DFC Act) are: youth; parents; business community; media; school; youth-serving organizations; law enforcement agencies; religious or fraternal organizations; civic and volunteer groups; healthcare professionals; State, local, or tribal governmental agencies with expertise in the field of substance abuse; and other organizations involved in reducing substance abuse.

7. **Describe the state of the Mentee community/coalition. Where is it in terms of assessment and understanding its youth substance use problems and its capability to solve those problems?** (multiplier of 2) Responses could address, but are not limited to, the following:
 - Mentee community/coalition history around organizing related to youth substance use
 - Activities/efforts conducted by the Mentee community/coalition up to this point related to collecting data, analyzing data and setting priorities in response to the data
 - Use of data to mobilize, inform and organize the community/coalition

8. **How do the Mentor and Mentee coalitions plan to work together in forming and solidifying a DFC-eligible community coalition in the Mentee community?** (multiplier of 3) Responses could address, but are not limited to, the following:
 - Roles of individuals on each coalition to facilitate the mentoring process
 - Processes for providing and/or brokering the training and technical assistance needed to bolster the Mentee community
 - Instituting processes for healthy coalition development (i.e., decision making, organizational structure, financial management) for the Mentee coalition

9. **What is the Mentor’s plan for working with and developing the Mentee coalition/community in the first 12 months after the awarding of the grant?** (multiplier of 3) Use the template on the following page to provide your 12-month Mentoring Plan. The information provided in each table should fall within the text of this section and will count toward the 25-page limit. 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 must use the goals provided in the template.**

NOTE: Some grantees will plan for the initial Mentee community/coalition to be self-sustaining after the initial 12 months while others will plan for it to take a full 24 months. ***Each approach is acceptable for this RFA.*** In the event that an applicant plans to complete the mentoring work in 12 months, the Mentor coalition will be permitted to replicate the first year’s activities with a different Mentee community/coalition in the second (final) year of the DFC Mentoring grant. These issues will be addressed in the non-competitive continuation application process for Year 2 of Mentor funding.

TABLE 3: MENTORING PLAN TEMPLATE

Goal 1: Increase capacity in the Mentee community/coalition toward becoming a DFC-eligible coalition.

Objective 1: *List your specific objective. There may be more than one.*

Strategy 1: *List your specific strategy.*

Activity	Responsible Party/Parties	Target Date (By when?)	Justification for this activity to meet objective

Strategy 2: *List your specific strategy.*

Activity	Responsible Party/Parties	Target Date (By when?)	Justification for this activity to meet objective

Goal 2: Increase the Mentee coalition’s capacity to effectively reduce youth substance use.

Objective 1: *List your specific objective. There may be more than one.*

Strategy 1: *List your specific strategy.*

Activity	Responsible Party/Parties	Target Date (By when?)	Justification for this activity to meet objective

Objective 2: *List your specific strategy.*

Activity	Responsible Party/Parties	Target Date (By when?)	Justification for this activity to meet objective

10. How will the Mentor coalition and Mentee community/coalition implement and monitor the activities listed in the Mentoring Plan? (multiplier of 2) Responses could address, but are not limited to, the following:

- Role of Mentor coalition
- Role of the Mentee community/coalition
- Role of key community leaders and decision makers (e.g., Mentor sector member partnering with equivalent Mentee sector member)
- Process for monitoring accomplishments, challenges, activities, outcomes, and/or other key events
- Identification of potential barriers
- Processes to address unexpected challenges, including modifying the Mentoring Plan

11. **How will the Mentor coalition work with the Mentee community/coalition to begin tracking trends in social indicator data (to be monitored long-term to determine the coalition's impact on the identified problems)?** (multiplier of 2) Responses could 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 3 of the Project Narrative
12. **How will the Mentee community/coalition collect all of the data required for the reporting of data related to the DFC National Evaluation?** (multiplier of 2) Responses could 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-3.2, Item #1](#))
 - Processes that will be used, if there is no survey currently in place, to help the Mentee community/coalition collect the data
 - Relationships that exist or will have to be built in order to obtain the required data
 - Process the Mentor coalition will utilize to assist Mentee community/coalition in analyzing and understanding the data
13. **How will the social indicator and DFC required data be shared with the Mentee community to increase collaboration?** (multiplier of 2) Responses could address, but are not limited to, the following:
- How evaluation results will be reported or communicated to the Mentee community/coalition to generate support and involvement in the Mentee coalition
 - Specific communication/dissemination strategies
 - Opportunities for community input/feedback
14. **How will the Mentee coalition be sustained beyond the DFC Mentoring grant?** (multiplier of 2) Responses should address, but are not limited to, the following:
- Predicted ability of Mentee coalition to successfully compete for a DFC grant after the DFC Mentoring grant ends
 - Sustainability planning
 - Ensuring human capital (volunteers and partner engagement)
 - Securing financial resources

Section B: Budget Narrative (Scored) (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 expects to 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. Please see [Application Scoring Instructions](#) for detailed scoring criteria.

1.4 Supporting Documentation (Sections C-I) (Unscored)

Please include the information requested in Sections C-I 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. The following Supporting Documentation contained in Sections C-I below **MUST** be included as part of your application package.

[Section C](#): Congressional Justification (Attachment 1)

[Section D](#): MOU between Mentor Coalition and each Mentee Community/Coalition (Attachment 2)

[Section E](#): Resumes and Job Descriptions (Attachment 3)

[Section F](#): General Applicant Information (Attachment 4)

[Section G](#): Applicant Information and Demographics (Attachment 5)

[Section H](#): Letter to the SSA (Attachment 6)

[Section I](#): Certifications, Disclosures, and Checklists (Attachments 7 and 8)

Section C: Congressional Justification

Applicants must include the following information as Attachment 1:

Applicants must provide a Congressional Justification. 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. A sample is included in [Appendix D](#) of this RFA. You must use this template for your Congressional Justification.

Place a copy of the Congressional Justification immediately prior to the Table of Contents of your application in addition to including it as Attachment 1.

Section D: MOU between Mentor Coalition and each Mentee Community/Coalition

Applicants must include the following information as Attachment 2:

Provide a separate Memorandum of Understanding (MOU) between the Mentor coalition and each Mentee community/coalition included in this application (if more than one). This agreement must outline the scope of work and expectations for both parties. This document should also contain a statement that the Mentee community/coalition has read and agrees with the application being submitted.

Section E: Resumes and Job Descriptions

A designated Program Director position is required for this grant, and a Project Coordinator or other staff may also be identified. Key staff positions may be funded under this grant, as part of your active DFC grant or through other Mentor coalition resources. There is no requirement for key staff positions to be funded under the DFC Mentoring grant.

Applicants must include the following information as Attachment 3:

- A resume, no more than two pages long, for the Program/Project Director, and if applicable, the Project Coordinator, and each paid or in-kind position.
- A position description for each resume and, if the person has not been hired, a letter of commitment with a current resume from the individual to be hired (whenever possible). Job descriptions should be no longer than one page each for paid and in-kind personnel.
- If no individual has been identified for a position, a position description is still required along with an overview of your hiring plan and current status.

Information on what should be included in resumes and job descriptions is available on page 22, Item 6, in the Program Narrative section of the PHS 5161-1 instruction page, available at <http://www.samhsa.gov/grants/apply.aspx>.

SECTION F: General Applicant Information

Provide Mentor and Mentee community/coalition information in the same format as below (provide each response in the cell directly below each question/request). Include this table as Attachment 4.

TABLE 4: MENTOR AND MENTEE COMMUNITY/COALITION GENERAL INFORMATION

ITEM	QUESTIONS AND RESPONSES
F1	Mentor Grant Applicant Organization (legal name)
F1	<i>provide response here</i>
F2	Federal Dollar Amount Requested [same as Application Form, SF-424, Line 18A and Budget Information Form, SF424 A, Line 7(1)]
F2	<i>provide response here</i>
F3	Mentor coalition Name (If the Coalition is 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>A Program Director position is required for this grant, and the Project Coordinator may also be identified. (see Appendix A: Budget Definitions for descriptions)</p> <p>The Program Director, who has daily oversight of the project, should be identified on the PHS Form 5161-1 Checklist, Part C.</p> <p>The contact information for the Project Coordinator, who has programmatic working knowledge of the mentor and mentee coalitions, should be listed below. This person will be listed on the DFC Web site if the applicant is awarded the grant. In some cases, the Project Coordinator may not be hired until after the grant is awarded. Please select statement A or B as applicable to your coalition and provide the appropriate contact information as requested:</p> <p>A. The Project Coordinator will be hired after grant award – please use the information</p>

ITEM	QUESTIONS AND RESPONSES
	<p>provided in F6–F11 until the position is hired.</p> <p>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 Form 5161-1 for both positions. (skip to F12)</p>
F5	<i>provide response here (A or B)</i>
F6	Mentor Coalition Contact Name
F6	<i>provide response here</i>
F7	Position Title
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	Mentor Coalition Contact Phone
F9	<i>provide response here</i>
F10	Mentor Coalition Contact Fax
F10	<i>provide response here</i>
F11	Mentor Coalition Contact E-Mail Address
F11	<i>provide response here</i>
F12	Mentor coalition Congressional Districts Served (list only the districts that the coalition will affect with DFC Mentoring grant funds – establishes the service area)
F12	<i>provide response here</i>
F13	List all of the zip codes for the geographic area to be served by the funds of this grant (Be specific about the area. There can be only one grant serving each location unless the applicant can demonstrate coordination with existing grants in the same area.)
F13	<i>provide response here</i>
MC1	List the following contact information for EACH Mentee community/coalition (if more than one) to be supported by grant funds. NOTE: Mentor coalitions may support up to five Mentee communities/coalitions. If you have more than one Mentee community/coalition, continue numbering as follows: MC2 (MC2-1...MC2-17), MC3 (MC3-1....MC3-17), MC4 (MC4-1...MC4-17), and MC5 (MC5-1...MC5-17).
MC1-1	Name of Mentee Community/Coalition
MC1-1	<i>provide response here</i>
MC1-2	Mentee Community/Coalition Primary Contact Name and Title
MC1-2	<i>provide response here</i>
MC1-3	Mailing Address of the Mentee Community/Coalition including: Street, PO Box, City, State and Zip Code
MC1-3	<i>provide response here</i>
MC1-4	Mentee Community/Coalition Phone
MC1-4	<i>provide response here</i>
MC1-5	Mentee Community/Coalition E-Mail Address
MC1-5	<i>provide response here</i>
MC1-6	Is the Mentee community/coalition currently in receipt of a DFC grant? Indicate Yes or No. (If yes, the DFC Mentoring application will be deemed ineligible.)
MC1-6	<i>provide response here (Yes or No)</i>

ITEM	QUESTIONS AND RESPONSES
MC1-7	Is the Mentee community/coalition applying for a DFC grant in the FY 2010 funding cycle? Indicate Yes or No. (If the Mentee receives a FY 2010 DFC grant, the DFC Mentoring application will be deemed ineligible.)
MC1-7	<i>provide response here (Yes or No)</i>
MC1-8	Congressional District(s) Served by the Mentee community/coalition
MC1-8	<i>provide response here</i>
MC1-9	Geographic boundaries of the Mentee community/coalition area; include zip code(s)
MC1-9	<i>provide response here</i>
MC1-10	Does the Mentee community/coalition serve a Tribal or Native American community? Indicate Yes or No.
MC1-10	<i>provide response here (Yes or No)</i>
MC1-11	Does the Mentee community/coalition serve an area that is economically disadvantaged? Indicate Yes or No. A definition is provided in Appendix E: Glossary .
MC1-11	<i>provide response here (Yes or No)</i>
MC1-12	List all Mentee community/coalition's Federal and State Funding Sources
MC1-12	<i>provide response here</i>
MC1-13	List all Mentee community/coalition's Other Funding Sources (including foundations, fundraising drives, corporate support, and any other funding sources)
MC1-13	<i>provide response here</i>
MC1-14	Indicate whether the area(s) served by the coalition is primarily rural or urban by responding with Rural or Urban. See definitions provided in Appendix E: Glossary .
MC1-14	<i>provide response here (Rural or Urban)</i>
MC1-15	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".
MC1-15	<i>provide response here</i>
MC1-16	Does the coalition serve a Federally recognized tribal area? Indicate Yes or No.
MC1-16	<i>provide response here (Yes or No)</i>
MC1-17	Does the coalition have representation that includes at least one Native American? Indicate Yes or No.
MC1-17	<i>provide response here (Yes or No)</i>

Section G: Information and Demographics

Provide Mentor and Mentee community/coalition information in the same format as provided in the following table (provide each response in the cell directly below each question/request). Include this table as Attachment 5.

TABLE 5: MENTOR AND MENTEE COMMUNITY/COALITION INFORMATION AND DEMOGRAPHICS

ITEM	QUESTIONS AND RESPONSES
G1	Proposed evaluation contact for the DFC Mentoring grant (include name, phone number, and e-mail address)
G1	<i>provide response here</i>

ITEM	QUESTIONS AND RESPONSES
G2	Geographical boundaries of the area(s) served by the Mentee community/coalition (i.e., city, county coordinates, street intersections)
G2	<i>provide response here</i>
G3	Total population of the area(s) served by the Mentee community/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 Mentee community/coalition's geographical area(s)
G4	<i>provide response here</i>
G5	List drugs to be addressed by the Mentee community/coalition
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 mentored coalition and provide the DFC Mentoring Grant Number.
G7	<i>provide response here</i>
G8	List all of the Mentee community/coalition's other Federal and State funding sources
G8	<i>provide response here</i>
G9	List of any of the Mentee community/coalition's other funding sources (including foundations, fundraising drives, corporate support, and any other funding sources)
G9	<i>provide response here</i>
G10	Date Mentor coalition was established (MUST be at least 5 years prior to application date)
G10	<i>provide response here</i>

Section H: Notification to the SSA

Provide a copy of a letter of intent from the Mentor coalition to the SSA indicating the submission of this application to SAMHSA. The original letter should be mailed to your SSA. See [Part IV-4](#) for complete instructions. Include as Attachment 6.

Section I: Certifications, Disclosures, and Checklists

The Disclosure of DFC Grantee and Coalition Information form found in [Appendix F](#) should be completed and included as Attachment 7. The following certifications, disclosures, and checklists should be included as Attachment 8.

- Project Performance Site Location(s) Form found at <http://www.samhsa.gov/Grants/ApplicationKit.aspx>
- Assurance of Compliance with SAMHSA Charitable Choice Statutes and Regulations Form SMA 170
- Disclosure of Lobbying Activities Standard Form LLL from PHS 5161-1

2. REVIEW AND SELECTION PROCESS

ONDCP and SAMHSA are committed to ensuring a competitive and standardized process for awarding DFC Mentoring Program grants. Applications will be screened initially by ONDCP and SAMHSA to determine whether the applicant meets all the eligibility requirements outlined in [Part III](#) of this announcement. Applications submitted by eligible coalitions that meet all requirements will then be scored by a Peer Review panel according to the evaluation criteria included in Part V of this announcement. **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. 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 grantee pool.

VI. ADMINISTRATION INFORMATION

1. AWARD NOTICES

Within 30 days of receipt of your application, SAMHSA will provide notification through postal mail indicating that the application has been received. If you submit your application on time and do not receive notification by Saturday, May 22, 2010, you may contact SAMHSA 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 you are approved for funding, you 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 you 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 you are not funded, you may re-apply if there is another receipt date for the program.

2. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS

- If your application is funded, you must comply with all terms and conditions of the grant award. SAMHSA's standard terms and conditions are available on the SAMHSA Web site at <http://www.samhsa.gov/grants/management.aspx>.

- If your application is funded, you 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 available at <http://www.samhsa.gov/grants/management.aspx>.
- If your application is funded, you will be held accountable for the information provided in the application relating to performance targets. SAMHSA Project Officers will consider your progress in meeting goals and objectives, as well as your failures and strategies for overcoming them, when making an annual recommendation to continue the grant and the amount of any continuation award. Failure to meet stated 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.
- 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>. You 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-3.2](#), you must comply with the following reporting requirements:

3.1 Progress and Financial Reports

Grantees will be required to submit one program progress report per year in addition to financial reports. Full details regarding specific due dates are available at <http://www.ondcp.gov/dfc/reportduedates.html>.

SAMHSA is extremely interested in ensuring that treatment and prevention services can be sustained, your progress reports should explain plans to ensure the sustainability of efforts initiated under this grant.

If your application is funded, SAMHSA will provide you with guidelines and requirements for these reports at the time of award and at the initial grantee orientation meeting after award. SAMHSA staff will use the information contained in the reports to determine your progress toward meeting program goals.

3.2 Publications

If you are funded under this grant program, you are required to notify the Government Project Officer (GPO) and SAMHSA's Publications Clearance Officer (240-276-2130) of any materials based on the 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 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 programmatic issues, contact:

DFC Mentoring RFA Hotline

(240) 276-1270

DFCnew2010@samhsa.hhs.gov

For questions regarding grants management, Federal forms and budget issues, contact:

Barbara Orlando

(240) 276-1422

Barbara.Orlando@samhsa.hhs.gov

Appendix A – Sample Budget

(Includes Definitions and Sample Budget Narrative)

Before developing a project budget, applicants should review SAMHSA guidelines available at <http://www.samhsa.gov/grants/management.aspx> 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 must 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. For DFC Mentoring grants, the individuals in these positions may be the same individuals identified in the DFC Support grant. If these individuals are the same, salaries must be reflected appropriately in each grant program's budget.

Program Director:

An individual who will provide daily oversight of the grant, including fiscal and personnel management, community relations, project implementation, and evaluation during the project period. (Person Listed on PHS Form 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 participant on DFC program-related work. This time may not exceed 100% of all work on all projects or positions.

Direct Costs:

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

Indirect Costs:

Indirect costs are 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, costs may be charged directly if justified in detail. 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 the “other 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:

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

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

- **Reasonableness (including necessity).** A cost is reasonable if, in its nature or amount, it does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the cost. The cost principles elaborate on this concept and address considerations such as whether the cost is of a type generally necessary for the organization’s operations or the grant’s performance, whether the recipient complied with its established organizational policies in incurring the cost or charge, and whether the individuals responsible for the expenditure acted with due prudence in carrying out their responsibilities to the Federal government and the public at large as well as to their organization.

- **Allocability.** A cost is allocable to a specific grant, function, department, or other component, known as a cost objective, if the goods or services involved are chargeable or assignable to that cost objective in accordance with the relative benefits received or other equitable relationship. A cost is allocable to a grant if it is incurred solely in order to advance work under the grant; it benefits both the grant and other work of the organization, including other grant-supported projects or programs; or it is necessary to the overall operation of the organization and is deemed to be assignable, at least in part, to the grant.
- **Consistency.** Recipients must be consistent in assigning costs to cost objectives. They must be treated consistently for all work of the organization under similar circumstances, regardless of the source of funding, so as to avoid duplicate charges.
- **Conformance.** This test of allowability—conformance with limitations and exclusions contained in the terms and conditions of award, including those in the cost principles—may vary by the type of activity, the type of recipient, and other characteristics of individual awards.

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 applicants have sufficient match to allow a budget request of the full \$75,000, the applicant should round up their final budget figures to equal \$75,000. There is no benefit to submitting a number slightly below the full amount (e.g., \$74,949). 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 \$75,000.

Applicants are also strongly encouraged to apply for the full \$75,000 for each of the four subsequent renewal years of funding in their budget forecast even if the applicant is not able to apply for full funding in year one due to insufficient match. The amount requested in this original application for the four future years establishes the maximum amount that the 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 \$75,000 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 \$75,000 for each out-year of funding.

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

(Please use the format below for submitting your 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
Mentor Program Director	John Doe	\$64,890	5%	\$3,245
Mentor Project Coordinator	To be selected	\$46,276	25%	\$11,569
Mentee Project Coordinator	Sarah Smith	\$35,000	25%	\$8,750
			TOTAL	\$23,564

JUSTIFICATION: Describe the role and responsibilities of each position.

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
Volunteer Coordinator	Ron Jones	\$23,000	15%	\$3,450
Clerical Support	Susan Johnson	\$13.38/hr x 100 hr.		\$1,338
			TOTAL	\$4,788

JUSTIFICATION: Describe the role and responsibilities of each position.

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 your matching funds will help sustain and enhance your Federal budget request.

FEDERAL REQUEST (enter in Section B column 1 line 6a of form SF424A): **\$23,564**

NON-FEDERAL MATCH (enter in Section B column 2 line 6a of form SF424A): **\$4,788**

B. FRINGE BENEFITS: List all components of fringe benefits rate.

TABLE 8: FEDERAL REQUEST

Component	Rate	Wage	Cost
FICA	7.65%	\$23,564	\$1,803
Workers Compensation	2.5%	\$23,564	\$589
Insurance	10.5%	\$23,564	\$2,474
		TOTAL	\$4,866

TABLE 9: NON-FEDERAL MATCH

Component	Rate	Wage	Cost
FICA	7.65%	\$4,788	\$366
Workers Compensation	2.5%	\$4,788	\$120
Insurance	10.5%	\$4,788	\$503
		TOTAL	\$989

JUSTIFICATION: Fringe reflects current rate for agency.

FEDERAL REQUEST (enter in Section B column 1 line 6b of form SF424A): **\$4,866**

NON-FEDERAL MATCH (enter in Section B column 2 line 6b of form SF424A): **\$989**

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

In the absence of an acceptable, written non-profit organization policy regarding travel costs, the rates and amounts established under subchapter I of Chapter 57, Title 5, United States Code (“Travel and Subsistence Expenses; Mileage Allowances”), shall apply to travel under Federal awards (48 CFR 31.205-46(a)).

TABLE 10: FEDERAL REQUEST

Purpose of Travel	Location	Item	Rate	Cost
New Grantee Training	Washington, DC	Airfare	\$200/flight x 3 persons	\$1,200
New Grantee Training	Washington, DC	Hotel	\$180/night x 3 persons x 2 nights	\$2,160
New Grantee Training	Washington, DC	Per Diem (meals)	\$46/day x 3 persons x 3 days	\$828
National Coalition Academy	Fort Indiantown Gap, PA	Air	\$250/flight x 3 flights	\$750
National Coalition Academy	Fort Indiantown Gap, PA	Ground Transportation (rental car)	\$125/week x 3 weeks	\$375

Purpose of Travel	Location	Item	Rate	Cost
Local travel		Mileage	3,000 miles@.38/mile	\$1,140
			TOTAL	\$6,453

JUSTIFICATION: Describe purpose of travel and how costs were determined. Enter a description of the Travel funds requested and how their use will support the purpose and goals of this proposal. **NOTE:** The grant requires travel of at least one Mentor coalition member and one Mentee community/coalition member to attend the New Grantee Training in Washington, DC for the first year of funding.

TABLE 11: NON-FEDERAL MATCH

Purpose of Travel	Location	Item	Rate	Cost
Regional Training Conference	Chicago, IL	Airfare	\$150/flight x 3 persons	\$750
Regional Training Conference	Chicago, IL	Hotel	\$155/night x 3 persons x 2 nights	\$1,550
Regional Training Conference	Chicago, IL	Per Diem (meals)	\$46/day x 3 persons x 2 days	\$460
Local Travel	Group meetings	Mileage	3,000 miles x .38/mile	\$1,140
			TOTAL	\$3,900

JUSTIFICATION: Describe purpose of travel and how costs were determined. 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 your matching funds will help sustain and enhance your Federal budget request.

FEDERAL REQUEST (enter in Section B column 1 line 6c of form SF424A): **\$6,453**
NON-FEDERAL MATCH (enter in Section B column 2 line 6c of form SF424A): **\$3,900**

D. EQUIPMENT: an article of tangible, nonexpendable, personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit – federal definition.

FEDERAL REQUEST (enter in Section B column 1 line 6d of form SF424A): **\$ 0**
NON-FEDERAL MATCH (enter in Section B column 2 line 6d of form SF424A): **\$ 0**

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

TABLE 12: FEDERAL REQUEST

Item(s)	Rate	Cost
Presentation supplies	\$30/presentation x 12	\$360
Postage	\$37/mo. x 12 mo.	\$444
Meeting supplies	\$10/meeting x 26 meetings	\$260
Copies	8000 copies x .10/copy	\$800
	TOTAL	\$1,864

JUSTIFICATION: Describe need and include explanation of how costs were estimated. Enter a description of the equipment and how its purchase will support the purpose and goals of this proposal.

TABLE 13: FEDERAL MATCH

Item(s)	Rate	Cost
Postage	\$37/mo. x 12 mo x 5 groups	\$2,220
	TOTAL	\$2,220

JUSTIFICATION: Describe need and include explanation of how costs were estimated. Enter a description of the equipment match provided and how its purchase will support the purpose and goals of this proposal. Be sure to describe how your matching funds will help sustain and enhance your Federal budget request.

FEDERAL REQUEST (enter in Section B column 1 line 6e of form SF424A): **\$ 1,864**
NON-FEDERAL MATCH (enter in Section B column 2 line 6e of form SF424A): **\$ 2,220**

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

TABLE 14: FEDERAL REQUEST (CONSULTANT)

Name	Service	Rate	Other	Cost
To be selected	Needs Assessment Training	\$150/day	15 days	\$2,250
	Travel	.38/mile	462 miles	\$176
			TOTAL	\$2,426

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

TABLE 15: FEDERAL REQUEST (CONTRACT)

Entity	Product/Service	Cost
To be selected	Strategic Planning Facilitator	\$10,000
To be selected	Environmental Strategies Training	\$4,500
	TOTAL	\$14,500

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

TABLE 16: NON-FEDERAL MATCH (CONSULTANT)

Name	Service	Rate	Other	Cost
Mentoring group	Training	\$17.50/hr.	5 days x 8 hrs/day x 5 participants x \$17.50/hr.	\$3,500
Individual time	Needs Assessment	\$17.50/hr.	2hr/wk x 52 wks. x 10 participants x \$17.50/hr.	\$18,200
Coalition Training	Needs Assessment training	\$17.50/hr.	4 hr/mo. x 12 mo. x 5 participants x \$17.50/hr.	\$4,200
Community Meeting	Coordination	\$17.50/hr.	4 hr./meeting x 12 meetings x 6 participants x \$17.50/hr.	\$5,040
			TOTAL	\$ 30,940

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 your matching funds will help sustain and enhance your Federal budget request.

TABLE 17: NON-FEDERAL MATCH (CONTRACT)

Entity	Product/Service	Cost
To be named	Coalition Prevention 101 Training	\$1,500
	TOTAL	\$1,500

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 your matching funds will help sustain and enhance your Federal budget request.

FEDERAL REQUEST (enter in Section B column 1 line 6f of form SF424A): **\$16,926**

(Combine the total of consultant and contract)

NON-FEDERAL MATCH (enter in Section B column 2 line 6f of form SF424A): **\$32,440**

(Combine the total of consultant and contract)

G. CONSTRUCTION (NOT ALLOWED) Leave Section B columns 1&2 line 6g on SF424A blank.

H. OTHER: Expenses not covered in any of the previous budget categories.

TABLE 18: FEDERAL REQUEST

Item	Rate	Cost
Student Surveys	\$1/survey x 10,153	\$ 10,153
Coalition Brochures	\$0.89/brochure x 10,000 brochures	\$ 8,900
	TOTAL	\$ 19,053

JUSTIFICATION: Explain the need for each item and how their use will support the purpose and goals of this proposal. Be sure to break down costs into cost/unit (i.e., 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	\$11,500
Mentoring Program	6 mentors x 10 hrs./mo. x \$17.50/hr. x 12 mo. MOU demonstrates breakout of services	\$12,600
Food and beverages	\$2.50/meeting x 40 attendees x 12 meetings	\$ 1,200
Student surveys	\$1/survey x surveys 3,401	\$3,401
Printing	\$300/run x 5 runs	\$1,500
	TOTAL	\$ 30,201

JUSTIFICATION: Breakdown costs into cost/unit (i.e., cost/square foot.) Explain the need for each match item and how their use will support the purpose and goals of this proposal. Be sure to describe how your matching funds will help sustain and enhance your Federal budget request.

FEDERAL REQUEST (enter in Section B column 1 line 6h of form SF424A): **\$19,053**
NON-FEDERAL MATCH (enter in Section B column 2 line 6h of form SF424A): **\$30,201**

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

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

FEDERAL REQUEST (enter in Section B column 1 line 6j of form SF424A)
 8% of personnel and fringe (.08 x \$28,430): **\$2,274**

NON-FEDERAL MATCH (enter in Section B column 2 line 6j of form SF424A)
 8% of personnel and fringe (.08 x \$5,777): **\$462**

The indirect cost rate was approved by the Dept. of Health and Human Services in 2006. A copy of the fully executed, negotiated, indirect cost agreement is attached.

TABLE 20: BUDGET SUMMARY

Category	Federal Request	Non-Federal Match	Total
Personnel	\$23,564	\$4,788	\$28,352
Fringe	\$4,866	\$989	\$5,855
Travel	\$6,453	\$3,900	\$10,353
Equipment	0	0	0
Supplies	\$1,864	\$2,220	\$4,084
Contractual	\$16,926	\$32,440	\$49,366
Other	\$19,053	\$30,201	\$49,254
Total Direct Costs*	\$72,726	\$74,538	\$147,264
Indirect Costs	\$2,274	\$462	\$2,736
Total Project Costs	\$75,000	\$75,000	\$150,000

*** TOTAL DIRECT COSTS**

FEDERAL REQUEST (enter in Section B column 1 line 6i of form SF424A): **\$72,726**

NON-FEDERAL MATCH (enter in Section B column 2 line 6i of form SF424A): **\$74,538**

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

FEDERAL REQUEST (enter in Section B column 1 line 6k of form SF424A): **\$75,000**

NON-FEDERAL MATCH (enter in Section B column 2 line 6k of form SF424A): **\$75,000**

**CALCULATION OF FUTURE BUDGET PERIODS
(BASED ON FIRST 12-MONTH BUDGET PERIOD)**

Input, review and verify the accuracy of your 2nd year budget estimates. Increases or decreases in the future years must be explained and justified. Total Federal share is not to exceed \$75,000 in any year.

TABLE 21: SECOND YEAR BUDGET ESTIMATES

CATEGORY	2 ND PROJECT YEAR	2 ND PROJECT YEAR
	Federal	Match
PERSONNEL		
<i>Mentor Program Director</i>	\$3,245	\$0
<i>Mentor Project Coordinator</i>	\$0	\$0
<i>Mentee Project Coordinator</i>	\$11,569	\$0
<i>Volunteer Coordinator</i>	\$8,750	\$3,450
<i>Clerical Support</i>	\$0	\$1,338
PERSONNEL TOTAL	\$23,564	\$4,788
FRINGE BENEFITS	\$4,866	\$989
TRAVEL	\$6,453	\$3,900
EQUIPMENT	\$0	\$0
SUPPLIES	\$1,864	\$4,000
CONTRACT		
<i>Evaluation</i>	\$4,500	\$0
<i>Public Awareness</i>	\$0	\$1,500
<i>Coalition members</i>	\$10,000	\$37,500
CONTRACT TOTAL	\$14,500	\$39,000
OTHER	\$21,479	\$21,861
TOTAL DIRECT COSTS	\$72,726	\$74,538
TOTAL INDIRECT COSTS	\$2,274	\$462
TOTAL COSTS	\$75,000	\$75,000

PERSONNEL: Percentage of effort to remain the same.

FRINGE: Based on current rates.

TRAVEL: Based on POV rate for current year and anticipated training requirements.

SUPPLIES: Based on projected needs and retail costs for current year.

CONTRACT: Based on current year costs.

OTHER: All other costs are based on current and anticipated expenses.

INDIRECT COSTS: Based on current negotiated rate.

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. The total Federal dollars requested for the second 12-month budget period are entered on Form 424A, Section E, Line 20.

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 you do not adhere to these requirements, your application will be screened out and returned to you without review.***

- Use the PHS 5161-1 application form.
- Applications must be received by the application due date and time, as detailed in [Section 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. (For Project Narratives submitted electronically, see separate requirements in [Section IV-6](#) of this announcement under “Submission of Electronic Applications.”)
- To ensure equity among applications, page limits for the Project Narrative cannot be exceeded.
- Paper must be white paper and 8.5 inches by 11.0 inches in size.

To facilitate review of your application, follow these additional guidelines. Failure to adhere to the following guidelines will not, in itself, result in your application being screened out and returned without review. However, the information provided in your application must be sufficient for review. Following these guidelines will help ensure your application is complete, and will help reviewers to consider your 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. 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, and fasteners. Nothing should be attached, stapled, folded, or pasted. Do not use heavy or lightweight paper or any material that cannot be copied using automatic copying machines. 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 your application electronically, you may 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. You can find the CFDA number on the first page of the funding announcement.

You 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, you may wish to use the following sources for help:

By e-mail: support@Grants.gov

By phone: 1-800-518-4726 (1-800-518-GRANTS)

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

If this is the first time you have 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 your application in-to Grants.gov. The process of electronic submission through Grants.gov includes multiple e-mails from Grants.gov. When you submit your application, you will receive a notice that your application is being processed and that you will receive two e-mails from Grants.gov within the next 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 you do not receive a receipt confirmation **and** a validation confirmation or a rejection e-mail within 48 hours, you must contact Grants.gov directly.

It is important to understand that **you have not completed the process until you receive a Grants.gov tracking number. Receipt of the tracking number is the only indication that Grants.gov has successfully received and validated your application. If you do not receive a Grants.gov tracking number, you should contact the Grants.gov help desk 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 your application is not successfully validated by Grants.gov, it will not be forwarded to SAMHSA as the receiving institution.**

It is strongly recommended that you submit your grant application 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 you do not have access to Microsoft Office 2003 products, you may submit PDF files. Directions for creating PDF files can be found on the Grants.gov Web site. Use of file formats other than Microsoft Office or PDF may result in your file being unreadable by our staff.

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

Keep the Project Narrative as a separate document. Please consolidate all other materials in your application. Be sure to label each Section according to its contents (e.g., Supporting Documentation - Sections C-I)

Ensure all pages in your 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 your application.

Applicants are strongly encouraged to submit their applications to Grants.gov early enough to resolve any unanticipated difficulties prior to the deadline. You may also submit a back-up paper submission of your application. Any such paper submission must be received in accordance with the requirements for timely submission detailed 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. [SAMHSA no longer requires submission of a signed paper original of the face page (SF 424 v2) or the assurances (SF 242B)]. **You must include the Grants.gov tracking number for your application on these documents. The documents must be received at the following address within 5 business days after your electronic**

submission. Delays in receipt of these documents may impact the score your application receives or the ability of your application to be funded.

For United States Postal Service:

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

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

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

Appendix D – Congressional Justification Template

Please include the following information prior to the Congressional Justification paragraph:

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

(Note: If the Mentor coalition is not the current Grantee and applicant, identify the agency/organization applying as the Grantee on behalf of the Mentor coalition. Please provide the grantee contact information below.)

Grantee Name:
Grantee Contact Name:
Grantee Contact Mailing Address:
Grantee Contact E-Mail Address:
Grantee Contact Phone/Fax Number:

Please provide the name of all the Mentee communities/coalitions:

Mentee Community/Coalition Name:

Please insert the appropriate information for your coalition in each underlined item in the paragraph below. Also, include a one-sentence description of each strategy that the coalition will implement with these funds (Examples: 1) Improve coalition data collection and reporting processes; 2) Strengthen community capacity and coalition sector membership; 3) Implement evidence-based programs, practices, and policies to reduce substance abuse.)

Coalition Name
State
Serving Congressional Districts # _____

Project Description:

The *Coalition Name* was awarded a \$ _____ Drug Free Communities Mentoring 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 will develop capacity, train, and mentor (*each Mentee Community/Coalition*) and assist them in applying for future Drug Free Communities funding.

The goals of the Drug Free Communities Program 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, and, over time, among adults by addressing the issues in the community that increase the risk of substance abuse and promote the factors that minimize the risk of substance abuse.

Appendix E – Glossary

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, or 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 a multi-disciplinary, multi-agency program of parenting education for parents of elementary and middle school youth).

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

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

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

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

Community-Level Change: This is change that occurs within the overall population in your community.

Community-Level Interventions: Community-level interventions are 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 local 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. (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: Evaluation is a systematic, data-driven examination of coalition development, functioning, outcomes, and effectiveness.

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

Implementation: Implementation involves 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. These are the results of coalition strategies to reduce substance abuse in their community. Activities are conducted to achieve the identified objectives.

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

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

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

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

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

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

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: Planning involves the development of a strategic plan that includes policies, programs, and practices that create a logical, data-driven plan to address the problems identified in the assessment.

Strategy: The strategy identifies 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 and younger.

Appendix F – Disclosure of DFC Grantee and Coalition Information

(Template for Disclosure; fill in the missing information below and include the completed form as Attachment 7.)

Name of Mentee Grantee: _____

Name of Mentee Coalition: _____

To help us accurately determine if and when the mentee coalition has previously received DFC funding, please place an “X” beside the statement that describes your 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 (e.g., SAMHSA/CSAP, 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 your information.

TABLE 22: PREVIOUS DFC FUNDING

Federal Agency	DFC Funding	DFC Grant #	Grantee Name	Coalition Name
Example: SAMHSA	2004 - 2007	SP012345	North America School District # 3	CONA - Coalition of North America

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

No DFC funding: _____

Place an “X” beside the statement below to indicate compliance with the DFC Mentoring grant requirement related to mentee funding.

_____ Mentee communities/coalitions are NOT currently and NEVER have been funded through the DFC Grant Program.

Appendix G – Pre-Submission Checklist

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

TABLE 23: 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 Appendix D)?	
Did you include a Table of Contents on which the page numbering starts?	
Did you include your Mentee Community Overview after the Table of Contents?	
Is your Project Narrative no longer than 25 pages?	
Has your Project Narrative addressed all 14 questions?	
Did you consider cultural competence throughout the Project Narrative?	
Did you adequately address collection of the four DFC core measures?	
Does your Mentoring Plan address the two DFC goals?	
Did you include a one-year budget narrative (see Appendix A)?	
Did you demonstrate that your coalition will meet matching fund requirements (PHS Form 5161, SF 424 v2, Section B)?	
Did you meet all eligibility requirements (see Part III)?	
In Attachment 1, did you include a copy of your Congressional Justification (see Appendix D)?	
In Attachment 2, did you include an MOU between the Mentor Coalition and each Mentee Community/Coalition?	
In Attachment 3, did you include the required resumes and job descriptions?	
In Attachment 4, did you include the completed table from Section F ?	
In Attachment 5, did you include the completed table from Section G ?	
In Attachment 6, did you include a copy of the letter to the SSA?	
In Attachment 7, did you include your Disclosure of DFC Coalition Information (see Appendix F)?	
In Attachment 8, did you include all required forms, certifications, disclosures, and assurances?	
Did you include the Checklist from the PHS 5161-1 (available at http://www.samhsa.gov/grants/apply.aspx) as the next-to-last document?	
Is this completed Pre-Submission Checklist the last document in your application packet?	