

**Department of Health and Human Services  
Substance Abuse and Mental Health Services  
Administration**

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

**Request for Applications (RFA) No. SP-12-001**

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

**Key Dates:**

<b>Application Deadline</b>	Applications are due by March 22, 2012
<b>Intergovernmental Review (E.O. 12372)</b>	Applicants must comply with E.O. 12372 if their State(s) participates. Review process recommendations from the State Single Point of Contact (SPOC) are due no later than 60 days after application deadline.
<b>Public Health System Impact Statement (PHSIS)/Single State Agency Coordination</b>	Applicants must send the PHSIS to appropriate State and local health agencies by application deadline. Comments from Single State Agency are due no later than 60 days after application deadline.

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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) 2012 Drug Free Communities Support Program (DFC) grants. The purpose of the DFC Program is to establish and strengthen collaboration to support the efforts of community coalitions working to prevent and reduce substance use among youth.

<b>Funding Opportunity Title:</b>	Drug Free Communities Support Program
<b>Funding Opportunity Number:</b>	SP-12-001
<b>Due Date for Applications:</b>	March 22, 2012
<b>Anticipated Total Available Funding:</b>	\$3,750,000
<b>Estimated Number of Awards:</b>	Up to 30
<b>Estimated Award Amount:</b>	Up to \$125,000 per year
<b>Cost Sharing/Match Required</b>	Yes [See <u>Part III-2</u> of this RFA for cost sharing/match requirements.]
<b>Length of Project Period:</b>	Up to 5 years
<b>Eligible Applicants:</b>	The application can be submitted only to support a community-based coalition addressing youth substance use that meets all Statutory Eligibility Requirements. See <u>Part III-1</u> 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) 2012 Drug Free Communities Support Program (DFC) grants. The purpose of the DFC Program is to establish and strengthen collaboration to support the efforts of community coalitions working to prevent and reduce substance use among youth.

DFC is a collaborative initiative, sponsored by ONDCP, in partnership with SAMHSA, which works to achieve two goals:

- Establish and strengthen collaboration among communities, public and private non-profit agencies, and Federal, State, local, and tribal governments to support the efforts of community coalitions working to prevent and reduce substance use among youth. For the purposes of this RFA, “youth” is defined as individuals 18 years of age and younger.
- Reduce substance use among youth and, over time, reduce substance abuse among adults by addressing the factors in a community that increase the risk of substance abuse and promoting the factors that minimize the risk of substance abuse.

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

The DFC Program was created by the Drug Free Communities Act of 1997 (Public Law 105-20), reauthorized through the Drug Free Communities Reauthorization Act of 2001 (Public Law 107-82), and reauthorized again through the Office of National Drug Control Policy Reauthorization Act of 2006 (Public Law 109-469). The latest reauthorization extended the program for an additional five years until 2012. This announcement addresses Healthy People 2020 Substance Abuse Topic Area HP 2020-SA.

Since 1998, ONDCP has awarded approximately 2,000 DFC grants, with up to 30 new awards expected in FY 2012. Grants have been awarded to communities from every region in the nation including rural, urban, suburban, and tribal communities. Additional grantee information is available on the DFC website at <http://www.whitehouse.gov/ondcp/Drug-Free-Communities-Support-Program>.

## 2. PRE-APPLICATION WORKSHOPS

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

Portland, OR  
Austin, TX  
National Harbor, MD

Tuesday, January 31, 2012  
Thursday, February 2, 2012  
Friday, February 10, 2012 (near Washington, DC)

These workshops are not mandatory in order to apply for this grant. These workshops will provide technical assistance to help applicants complete their applications. They are not general technical assistance workshops for coalitions. Attendees should read this RFA in advance and come prepared to ask questions related to the effective completion of their applications. After each workshop, a question and answer session will be held to specifically address applicants working with American Indian/Alaska Native communities. More information about the workshops, including a link for attendee registration, can be found at <http://www.whitehouse.gov/ondcp/Drug-Free-Communities-Support-Program>. If an applicant is unable to travel to a workshop, a recorded version will be posted to the DFC website by the end of January 2012. The online videos can be found at <http://www.whitehouse.gov/ondcp/information-for-potential-applicants>.

### 3. ABOUT DFC GRANTEES

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

Grants awarded through the DFC Program are intended to support **established community-based coalitions** capable of effecting community-level change. For the purposes of this RFA and the DFC Program, **a coalition is defined as a community-based formal arrangement for cooperation and collaboration among groups or sectors of a community in which each group retains its identity, but all agree to work together toward a common goal of building a safe, healthy, and drug free community.** Coalitions receiving DFC funds are expected to work with leaders within their communities to identify and address local youth substance use problems and create sustainable community-level change through environmental strategies.

#### 3.2 Environmental Strategies

Environmental strategies are based on the belief that substance abuse is a product of multiple environmental conditions and circumstances. Environmental strategies incorporate prevention efforts aimed at changing or influencing community conditions, standards, institutions, structures, systems, and policies. More specifically, environmental strategies seek to: (1) limit access to substances; (2) change the culture and context within which decisions about substance use are made; and/or (3) shift the consequences associated with youth substance use. Examples can be found in *Table 1: Environmental Strategies Descriptions*. 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 the DFC Program requires the planning and implementation of environmental strategies as part of their comprehensive efforts to reduce youth substance use**

**Table 1: Environmental Strategies Descriptions**

Environmental Strategy	Description
<b>Enhance Access/Reduce Barriers</b>	Improving systems/processes to increase the ease, ability, and opportunity to utilize those systems and services (e.g., assuring transportation, housing, education, safety, and cultural sensitivity) in prevention initiatives.
<b>Reduce Access/Enhance Barriers</b>	Improving systems/processes to decrease the ease, ability, and opportunity for youth to access substances (e.g., raising the price of single-serve cans of alcohol, implementing retail alcohol/tobacco compliance checks).
<b>Change Consequences (Incentives/Disincentives)</b>	Increasing or decreasing the probability of a behavior by altering the consequences for performing that behavior (e.g., increasing taxes, citations, and fines; revocation/loss of driver’s license).
<b>Physical Design</b>	Changing the physical design of the environment to reduce risk or enhance protection (e.g., re-routing foot/car traffic, adjusting park hours, alcohol/tobacco outlet density). <b>Note:</b> DFC Federal funds cannot support landscape and lighting projects. As such, costs for these projects cannot be used as match.
<b>Modify/Change Policies</b>	Formal change in written procedures, by-laws, proclamations, rules, or laws (e.g., workplace initiatives, law enforcement procedures and practices, public policy actions, systems change). <b>Note:</b> Lobbying with Federal dollars is not permitted. As such, costs for lobbying cannot be used as match.

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). Although this publication lists Seven Strategies for Community Change on pg. 19, only Strategies 4-7 are considered environmental prevention strategies.

**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 matching dollars.**

### 3.3 Community Definition

A coalition must understand and define 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.** 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. The DFC Program does not prescribe the size, borders, demographics, or geographic location of DFC grantee communities.

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 to be addressed. The DFC Program does not make funding decisions based on geographic boundaries (e.g., number of grants within States/towns/cities). Applicants should consider that adjacent neighborhoods/towns/cities with coalitions operating in different areas are encouraged. However, when determining the parameters of a community, multiple DFC grantees may not serve the same zip code(s) unless there is written evidence of cooperation between the overlapping coalitions.

### **3.4 Cultural Competence**

Cultural competence refers to a set of congruent behaviors, attitudes and policies that enable a coalition to effectively respond to differences in cultural beliefs, behaviors, and communication styles. Applicants must address cultural issues in their applications in terms of the design and implementation of the Action Plan and the coalition's organizational structure. For prevention efforts to be truly effective, diverse representation is needed early in the planning process, as well as throughout the implementation of the Action Plan. More information on coalition cultural competence can be found at [http://www.cadca.org/files/cultural\\_competence\\_jan09.pdf](http://www.cadca.org/files/cultural_competence_jan09.pdf).

## **4. EXPECTATIONS**

### **4.1 Strategic Prevention Framework**

DFC-funded coalitions are expected to utilize SAMHSA's Strategic Prevention Framework (SPF) as the model on which they develop their long-range strategic plans and annual Action Plans. The SPF is a five-step evidence-based process for community planning and decision-making. Cultural competence ([Part I-3.4](#) of this RFA) and sustainability ([Part I-4.6](#) of this RFA) should be considered throughout all five steps of the process.

The five-step process includes:

- (1) **Assessment:** Identify local youth substance use problems and the community conditions that contribute to the specific identified issues.
- (2) **Capacity:** Mobilize/build capacity to change the conditions and address the youth substance use problems.
- (3) **Planning:** Develop a Logic Model, comprehensive 12-month Action Plan, and multi-year Strategic Plan.
- (4) **Implementation:** Implement Action and Strategic Plans with multiple objectives, strategies, and activities.

- (5) **Evaluation:** Monitor, sustain, improve, or replace prevention activities, efforts, and strategies.

#### 4.2 Data Collection and Performance Measurement

The Government Performance and Results Modernization Act of 2010 (GPRA) requires all Federal agencies to collect and report specified data. **DFC grantees are required to provide data on the following core measures for alcohol, tobacco, marijuana, and prescription drugs:**

- **Substance use in the past 30 days**
- **Perception of risk**
- **Perception of parental disapproval of use**
- **Perception of peer disapproval of use**

The Terms and Conditions of the grant award will specify how the data are to be submitted and the schedule for submission using an online data reporting system. **A complete set of data representative of the entire community's youth must be collected and reported at least every two years, for at least three grade levels between sixth and twelfth grades.** In the case that a Year 1 DFC grantee does not have the core measures at the time of application and award of the grant, Year 1 grantees have two years from the time of award to report their first complete set of core measures data. The collection of these data allow for ONDCP to provide data for the DFC National Cross-site Evaluation, which is required for all DFC grantees (*See Part I-4.3 below, National DFC Cross-site Evaluation Requirements*). Performance data will be reported to grantees, the public, the Office of Management and Budget (OMB), and Congress.

Each grantee will be required to submit a Data Collection Plan to the Government Project Officer outlining specifically how the coalition will comply with the data reporting requirements. The plan is due **no later than 60 days** after the start of the grant award.

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

DFC grantees are required to participate in the DFC National Cross-Site Evaluation, intended to measure the effectiveness of the DFC Program in reducing youth substance use. This includes the reporting of data on the four GPRA core measures described above in **Part I-4.2** of this RFA, as well as other measures and coalition information which may be required by the DFC National Cross-Site Evaluation team on an as-needed basis. **Applicants must provide information about their ability to comply with the DFC National Cross-site Evaluation Requirements in Attachment 16.**

#### 4.4 National Meeting Requirement

Applicants funded through this RFA are required to budget for and send two people (one must be the person charged with daily oversight of the coalition) to a three-day New Grantee Meeting in Washington, DC in the first year of the grant award. The meeting usually takes place in early

December. This requirement applies to grantees that receive Year 1 or Year 6 funding or are returning to the DFC Program after a lapse in funding.

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

In addition to the New Grantee Meeting described in **Part I-4.4**, all applicants applying to become first-time DFC grantees (Year 1) are expected to budget to send two people to the National Coalition Academy (NCA). This requirement does not apply to coalitions that have already attended the NCA, although these coalitions can choose to send additional coalition staff/members to the NCA if awarded the DFC grant. The NCA is a three-week training program spread out over the course of several months. It is designed to train coalitions in the SPF process and guide the creation of the products necessary for successful coalition functioning and operation. Costs associated with the NCA are generally limited to travel (e.g., flight, car rental, per diem for meals). Lodging, dependent upon location, may be provided. Should your coalition be awarded the DFC grant, two people from the coalition are required to attend the NCA (one person must be the same all three weeks and should be the person in charge of daily operations of the coalition; the second person can vary each week). There are several locations across the United States where the NCA is held. **It is highly recommended that you contact the National Coalition Institute immediately after being awarded the DFC grant to register for the NCA location of your choice.**

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

#### **4.6 Sustainability Plans Required in Years 3 and 7**

Coalitions funded through the DFC Program are required to submit a Sustainability Plan in funding Years 3 and 7. The plan must be submitted to the Government Project Officer **within 60 days of the start of the funding Years 3 and 7.**

## **II AWARD INFORMATION**

**Applicants may not ask for more than \$125,000 in total costs (direct and indirect) in any year of the proposed project.** Approximately \$3,750,000 for up to 30 FY 2012 DFC grants will be awarded through this RFA. As of the release of this RFA, the FY2012 Federal Budget is still pending before Congress.

DFC grants will be available to eligible applicants in amounts of up to \$125,000 per year over a five-year period, known as a "funding cycle." To apply for a DFC grant under this RFA, a coalition must fall into one of the following three categories:

1. A coalition that has never received a DFC grant;
2. A coalition that previously received a DFC grant, but experienced a lapse in funding; or

3. A coalition that has concluded the first five-year funding cycle and is applying for a second five-year funding cycle.

If selected to receive a DFC grant, coalitions will be awarded funds for one year (covering the 12-month period from September 30, 2012–September 29, 2013). Funds for subsequent years within a grant cycle are distributed on an annual basis as non-competing Continuation awards. Annual Continuation awards are contingent upon the availability of DFC funds, the continued ability of the coalition to demonstrate eligibility, grantee progress in meeting grant requirements, timely submission of the Continuation application and all required data and reports, and compliance with all Terms and Conditions of the award.

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

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

Coalitions that have received 10 years of DFC funding are not eligible for this grant. If a coalition believes that they have already received 10 years of DFC funding, they should refer to the End of Grant Policy (Congressional 10-Year Funding Limit Policy) outlined in Appendix H.

### **III ELIGIBILITY INFORMATION**

#### **1. ELIGIBLE APPLICANTS**

Statutory Eligibility Requirements, written into the DFC Act, are inherent in the DFC Program. (See Table 2: Statutory Eligibility Requirements). Please read the Statutory Eligibility Requirements carefully and provide the information necessary to meet the requirements in Attachments 1-8 of your application. 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 contact person on the Application for Federal Assistance 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. **Final authority lies with the DFC Administrator to determine the eligibility of an application.**

All DFC applications will be jointly screened by ONDCP and SAMHSA to determine whether each applicant meets all the DFC Program eligibility requirements contained in Table 2. In addition, the non-profit status of the grantee/legal applicant (if applicable) will be verified along with its ability to fiscally manage Federal funds. Applications submitted by eligible coalitions that demonstrate they meet all requirements will then be scored through a Peer Review process according to the evaluation criteria described in Part V, Application Review Information.

The following table (Table 2) contains a summary of the Statutory Eligibility Requirements and the minimum documentation applicants must provide to meet the eligibility criteria. The “Where to Document” section in the following table shows applicants where to include the required information in their applications (e.g., as an attachment, in the Project Narrative, in the Budget Narrative). **Each year, DFC grantees must demonstrate compliance with all of the Statutory Eligibility Requirements to be considered for continued funding.**

**Table 2: Statutory Eligibility Requirements – Requirement 1: 12 Sectors**

Eligibility Requirement Item:	Evidence Required and Where to Document
<p data-bbox="201 579 803 632"><b>Requirement 1: 12 Sectors</b></p> <p data-bbox="201 642 803 737">The coalition must consist of one or more representatives from each of the following <b>required 12 sectors</b>:</p> <ul data-bbox="201 768 803 1398" style="list-style-type: none"> <li>• Youth (18 or younger)</li> <li>• Parent</li> <li>• Business</li> <li>• Media</li> <li>• School</li> <li>• Youth-serving organization</li> <li>• Law enforcement</li> <li>• Religious/Fraternal organization</li> <li>• Civic/Volunteer groups (i.e., local organizations committed to volunteering, not a coalition member designated as a “volunteer”)</li> <li>• Healthcare professional</li> <li>• State, local, or tribal governmental agency with expertise in the field of substance abuse (including, if applicable, the State agency with primary authority for substance abuse)</li> <li>• Other organization involved in reducing substance abuse</li> </ul> <p data-bbox="201 1430 803 1461"><i>(21 USC 1531 §1032 (a)(2)(A))</i></p>	<p data-bbox="820 579 1463 705"><b>Evidence Required:</b></p> <p data-bbox="820 716 1463 705">Using the template in Appendix D, Table 23, applicants must list:</p> <ol data-bbox="844 737 1463 1073" style="list-style-type: none"> <li>1. Each of the required 12 sectors;</li> <li>2. Only one person for each sector (the individual involved in the coalition who has the most influence with others in that sector); Individual sector members may not serve as sector representatives for more than one DFC funded coalition at a time.</li> <li>3. The agency/organization each person represents; and the specific, unique contribution of each individual toward the coalition’s work.</li> </ol> <p data-bbox="820 1104 1463 1272"><b>Note: Neither paid staff (current or proposed), nor the person signing the Coalition Involvement Agreement (CIA) on behalf of the coalition (e.g., coalition chair), can serve as a sector representative.</b></p>

Eligibility Requirement Item:	Evidence Required and Where to Document
Requirement 1: 12 Sectors	Evidence Required:
<p>An individual who is a member of the coalition may serve on the coalition as a representative of not more than one sector category.</p> <p><i>(21 USC 1531 §1032 (a)(2)(C))</i></p>	<p>Applicants must attach a matching CIA from <b>each</b> person listed in the Sector Member Table. A total of <b>12 CIAs are required</b>. Including more than 12 <b>will not</b> increase the applicant’s score. CIAs cannot be more than 12 months old at the time of application. The name on the CIA, or the name of the person indicated as the sector representative by the person signing the CIA, <b>must</b> match the name in the Sector Member Table. If someone must sign the CIA other than the person listed as the sector member, see <u>Appendix E</u> of this RFA for instructions. <u>Table 24</u> must be included at the top of each of the 12 CIAs.</p> <p><b>Two signatures</b> are required on each CIA. One signature must be that of the individual listed in the Sector Member Table, and the other must be the signature of someone (i.e., coalition chair, paid staff, etc.) who represents the coalition. All signatures must be <b>hand written</b> and dated.</p> <p>A sample CIA is provided in <u>Appendix E</u> of this RFA and provides the minimal requirements for a CIA.</p> <p><b>Where to Document:</b>  <u>Attachment 1</u> – Sector Member Table  <u>Attachment 2</u> – 12 CIAs (in the same order as listed in the Sector Member Table)</p>

Eligibility Requirement Item:	Evidence Required and Where to Document
<p><b>Requirement 2: Six Month Existence</b></p>	<p><b>Evidence Required:</b></p>
<p>The coalition must demonstrate that members have worked together on substance abuse reduction initiatives for a period of <b>not less than 6 months at the time of the application</b>, acting through entities such as task forces, subcommittees, or community boards.</p> <p><i>(21 USC 1531 §1032 (a)(3)(A))</i></p> <p>The coalition must also demonstrate <b>substantial participation from volunteer leaders</b> in the community.</p> <p><i>(21 USC 1531 §1032 (a)(3)(B))</i></p>	<p>Applicants must submit <b>two sets of the coalition’s meeting minutes from within the time period described below</b>. Additional sets of minutes will not increase the applicant’s score. Both sets of meeting minutes must show that the coalition has been actively involved in working to reduce youth substance use in the applicant community and must demonstrate substantial participation from volunteer leaders.</p> <p>One set of minutes must be from a coalition meeting that took place <b>between January 1, 2011 and September 30, 2011</b>. The second set of minutes must be from a coalition meeting that took place <b>between October 1, 2011 and the deadline for submission of this application</b>. These specific timeframes are used to determine the coalition’s length of existence and current activities. Both sets of minutes must:</p> <ul style="list-style-type: none"> <li>• Represent the coalition’s meetings and not those of an outside agent applying on behalf of a coalition;</li> <li>• Include the month, date, and year of the coalition meeting;</li> <li>• Indicate that the coalition has been involved in reducing community youth substance use;</li> <li>• Demonstrate coalition membership involvement, including, but not limited to, the 12 required sectors (all 12 sectors do not have to be present at all meetings); and</li> <li>• Include a list of attendees, noting the sector that each attendee represents.</li> </ul> <p><b>Where to Document:</b>  <u>Attachment 3</u> – Two sets of coalition minutes, one within each of the specified timeframes.</p>

Eligibility Requirement Item:	Evidence Required and Where to Document
<b>Requirement 3: <i>Mission Statement</i></b>	<b>Evidence Required:</b>
<p>The coalition must have as its <b>principal mission the reduction of substance abuse</b>, which, at a minimum, includes the use and abuse of drugs in a comprehensive and long-term manner, with a <b>primary focus on youth</b> in the community.</p> <p>(21 USC 1531 §1032 (a)(3)(B)(4)(A))</p>	<p>Applicants must provide a copy of the <b>coalition’s Mission Statement</b>. The statement cannot be that of an outside agent being used as the legal grantee (if applicable) for a coalition. It must be clear during the eligibility screening process that the Mission Statement belongs to the applicant coalition and that the principal mission of the coalition is youth substance use reduction and/or prevention.</p> <p><b>Where to Document:</b>  <u>Attachment 4</u> – Coalition’s Mission Statement</p>
Eligibility Requirement Item:	Evidence Required and Where to Document
<b>Requirement 4: <i>Multiple Drugs of Abuse</i></b>	<b>Evidence Required:</b>
<p>The coalition must have developed a Strategic/Action Plan to reduce substance use among youth which targets <b>multiple drugs of abuse</b>.</p> <p>Substances may include, but are not limited to, narcotics, depressants, stimulants, hallucinogens, inhalants, marijuana, alcohol, and tobacco, where their use is prohibited by Federal, State, or local law.</p> <p>(21 USC 1531 §1032 (a)(4)(D))</p>	<p>Applicants must identify strategies that target, at a minimum, <b>two specific drugs of use</b>. Each drug <b>must</b> be named specifically and individually. For example, a coalition may choose to address alcohol and prescription drugs. This must be specifically outlined and these drugs <b>must be named in the Action Plan</b>.</p> <p><b>Do not</b> use the following terminology in the application when naming the drugs the coalition will address:</p> <ul style="list-style-type: none"> <li>• ATOD (Alcohol, Tobacco, and Other Drugs)</li> <li>• Substances or Substance Use/Abuse</li> <li>• Drugs or Drug Use/Abuse</li> </ul> <p>NOTE: The term “prescription drugs” is allowable as a specific targeted substance. However, if desired, you may specify by type or category which prescription drugs the coalition is addressing, if any (e.g., pain killers, stimulants).</p> <p><b>Where to Document:</b>  <u>Part V-1.3, Section A</u>, Questions 3 and 9</p>

Eligibility Requirement Item:	Evidence Required and Where to Document
<p><b>Requirement 5: DFC National Evaluation Requirements</b></p>	<p><b>Evidence Required:</b></p>
<p>The coalition must establish a system to <b>measure and report outcomes</b>, established and approved by the DFC Administrator, to the Federal Government.</p> <p><i>(21 USC 1531 §1032 (a)(5)(A))</i></p>	<p>Applicants must demonstrate an ability to comply with the National Evaluation Requirements for the DFC Program as outlined in <u>Part I-4.3</u>, National DFC Cross-Site Evaluation Requirements. It is insufficient to simply state that the grantee will supply the data necessary to meet the DFC National Evaluation requirements. See below for further details that must be provided in order to meet this requirement.</p> <p>Regardless of the substances a coalition is choosing to address, the following measures have been approved by the DFC Administrator and must be collected by each DFC grantee every two years, on four substances (alcohol, tobacco, marijuana, and prescription drugs) in three grades (6<sup>th</sup>-12<sup>th</sup>):</p> <ol style="list-style-type: none"> <li>1. Past 30-day use</li> <li>2. Perception of risk or harm of use</li> <li>3. Perception of parental disapproval of use</li> <li>4. Perception of peer disapproval of use</li> </ol> <p>Each applicant <b>must</b> provide, using <u>Appendix J</u>, the following information:</p> <ol style="list-style-type: none"> <li>1. The name of the survey(s) utilized to collect the data required in the four core measures listed above.</li> <li>2. How often/when will the survey(s) be administered for core measure data collection?</li> <li>3. What, if any, supplemental survey(s)/data will be used to meet the requirements of the DFC National Cross-Site Evaluation?</li> </ol> <p><b>Where to Document:</b>  <u>Attachment 16</u> - DFC National Cross-Site Evaluation Information</p>

Eligibility Requirement Item:	Evidence Required and Where to Document
<p><b>Requirement 6: Entity Eligible to Receive Federal Grants</b></p>	<p><b>Evidence Required:</b></p>
<p>The applicant <b>must</b> demonstrate that the coalition is an ongoing concern by demonstrating that the coalition is a non-profit organization or has made arrangements with a legal entity that is <b>eligible to receive Federal grants</b>.</p> <p><i>(21 USC 1531 §1032 (a)(5)(A))</i></p> <p><b>Organizations eligible to receive Federal funds as applicants must be legally recognized domestic public or private nonprofit entities.</b> For example, state and local governments; Federally recognized tribes; state recognized tribes; urban Indian organizations (as defined in P.L. 94-437, as amended); public or private universities and colleges; professional associations, voluntary organizations, self-help groups, consumer and provider services-oriented constituency groups; community- and faith-based organizations; and tribal organizations.</p> <p><i>(HHS Grants Policy Statement, January 1, 2007 – Eligibility, page I-11)</i></p>	<p>A coalition that is eligible to receive Federal grant funds on its own should simply state that it is a legally eligible entity.</p> <p>If a coalition is not eligible to receive Federal grant funds on its own, it must make arrangements with a legal entity that will apply for the grant on behalf of the coalition and serve as the legal applicant for the grant. In this case, the grantee/legal applicant is the recipient of the award, and the entity legally responsible for satisfying the grant requirements, including Terms and Conditions of award. This includes conformance with HHS grantee financial management requirements, fulfilling audit requirements, and reporting financial status, progress, and other related documents. See <a href="#">Appendix F</a> for guidance on the role of a grantee.</p> <p><b>For a coalition not serving as its own grantee, the application must include a completed and signed Memorandum of Understanding (MOU) between the coalition and the legal entity that will serve as the grantee if awarded the grant.</b></p> <p>A sample MOU is provided in <a href="#">Appendix F</a>. The coalition and grantee are not required to use the exact template provided for their MOU.</p>

Eligibility Requirement Item:	Evidence Required and Where to Document
<p><b>Requirement 6: <i>Entity Eligible to Receive Federal Grants</i></b></p>	<p><b>Evidence Required:</b></p>
<p>Grantee Financial Management Requirements:</p> <p>Federal regulations governing SAMHSA grants (45 CFR Part 74 and 45 CFR Part 92) provide standards for financial management systems of grantee organizations. To determine whether grantees have financial management systems that conform to those standards, SAMHSA’s Financial Advisory Services Officers (FASO) perform Financial Capability Reviews of new or prospective grantees. Based on a recent report on an audit performed in accordance with OMB Circular A-133, or a combination of financial statements together with accounting and personnel policies &amp; procedures (P&amp;P), FASO will make a determination of the organization’s ability to adequately administer Federal awards. If needed, FASO will request that the grantee take necessary corrective action to conform to the financial management standards. For more information, go to <a href="http://www.samhsa.gov/grants/management.aspx">http://www.samhsa.gov/grants/management.aspx</a></p>	<p><b>Where to Document:</b>  <u>Attachment 5</u> – MOU or statement of legal eligibility</p>

Eligibility Requirement Item:	Evidence Required and Where to Document
<p><b>Requirement 7: Substantial Support from Non-Federal Sources</b></p>	<p><b>Evidence Required:</b></p>
<p>The coalition must have a <b>strategy to solicit substantial financial support from non-Federal sources</b> to ensure that the coalition is self-sustaining.</p> <p><i>(21 USC 1531 §1032 (a)(5)(C)) &amp; (21 USC 1531 §1032 (b)(1)(A)(i))</i></p>	<p><b>Applicants must show at least dollar-for-dollar (1:1) matching funds</b> in their Budget and Budget Narrative. These matching funds must come from non-Federal sources.* Matching funds can be in-kind or donations, but must be compliant with Federal regulations regarding allowable expenses.</p> <p>Applicants must itemize the matching funds separately in the Budget SF-424A, (available at <a href="http://www.samhsa.gov/grants/applicationkit.aspx">http://www.samhsa.gov/grants/applicationkit.aspx</a>) and explain the matching funds separately in the Budget Narrative (see <u>Part V-1.3, Section B</u>).</p> <p>*Only Federal funds appropriated for substance abuse activities of a coalition that includes a representative of the Bureau of Indian Affairs, the Indian Health Service, or a tribal government agency with expertise in the field of substance abuse may be counted as match.</p> <p><b>Where to Document:</b>  <b>SF-424, Section 18</b>  <b>SF-424A</b>  <u>Part V-1.3, Section B</u>: Budget Narrative (see <u>Appendix A</u> for sample)</p> <p>Budget totals must match on the Application for Federal Assistance (SF-424, Section 18), Budget (SF-424A), and Budget Narrative.  <b>Note:</b> Those applying for a second 5-year funding cycle must comply with the increase in match requirement for Years 7-10 (see <u>Part III-2</u>).</p>

Eligibility Requirement Item:	Evidence Required and Where to Document
<b>Requirement 8: <i>Federal Request</i></b>	<b>Evidence Required:</b>
<p>The applicant <b>must not request more than \$125,000</b> in Federal funds per year.</p> <p><i>(PL 109-469 §803)</i></p>	<p>The budget <b>may not show a request for Federal funds exceeding \$125,000/year</b>, excluding Federal match from <u>Requirement 7</u> above.</p> <p><b>Where to Document:</b>  <b>SF-424, Section 18</b>  <b>SF-424A</b></p> <p><u>Part V-1.3, Section B</u>: Budget Narrative (see <u>Appendix A</u>)</p> <p>Budget totals must correspond on the Application for Federal Assistance (SF-424, Section 18), Budget (SF-424A), and Budget Narrative.</p>

Eligibility Requirement Item:	Evidence Required and Where to Document
<b>Requirement 9: <i>Zip Code Overlap</i></b>	<b>Evidence Required:</b>
<p><b>Two coalitions may not serve the same zip code(s) unless both coalitions have clearly described their plan for collaboration</b> in their applications and each coalition has independently met the eligibility requirements.</p> <p><i>(21 USC 1531 §1032 (a)(5)(C))</i></p>	<p>Each applicant that proposes to serve a community that overlaps with the community of an existing or newly applying DFC coalition must provide a Letter of Mutual Cooperation between their coalition and the overlapping coalition that outlines their current plans and areas of collaboration. <b>The letter must include two signatures: one from the applicant coalition and one from the currently funded/applying coalition.</b> In the case of two first-time applicants, a Letter of Mutual Cooperation must be included in each application.</p> <p>As part of the eligibility screening process, zip codes will be checked. “Zip codes served” from <u>Part V-1.4, Section E</u> of the application are used to determine overlaps.</p>

Eligibility Requirement Item:	Evidence Required and Where to Document
<b>Requirement 9: <i>Zip Code Overlap</i></b>	<b>Evidence Required:</b>
	<p>If the applicant coalition overlaps with another applicant coalition and/or with an existing DFC grantee, a Letter of Mutual Cooperation between the applicant and each overlapping coalition must be included as <u>Attachment 6</u> in your application.</p> <p>In cases of overlap where there is no evidence of collaboration between two coalitions:</p> <ul style="list-style-type: none"> <li>• Coalitions already inside a five-year grant cycle will be given preference.</li> <li>• If the overlap occurs between two new applicants, the one that scores higher in Peer Review will be given preference.</li> </ul> <p>See <a href="http://www.whitehouse.gov/ondcp/Drug-Free-Communities-Support-Program">http://www.whitehouse.gov/ondcp/Drug-Free-Communities-Support-Program</a> for a list of existing DFC grantees by State.</p> <p><b>Where to Document:</b>  <u>Attachment 6</u> – Letter(s) of Mutual Cooperation, signed by both coalitions, or statement that there is no overlap between the applicant and other coalitions</p> <p><u>Attachment 10</u> – General Applicant Information Table.</p>
Eligibility Requirement Item:	Evidence Required and Where to Document
<b>Requirement 10: <i>One grant at a time</i></b>	<b>Evidence Required:</b>
Grantees/coalitions may be awarded <b>only one grant at a time</b> through the DFC Program.	<p>Applicants must sign and submit the Applicant Assurance included as <u>Appendix G</u>.</p> <p><b>Where to Document:</b>  <u>Attachment 7</u> – Applicant Assurance of One Grant at a Time</p>

Eligibility Requirement Item:	Evidence Required and Where to Document
<b>Requirement 11: <i>No more than 10 years of DFC funding</i></b>	<b>Evidence Required:</b>
Coalitions <b>may not receive more than 10 years of DFC funding.</b>	<p>Applicants must sign the Applicant Assurance of Compliance with the End of Grant Policy (Congressional 10-Year Funding Limit Policy) included as <a href="#">Appendix H</a>.</p> <p>Applicants should be certain that they are not reapplying as a previously funded coalition. A coalition requesting first year funding should be serving a different catchment area and the coalition staff and volunteers should be different from that of any previously or currently funded coalition.</p> <p><b>Where to Document:</b>  <a href="#">Attachment 8</a> – End of Grant Policy (Congressional 10-Year Funding Limit Policy)</p>

## 2. COST SHARING and MATCH REQUIREMENTS

The DFC authorizing legislation requires grantees to demonstrate that they have matching funds from non-Federal sources equivalent to or more than the amount of Federal funds requested from DFC Program. Applicants must itemize the match separately in the budget and explain the match separately in the Budget Narrative. A sample Budget Narrative is provided in [Appendix A](#) of this announcement.

Applicants in their first cycle of DFC funding (Years 1-5), and those in Year 6, are required to have, each year, 100 percent match (1:1) from non-Federal sources. Beginning in Year 7, the percentage increases. **The table below indicates the percentage of match required for DFC grantees in each year of the grant.**

**Table 3: Percentage of Match**

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

In-kind support **may** be used for the match requirement. In-kind support includes the value of goods and services donated to the operation of the DFC coalition, including but not limited to

office space, volunteer secretarial services, pro bono accounting services, and other volunteer services to support the coalition's work. **All match must follow the Federal cost principles and be allowable, reasonable, and documented. Applicants cannot submit match that would not be allowable to be purchased with DFC funds.** For example, since grantees are not allowed to purchase food with Federal dollars, they cannot count the value of food donated as match.

A match level over the required amount **will not** result in a higher Peer Review score. **All proposed match included in the budget, if the application is approved for funding, becomes an obligation on the part of the applicant.** If, for example, an applicant proposes that they will gather 300 percent in matching funds and receives a grant, the grantee is legally responsible to collect, document, and substantiate all 300 percent of those funds or in-kind support.

The DHHS Grants Policy Statement will help you understand allowable costs, volunteer rates, and conflict of interest issues. This document is available at <http://www.samhsa.gov/grants/management.aspx>.

Federal funds, including those passed through a state or local government **cannot** be used toward the required match. The exception to this rule is that Federal funds appropriated for substance abuse activities of a coalition that includes a representative of the Bureau of Indian Affairs, the Indian Health Service, or a tribal government agency with expertise in the field of substance abuse may be counted as match.

### **3. OTHER**

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

Applicants must use the Application for Federal Assistance Grant Application Package available at <http://www.samhsa.gov/grants/applicationkit.aspx> and must follow all application submission requirements and formatting requirements or their application **will not be considered for funding**. Application submission and formatting requirements are provided in Appendix B of this document.

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

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

## **IV APPLICATION AND SUBMISSION INFORMATION**

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

You may request a complete application package from SAMHSA at 1-877-SAMHSA7 [TDD: 1-800-487-4889]. You also may download the required documents from the SAMHSA website at <http://www.samhsa.gov/grants/apply.aspx>. Additional materials available on this website 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.

DFC application support information can be found on the Drug Free Communities website at <http://www.whitehouse.gov/ondcp/Drug-Free-Communities-Support-Program>. 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 Package

A complete list of documents included in the application package is available at <http://www.samhsa.gov/Grants/ApplicationKit.aspx>. This includes:

- Grant Application Package – Includes the face page (SF-424), budget forms (SF-424A), and checklist. You must use the Grant Application Package. **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 website at <http://www.samhsa.gov/grants/index.aspx> and the DFC website at <http://www.whitehouse.gov/ondcp/Drug-Free-Communities-Support-Program>. A synopsis of the RFA is available on the Federal grants website at <http://www.Grants.gov>.

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

### 2.2 Required Application Components

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

- **Face Page** – SF-424 is the face page. This form is part of the Grant Application Package, available at <http://www.samhsa.gov/grants/applicationkit.aspx>. [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 website at <http://www.dunandbradstreet.com> or call 1-866-705-5711. To expedite the process, indicate to Dun and Bradstreet that you are a public/private non-profit organization getting ready to submit a Federal grant application. In addition, you must be registered in the Central Contractor Registration (CCR) prior to submitting an application and maintain an active CCR registration during the grant funding period. **REMINDER: CCR registration expires each year**

and must be updated annually. It can take 24 hours or more for updates to take effect, so check for active registration well before your grant deadline. Grants.gov will not accept your application if you do not have current CCR registration. If you do not have an active CCR registration prior to submitting your paper application, it will be screened out and returned to you without review. The DUNS number you use on your application must be registered and active in the CCR. You can view your CCR registration status at <http://www.bpn.gov/CCRSearch/Search.aspx> and search by your organization's DUNS number. Additional information on the Central Contractor Registration (CCR) is available at <https://www.bpn.gov/ccr/default.aspx>].

- **Budget Form** – Use SF-424A, which is part of the Grant Application Package. Fill out Sections B, C, and E of the SF-424A. A sample budget and justification is included in Appendix A of this document. Your completed SF-424A should reflect the final numbers as they appear in your Budget Narrative.
- **Table of Contents** – Number every page of the application, including supporting documentation, beginning with your Table of Contents as Page 1. In the Table of Contents, include the page numbers for each of the major sections of the application and each attachment. Hand numbering of pages is allowable.
- **Community Overview** – The Community Overview describes the key features of the community. It should be no longer than 1 page in length.
- **Project Narrative** – The Project Narrative describes the efforts the coalition will undertake to address youth substance use. It consists of Part V-1.3, Section A of the RFA and can be **no longer than 30 pages**. More detailed instructions for completing the Project Narrative are provided in Part V - Application Review Information of this document. **Applications that exceed the 30-page limit (Project Narrative only) will be screened out and will not be reviewed.**
- **Budget Narrative** – The Budget Narrative (Part V-1.3, Section B of the RFA) provides narrative detail about both the Federal request and the non-Federal match.
- **Attachments 1 through 17.**
- Attachment 1: Sector Member Table
- Attachment 2: 12 CIAs; including more than the 12 required CIAs will not increase an applicant's score; each CIA must include Table 24.
- Attachment 3: Two sets of meeting minutes within the specified timeframes.
- Attachment 4: Coalition's Mission Statement.
- Attachment 5: MOU or statement that the coalition is legally eligible to receive a grant.
- Attachment 6: Letter(s) of Mutual Cooperation or statement that the zip code overlap requirement does not apply.

- Attachment 7: Applicant Assurance of No More Than One Grant at Time
- Attachment 8: Assurance of Compliance with the End of Grant Policy (Congressional 10-Year Funding Limit Policy). If the applicant has previously held a DFC grant, or is proposing to serve the same zip code(s) or has identical or similar leadership as a previous DFC coalition, the applicant should include a letter in Attachment 8 providing sufficient information to prove that the coalition is unique and distinct.
- Attachment 9: Resumes and Position Descriptions
- Attachment 10: General Application Information Table
- Attachment 11: Organizational Chart
- Attachment 12: Logic Model
- Attachment 13: Letter to the Single State Agency (SSA)
- Attachment 14: Forms, Certifications, Disclosures, and Assurances
  - **Assurances and Certifications** – Non-Construction Programs. Applicants must read the list of assurances and certifications provided on the SAMHSA website and check the box marked ‘I Agree’ before signing the face page (SF-424) of the application.
  - **Project Performance Site Location(s) Form** – The purpose of this form is to collect location information on the site(s) where work funded under this grant announcement will be performed. This form will be posted with the RFA on SAMHSA’s website and provided in the application package at <http://www.samhsa.gov/grants/applicationkit.aspx>.
  - **Assurance of Compliance with SAMHSA Charitable Choice Statutes and Regulations Form SMA 170** – Applicants are required to complete the Assurance of Compliance with SAMHSA Charitable Choice Statutes and Regulations Form SMA 170. This form is available at <http://www.samhsa.gov/grants/applicationkit.aspx>.
  - **Disclosure of Lobbying Activities** – 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. You must sign and submit this form, if applicable.
- Attachment 15: Disclosure of All Prior DFC Funding.
- Attachment 16: DFC National Cross-Site Evaluation requirements.
- Attachment 17: Congressional Notification.

- *Additional attachments as desired:* Please clearly label each attachment provided beyond the required attachments.
  - **Checklist** – Use the Checklist found in the Grant Application Package, available at <http://www.samhsa.gov/grants/applicationkit.aspx>. The Checklist found in the Grant Application Package ensures that the applicant has obtained the proper signatures, assurances, and certifications. If you are submitting a paper application, the Checklist found in the Grant Application Package should be the next-to-last page.
  - **Pre-Submission Verification** – Use the checklist found in Appendix L. This verification ensures that you have accurately documented the eligibility requirements and included all major components of the application. If submitting a paper application, the **Pre-Submission Verification should be the last page.**

### 2.3 Application Formatting Requirements

Please refer to Appendix B, Checklist for Formatting Requirements and Screenout Criteria for SAMHSA Grant Applications, for SAMHSA’s basic application formatting requirements. Applications that do not comply with these requirements will be screened out and will not be reviewed for Statutory Eligibility Requirements and will not go to Peer Review.

## 3. APPLICATION SUBMISSION REQUIREMENTS

Applications are due by **March 22, 2012**. SAMHSA provides two options for submission of grant applications: 1) electronic submission, **or** 2) paper submission. Hard copy applications are due by **5:00 PM** (Eastern Time). Electronic applications are due by **11:59 PM** (Eastern Time).

**Applications may be shipped using only Federal Express (FedEx), United Parcel Service (UPS), or the United States Postal Service (USPS).** You will be notified by postal mail that your application has been received.

**Note: If you use the USPS, you must use Express Mail. SAMHSA will not accept or consider any applications that are hand carried or sent by facsimile.**

### Submission of Electronic Applications

SAMHSA accepts electronic submission of applications through <http://www.Grants.gov>. If you plan to submit the application electronically through Grants.gov, it is very important that you thoroughly read the application information provided in Appendix C, “Guidance for Electronic Submission of Applications.” Paper/hard copy back-up applications for electronic submissions will not be accepted.

### Submission of Paper Applications

If you are submitting a paper application, you must submit an original application and two (2) copies (including attachments). The original and copies must not be bound and nothing should be attached, stapled, folded, or pasted. Do not use staples, paper clips, or fasteners. You may use rubber bands.

Send applications to the address below:

**For United States Postal Service:**

Diane Abbate, Director of Grant Review  
Office of Financial Resources  
Substance Abuse and Mental Health Services Administration  
Room 3-1044  
1 Choke Cherry Road  
Rockville, MD 20857 (Change the zip code to 20850 if you are using FedEx or UPS)

Do not send applications to other agency contacts. Be sure to include “**SP-12-001 – DFC Support Program**” in item number 12 on the face page (SF-424) of any paper applications. If you require a phone number for delivery, you may use (240) 276-1199.

**Your application must be received by the application deadline or it will be screened out and 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. Within 30 days of receipt of an application, applicants will be notified by postal mail that their application has been received. If an applicant submits an application on time and does not receive notification within that 30-day timeframe, the applicant should contact SAMHSA’s Office of Grant Review at 240-276-1199 for additional information.

**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. See Appendix M for additional information on these requirements, as well as requirements for the Public Health Impact Statement.

**5. FUNDING LIMITATIONS/RESTRICTIONS**

The governing 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>:

## Cost Principles

Applies to:	Cost Principle:
Educational Institutions	2 CFR Part 220 (OMB Circular A-21)
State, Local and Indian Tribal Governments	2 CFR Part 225 (OMB Circular A-87)
Nonprofit Organizations	2 CFR Part 230 (OMB Circular A-122)
Hospitals	45 CFR Part 74, Appendix E

**The Health and Human Services (HHS) Grant Policy Statement** – This HHS directive covers grant policies, including, but not limited to general administrative and cost considerations. Part II of the HHS Grant Policy statement describes selected allowable and unallowable costs items and activities. This document is available at <http://www.samhsa.gov/grants/management.aspx>

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

- DFC grant funds must be used for purposes supported by the program.
- DFC may **not** be used to fund programs (i.e. after school, programs, youth mentoring programs, sports programs, treatment services/programs/facilities, and/or other programs considered “direct services”).
- DFC grant funds may **not** be used to pay for any lease beyond the project period.
- DFC grant funds may **not** be used to pay for the purchase or construction of any building or structure to house any part of the grant project.
- Food is *generally* unallowable. Exceptions within the DFC Program could include when food is used as a small incentive (not to exceed \$2.50 per person) to encourage participation in a community-wide event. Food costs are not allowable for general coalition or subcommittee meetings.
- No more *than 20 percent* of the total grant award may be used for evaluation.
- DFC grant funds may **not** be passed-through to another entity to conduct the substantive programmatic work on the program. The funded coalition is expected to perform the substantive role in the program.
- DFC grant funds may **not** be used to provide funding to community organizations through mini-grants, including one coalition funding another coalition.
- DFC grant funds may **not** be utilized for the following: law enforcement equipment, drug search detection canines or related training, drug courts, lighting, or community gardening efforts.

## V APPLICATION REVIEW INFORMATION

### 1. EVALUATION CRITERIA

The DFC Program uses a Peer Review process that identifies current and former DFC grantees to serve as Peer Reviewers. Applicants should consider the audience when assembling and writing their application. Each application is assigned to a panel of three Peer Reviewers for scoring. Each application is scored and the composite of the three scores becomes the application's final score. These final scores are ranked from the highest to the lowest and sent to ONDCP for review. Upon full completion of the statutory eligibility process and review of final scores, ONDCP begins funding with the highest scoring grant until all funds are exhausted.

**Note: The DFC Act requires that all applications be considered and reviewed equally. Those applying for Year 6 do not receive a higher priority than those applying for Year 1. A Year 6 applicant's past performance is not a factor in funding decisions. Only the submitted application is forwarded to Peer Reviewers.**

**In addition, grants are not awarded based on how many DFC-funded coalitions are within a geographic boundary (e.g., State, county, city). Coalitions serving the same zip codes must adhere to the requirements in Table 2: Statutory Eligibility, Requirement 9 to ensure that their applications are forwarded to Peer Reviewers.**

#### 1.1 General Instructions

Make sure that you are reading and using the correct RFA to submit your application for FY2012 DFC funding. For FY2012, there are 12 questions in the Project Narrative and only these questions can be used when applying for FY2012 funding. Do not combine questions from previous RFAs or use RFAs from other Federal programs. **Failure to use the correct RFA and to answer the correct questions in the order they are presented in the FY2012 RFA will result in an application being deemed ineligible and not proceeding to Peer Review.**

This portion of the RFA contains the Community Overview and Sections A-K of this RFA. General instructions for completing these sections are provided below. Applicants should remember the audience of Peer Reviewers. Peer Reviewers are instructed to score each question individually, but applicants should remain consistent in telling the story of their community when answering the questions.

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

In the Community Overview, applicants will provide a brief community context. This is the applicant's opportunity to "set the stage" for Peer Reviewers in terms of what makes the community unique and prepared for DFC funding. This description should be on a single sheet of paper titled *Community Overview*, and **must be no longer than 1 page**. It should be placed between the Table of Contents and the Project Narrative.

## Project Narrative (Scored)

The Project Narrative (Part V-1.3, Section A) of this RFA includes 12 questions that guide the applicant in describing its community youth substance use problems and plan to address them. If an applicant meets the Statutory Eligibility Requirements outlined in Part III of this RFA, the Project Narrative will be scored by a Peer Review panel. In developing the Project Narrative, use the instructions outlined below, which have been tailored to this program. **Applicants must use these instructions and NOT the Program Narrative instructions found in the Grant Application Package.**

- The Project Narrative (Part V-1.3, Section A of this RFA) should be **no longer than 30 pages. Applications with a Project Narrative that exceeds the 30-page limit will not be screened for Statutory Eligibility Requirements and will not go to Peer Review.**
- Restrictions related to font size and page margins found in Appendix B must be followed.
- Respond to each question individually, building each response on previous responses so all answers together tell a cohesive story of the community and coalition.
- **Retype the bold question only** directly above each response. Place all responses and required information under the correct question or they will not be scored. Applicants cannot direct Peer Reviewers to documents in the Attachments, as they are not scored. All pertinent information **must** be included in the Project Narrative for appropriate scoring.
- The Project Narrative will be scored according to how well the applicant addresses each question. Although score weights are not assigned to individual bullets, **each bullet will be assessed when determining the score for each question.** Applicants should feel free to provide information beyond the bullets within each question if it expands the coalition's ability to more effectively address the question. **If a coalition cannot answer a specific bullet, then the reason for this must be explained within the answer to the question.**
- Answers to each bullet must be explicitly stated in the application under the correct question. Do not anticipate that peer reviewers will draw conclusions or read between the lines. The application is scored on what is explicitly stated in the Project Narrative and Budget Narrative. Peer Reviewers do not score the Attachments.

## Budget Narrative (Scored)

In Part V-1.3, Section B of this RFA, provide a detailed Budget Narrative using the structure and format as that of the sample provided in Appendix A. The Budget and Budget Narrative should reflect what the coalition proposes to do in the Action Plan.

- The Budget Narrative must provide detailed information below each individual budget line item or category.
- There is no page limit for your Budget Narrative.

## **Sections C–I (Unscored)**

In Part V-1.4, Sections C, D, E, F, G, H, I, J, K, L and M, applicants must provide supporting documentation for various components of the application as Attachments. Please read each section carefully and provide all requested information in the appropriate Attachments.

Most of the supporting documentation provided for Sections C–K is used to determine whether an application meets the Statutory Eligibility Requirements. Although these sections are not directly scored by Peer Reviewers, they are critical to an application’s ability to move forward to Peer Review. It is extremely important to order and label these documents as indicated in Part IV-2.2 to make them easy to locate within the application.

### **1.2 Application Scoring Instructions**

Peer Reviewers will tally the points each applicant receives for each question to create a total score for Part V-1.3, Section A (scores will range from 0 to 90 points). The scoring mechanism for the DFC RFA is based on the traditional scoring system used in most schools today. In this system, a failing or unacceptable grade covers a large point range (typically 0-59). Similar to that system, the DFC definition of “Unacceptable” should be used when an applicant fails to meet the “Marginal” standard defined in this matrix.

Peer Reviewers will score the responses to questions 1, 2, 4, 5, 6, 8, and 12 in Part V-1.3, Section A of this RFA using a 5-point scale.

- 5 points: Answer is outstanding. The applicant organization explicitly addresses all bullets in the question by providing comprehensive descriptions and thorough details.
- 4 points: Answer is very good. The applicant organization explicitly addresses the majority of the bullets and provides significant descriptions and relevant details. However, at least one bullet does not include comprehensive and detailed information to completely answer the question.
- 3 points: Answer is acceptable. The applicant organization explicitly addresses some of the bullets and provides adequate descriptions and sufficient details. However, two or more bullets do not include comprehensive and detailed information to completely answer the question.
- 2 points: Answer is marginal. The applicant organization does not explicitly address the majority of the bullets. The applicant organization provides minimal details and insufficient descriptions that do not completely answer the question.
- 0 points: Answer is unacceptable. The applicant organization does not explicitly address the bullets, skipped or otherwise ignored this question. As a result, the answer is completely deficient in addressing the question.

- Questions 3, 7, 10, and 11 will be scored using a 10-point scale. 10-9 points: Answer is outstanding. The applicant organization explicitly addresses all bullets in the question by providing comprehensive descriptions and thorough details.
- 8 points: Answer is very good. The applicant organization explicitly addresses the majority of the bullets and provides significant descriptions and relevant details. However, at least one bullet does not include comprehensive and detailed information to completely answer the question.
- 7 points: Answer is acceptable. The applicant organization explicitly addresses some of the bullets and provides adequate descriptions and sufficient details. However, two or more bullets do not include comprehensive and detailed information to completely answer the question.
- 6 points: Answer is marginal. The applicant organization does not explicitly address the majority of the bullets. The applicant organization provides minimal details and insufficient descriptions that do not completely answer the question.
- 0 points: Answer is unacceptable. The applicant organization does not explicitly address the bullets, skipped or otherwise ignored this question. As a result, the answer is completely deficient in addressing the question.

Question 9, for which applicants will provide their one-year Action Plan, will be scored using a 15-point scale.

- 15-14 points: The Action Plan is outstanding. The Action Plan fully addresses both DFC goals of increasing collaboration and reducing youth substance use. The Action Plan provides objectives that coincide with problems identified in the data provided in Question 3 of the Project Narrative. The strategies and activities included will effectively address each objective. The Action Plan has a comprehensive approach and includes identifiable environmental prevention strategies.
- 13-12 points: The Action Plan is very good. The Action Plan does not do one of the following: (1) fully address both DFC goals of increasing collaboration and reducing youth substance use; (2) provide objectives that coincide with the problems identified in the data provided in Question 3 of the Project Narrative; (3) provide strategies and activities that will sufficiently address each objective; or (4) include some environmental prevention strategies.
- 11 points: The Action Plan is acceptable. The Action Plan does not do two of the following: (1) fully address both DFC goals of increasing collaboration and reducing youth substance use; (2) provide objectives that coincide with problems identified in the data provided in Question 3 of the Project Narrative; (3) provide strategies and activities

that will at least sufficiently address each objective; and/or (4) include some identifiable environmental prevention strategies.

- 10-9 points: The Action Plan is marginal. The Action Plan does not do three or more of the following: (1) fully address both DFC goals of increasing collaboration and reducing youth substance use; (2) provide objectives that coincide with problems identified in the data provided in Question 3 of the Project Narrative; (3) provide strategies and activities that will at least sufficiently address each objective; and/or (4) include some identifiable environmental prevention strategies.
- 0 points: The Action Plan is unacceptable. The applicant did not provide an Action Plan, skipped or otherwise ignored the question.

In scoring Part V-1.3, Section B, Peer Reviewers will determine whether items identified in the budget (Federal request and non-Federal match) align with the activities outlined in the Action Plan and the DFC Program priorities using a 10-point scale, bringing the total for the application to 100.

- 10-9 points: Answer is outstanding. Budget completely supports the objectives in the Action Plan; demonstrates outstanding support of the two primary goals of the DFC grant; and makes effective use of both Federal grant funds and required matching funds.
- 8 points: Answer is very good. Budget sufficiently supports the objectives in the Action Plan; demonstrates some support of the two primary goals of the DFC grant; and makes effective use of both Federal grant funds and required matching funds.
- 7 points: Answer is acceptable. Budget adequately supports the objectives in the Action Plan; demonstrates sufficient support of the two primary goals of the DFC grant; and makes effective use of both Federal grant funds and required matching funds.
- 6 points: Answer is marginal. Budget minimally supports the objectives in the Action Plan and demonstrates little support of the two primary goals of the DFC grant; and does not effectively make use of both Federal grant funds and required matching funds.
- 0 points: Answer is unacceptable. Budget does not support the objectives in the Action Plan and demonstrates no support of the two primary goals of the DFC grant; and does not make effective use of both Federal grant funds and required matching funds.

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

All applicants **must** provide a Community Overview (see below) and answer the 12 questions in the Project Narrative (Section A) found in the FY2012 DFC RFA. Make sure that you are responding to the correct RFA questions for FY2012 and not a previous RFA or an RFA for another program. Do not mix questions from previous DFC RFAs, as the RFAs do change each year. The questions that you submit for FY2012 should be the 12 questions in Section A below. **Failure to respond to the 12 questions in the FY2012 DFC RFA in the order they are listed in the RFA will result in an ineligible application and it will not be peer reviewed.**

#### Community Overview (Not Scored)

Include a brief overview of the community prior to providing responses to the scored questions in the Project Narrative (Part V-1.3, Section A). Type the heading **Community Overview**, then describe the community the applicant coalition intends to serve. **The Community Overview is not scored and does not count toward your 30-page limit. However, it can be no longer than one page in length.** This is the applicant's opportunity to educate Peer Reviewers about the community, enabling them to understand the context of the community for the purposes of scoring the Project Narrative.

- Describe the community, including demographics and aspects of diversity such as age, race, ethnicity, gender, socioeconomic status, culture, religion, and sexual orientation.
- Describe what it is like to live and work in the community.
- Provide an historical perspective focusing on significant shifts or events that have had an impact on substance use in the community.

#### Section A: Project Narrative (scored; maximum score: 90 points)

The following 12 questions enable applicants to tell the story of their current and future efforts to prevent youth substance use. Bolded questions are followed by bulleted items outlining the **required** components of each response. If an applicant does not have information to provide for a given bullet, indicate why in the response, rather than ignoring the bullet. Responses should be based on current and/or future planned processes. See *Application Scoring Instructions* in Section V-1.2 for scoring information. **Applicants are only required to type the bolded questions** followed by complete responses to each question. Applicants do **not** need to include the question categories in their applications and do **not** have to retype the bullets.

#### Coalition History and Current Community Status

1. **What is the coalition's history in terms of development and addressing youth substance use? (5 points) Responses must address and provide context for the following:**
  - History of the coalition (i.e., why the coalition started, initial community concern(s))
  - Explanation of when and how youth substance use prevention was included or added to the coalition's focus (i.e., community assessment efforts, accomplishments to date)

- Coalition’s evolution over time, including response to changing community situations (if any)
- 2. What are the coalition and community structures that support the processes necessary to address youth substance use? (5 points) Responses must address and provide context for the following:**
- Current structure of the coalition’s board, committees, and/or task forces
  - Current processes for decision-making related to the coalition’s efforts to reduce youth substance use (reflected in the Action Plan in question 9)
  - Current processes for financial decision-making by the coalition, to include input from grantee/legal applicant (if different from coalition)
  - Coordination with existing agencies, organizations, services and community leaders
  - Efforts to ensure volunteer leadership and execution of coalition strategies
- 3. What are the community’s youth substance use-related problems and the coalition’s prioritization of those problems? (10 points) Responses must address and provide context for the following:**
- Prevalence of use, including current core measures data, if available (i.e., past 30-day use, perception of risk or harm, perception of parental disapproval of use and perception of peer disapproval of use for alcohol, tobacco, marijuana and prescription drugs)
  - Social indicator data related to youth consequences of substance use (e.g., law enforcement data, juvenile justice data, school failure/disciplinary data, emergency room data)
  - Processes the coalition used to prioritize problems based on data and other information
  - Identified youth substance use prevention/reduction priorities; clearly identify at least two substances the coalition will address
- 4. What factors/local conditions contribute to or increase the community’s youth substance use-related problems? (5 points) Responses must address and provide context for the following:**
- Existing environmental conditions and/or policies and practices (e.g., increased accessibility and availability of substances, deficient licensing laws)
  - Community norms (e.g., denial, lack of readiness, parental approval, community climate)
  - Other community factors (e.g., geographic conditions, economic conditions)

**5. What resources are available in the community to address youth substance use and how will being awarded a DFC grant leverage available resources and fill in where there are gaps? (5 points) Responses must address and provide context for the following:**

- Human, social, fiscal and other types of capital (i.e., volunteers, community organizations/agencies, existing prevention programs/efforts, match dollars, in-kind donations) Training and/or technical assistance available to bolster the coalition
- Use of DFC funding and resources to increase community involvement in solving identified problem(s)
- Other community systems and structures that are impacted by or have an impact on youth substance use

**6. Up to this point, how has the coalition used the information collected to inform and mobilize the community and will that change if awarded a DFC grant? (5 points) Responses must address and provide context for the following:**

- Data analysis and process for selecting relevant data to share with the community
- Process for translating and packaging data for the community to understand local issues related to youth substance use
- Communication mechanisms (e.g., public forums, media channels, social media)
- How will the award of a DFC grant improve community knowledge and action

### **Coalition Functions**

**7. How does the coalition engage, recruit, and retain volunteers/partners, including the required 12 sector members? (10 points) Responses must address and provide context for the following:**

- Explain for each member of the 12 sectors listed in the Sector Table (Attachment 1) why he/she is the best representative to ensure successful implementation of the coalition's Action Plan
- Explain the recruitment and current engagement of other coalition members that also represent the 12 sectors and/or outside of the 12 sectors
- Recruitment and retention efforts to date and plans for future recruitment and retention, including those specific to youth involvement
- Current and future leadership development for coalition membership

**8. How will the coalition ensure cultural competence in its youth substance use prevention efforts? (5 points) Responses must address and provide context for the following:**

- Describe the community's diversity, including race, ethnicity, age, gender, socioeconomic status, sexual orientation, etc.

- Coalition’s efforts to recruit members that represent special populations within the community
- Degree to which coalition membership reflects the diversity of the community
- Training for coalition members on cultural/diversity issues
- Messages and materials for various community populations and implementation methods for reaching all populations

## Coalition Plans

### 9. What is the coalition’s plan for addressing youth substance use during the first 12 months of the DFC grant award? (15 points)

This question is answered only by completing Table 4. There is no other answer necessary for this question.

Provide the coalition’s Action Plan in table format (shown below) for the first year of funding (September 30, 2012 - September 29, 2013). Under DFC Goal One, include objectives, strategies, and activities that will strengthen the coalition’s internal capacity (e.g., leadership, management, board structure, recruitment, resource attainment), as well as increase overall community collaboration. Under DFC Goal Two, include objectives, strategies, and activities that will reduce youth substance use (e.g., policy changes, enforcement efforts, physical design changes, media advocacy). Please note:

- All objectives, strategies, and activities for which the coalition plans to use DFC funding (either Federal or match) must fall under these two goals.
- The Action Plan must include objectives, strategies, and activities that target at least two substances. The two (or more) substances must be named specifically in the Action Plan and should match the substances listed as priorities in Question 3. See *Table 2: Statutory Eligibility Requirements, Requirement 4* for specific guidance.

Environmental prevention strategies that match the problems identified and the substances addressed **must** be included in the Action Plan. For more information on environmental prevention strategies, see *Section I-3.2: Environmental Strategies* on page 3 of this RFA. The table should fall within the text of this section and will count toward the 30-page limit. **Only applicants who are mailing their applications can use Times New Roman, 10-point font inside the table and a landscape page orientation, if desired.** Applicants submitting an electronic application must adhere to the instructions provided in Appendix C, Guidance for Electronic Submission of Applications.

**Table 4: 12-Month Action Plan**

Cells in the following tables are intentionally left blank. Applicants **must** utilize this template to outline the coalition’s plans under the two DFC goals. Applicants should add as many objectives, strategies, and activities as necessary to clearly describe their 12-Month Action Plan.

**DFC Goal One: Increase community collaboration**

Objective 1: *List your specific objective.*

Strategy 1: *List your specific strategy.*

Activity	Who is responsible?	By when?

Strategy 2: *List your specific strategy.*

Activity	Who is responsible?	By when?

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

Objective 1: *List your specific objective.*

Strategy 1: *List your specific strategy.*

Activity	Who is responsible?	By when?

Strategy 2: *List your specific strategy.*

Activity	Who is responsible?	By when?

## Progress Measures

**10. How will the key staff (paid/unpaid) and volunteer leadership ensure the implementation of the activities in the Action Plan through shared work efforts? (10 points) Responses must address and provide context for the following:**

- Role of coalition members, key staff, and grantee/legal applicant (if applicable) in implementing the Action Plan
- Role of coalition members, key staff, and grantee/legal applicant (if applicable) in monitoring the Action Plan
- Identification of known barriers and challenges and the process to address them, including modifying the Action Plan
- Plan for keeping the community, including community leaders and other stakeholders, informed of progress toward implementation, adjustments and actions related to the Action Plan

**11. How will the coalition measure its impact in achieving the objectives provided in the Action Plan in the community? (10 points) Responses must address and provide context for the following:**

- Determination of data for substance use-related problems to be collected on an ongoing basis to measure the impact of the Action Plan on stated objectives
- Processes to be used to collect and analyze data (e.g., frequency of data collection, use of coalition members/partners in data collection and analysis)
- How data will be used to adjust/update/improve the Action Plan on an ongoing basis
- How and with what frequency will progress be communicated to the community at large

## Coalition Sustainability

**12. How will this community be different in five years as a result of activities led by the coalition? (5 points) Responses must address and provide context for the following:**

- Critical roles and functions of the coalition as a community convener
- Critical roles and functions of the coalition in creating community change
- Ensuring institutionalization of efforts
- Sustainability efforts to ensure that the activities of the coalition will be sustained over time
- Address coalition longevity and succession planning
- Ensuring human, social and fiscal capital (volunteer and partner engagement)

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

## **Section B: Budget Narrative (scored; maximum score: 10 points)**

In this section, applicants must provide a 12-month Budget Narrative to include budget details and justification for expenditures. The Budget Narrative must include a description of matching resources and other support that the coalition will receive. Applicants must use the template provided in Appendix A, including providing a narrative description for each budget category for both Federal requests and non-Federal match. **There is no page limit for the Budget Narrative.** See Application Scoring Instructions in Section I-1.2 for scoring information.

### **1.4 Supporting Documentation**

Please include the information for Sections C–M as Attachments to the application, unless otherwise specified. 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 end. **Do not label the requested information/documents as Sections C–M; label them as the Attachments indicated and include them in the application in the order requested in Part IV-2.2.** All attachment pages must be numbered. Applicants can hand-number pages if necessary.

## **Section C: Documentation for Statutory Eligibility Requirements**

The documents provided for evidence of Statutory Eligibility Requirements are outlined within Table 2 of this RFA. Attachments 1-8 and 16 are required as proof of compliance, as are Questions 2 and 9 of the Project Narrative.

## **Section D: Resumes and Job Descriptions**

**Applicants must include the following information as Attachment 9.** Include a resume (no longer than two pages) and a position description (no longer than one page) for the Program Director and Project Coordinator, and each additional key paid or in-kind position. If a person has been selected but not yet hired, include a letter of commitment from that individual along with a resume and position description. If no individual has been identified for a position, a position description is still required, along with an overview of the hiring plan.

Information on what should be included in resumes and position descriptions can be found in Appendix N.

## **Section E: General Applicant Information**

In this section, applicants must provide a response to the requests in the following table. **The table below must be included in the application as Attachment 10.**

**Table 5: General Applicant Information**

Request for Information	Response
1. Grant Applicant Name (Item 8 on <u>SF-424</u> )	
2. Coalition Name (if same as Grant Applicant Name, skip to question 3)	
3. Coalition Mailing Address, including Street, PO Box, City, State, and Zip Code	
4. Coalition Contact Person and Phone Number (may be the same as the Program Director or Project Coordinator) <b>Note:</b> <i>DFC grants may have two key personnel, the Program Director and Project Coordinator (see Appendix A, Budget Narrative, for definitions). For some grants, the Project Coordinator is not hired until the grant is received, so the Program Director (named on Part C of the Checklist found in the Grant Application Package) serves in this role until a Coordinator is hired. If a Coordinator has been hired, provide his/her information in items 5-10 below. If no information is provided, it will be assumed that the Program Director is currently filling this role.</i>	
5. Project Coordinator Name	
6. Project Coordinator Mailing Address, including Street, PO Box, City, State, and Zip Code	
7. Project Coordinator Phone Number	
8. Project Coordinator Fax Number	
9. Project Coordinator E-mail Address	
10. List the Federal Congressional Districts served by the coalition. You can find your Congressional District using your zip codes at the following website: <a href="http://www.house.gov">http://www.house.gov</a> . The Congressional Districts should be the same as the Congressional Districts listed on the Application for Federal Assistance and being served by the program.	
11. Geographical boundaries of the community served by the coalition (e.g., city, county, street intersections)	

Request for Information	Response
<p>12. List every individual zip code for the geographic area of the community to be served by the coalition, separated by commas, and clarify if only part of a zip code is being served (e.g., natural divides such as rivers or highways that bisect zip codes). The United States Postal Service website can be useful in identifying zip codes for your service area:  <a href="http://zip4.usps.com/zip4/welcome.jsp">http://zip4.usps.com/zip4/welcome.jsp</a>.</p>	
<p>13. Total population of the community served by the coalition</p>	
<p>14. Total number of students enrolled in grades six (6) through twelve (12) in the schools and/or districts that are within the coalition’s community (specified geographic area)</p>	
<p>15. Indicate whether the area(s) served by the coalition is “rural” or “urban” (see definitions in Appendix O). <b>Applicants must choose one response, not both.</b> If rural, respond with “The County of operation (XX County) has a population of 30,000 or fewer people”; if not primarily rural, respond with “n/a”.</p>	
<p>16. Indicate whether the area(s) served is designated as an Economically Disadvantaged Area (see definition in Appendix O) by responding with Yes or No.</p>	
<p>17. Does the coalition serve a federally recognized tribal area? Indicate Yes or No.</p>	
<p>18. Does the coalition have representation that includes at least one representative of the Bureau of Indian Affairs, the Indian Health Service, or a tribal government agency with expertise in the field of substance abuse? Indicate Yes or No.</p>	
<p>19. If applicable, provide the contact information for the proposed evaluator for the DFC grant (include name, phone number, and e-mail address)</p>	
<p>20. Is the applicant a religious or faith-based organization? Indicate Yes or No.</p>	
<p>21. Year the coalition was established</p>	
<p>22. Respond with Yes or No to indicate if the coalition has been officially mentored by a DFC-funded coalition through the DFC Mentoring Grant Program. If Yes, provide the Mentor Coalition name and DFC Mentoring Grant Number.</p>	
<p>23. Is the DUNS number used in the application registered and active in the CCR? Indicate Yes or No.</p>	

## **Section F: Organizational Chart**

**Include the coalition's Organizational Chart as Attachment 11 in your application.** The Organizational Chart should display the relationship between the coalition, its subcommittees, and the grantee/legal entity, as applicable.

## **Section G: Logic Model**

**Include the coalition's Logic Model as Attachment 12 in your application** in whatever format the coalition is currently using. A Logic Model is a visual depiction that shows how the coalition's goals, objectives, and local conditions link with activities and expected outcomes. A Logic Model can help with planning, implementing, and evaluating the coalition's efforts by providing a picture of the coalition's work. No specific template is required. If you need assistance with Logic Model development, contact CADCA's Technical Assistance Manager at 1-800-542-2322, ext. 240 or consult the CADCA Planning Primer at <http://www.cadca.org/files/PlanningPrimer-06-2009.pdf>.

## **Section H: Single State Agency Letter**

As **Attachment 13**, include a copy of the letter to the Single State Agency showing that the applicant has informed the SSA contact person that an application has been submitted for a DFC grant (see [Appendix M](#) for instructions).

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

As **Attachment 14**, include the site location(s) form, certifications, assurances, and disclosures noted in [Part IV-2.2](#) of this RFA.

## **Section J: Disclosure of Prior DFC Funding**

As **Attachment 15 of your application**, all applicants must include the information requested in [Appendix I](#) related to prior DFC funding for the legal applicant/grantee and applicant coalition for this RFA.

## **Section K: DFC National Cross-site Evaluation Requirements**

As **Attachment 16 of your application**, all applicants must include the information requested in [Appendix J](#) related to the ability to collect the data necessary to be in compliance with the DFC National Cross-site Evaluation.

## **Section L: Congressional Notification**

As **Attachment 17**, all applicants must include a Congressional Notification. This information will be utilized to provide 48 hours of notice to your Congressional Members should you receive DFC funding in FY2012. Use the template provided in [Appendix K](#), as requested, and include specific information pertaining to your grant application. The Project Description must not be more than 35 lines.

## **Section M: Checklists**

The next to last page within your application should be the Checklist found in the Grant Application Package (Note: The identified Business Official and Program Director should not be the same person). The final page of your application should be the checklist found in Appendix L, the Pre-Submission Verification Checklist. Ensure that you have included all documents listed in the application before submitting.

## **2. REVIEW AND SELECTION PROCESS**

Applications will be screened jointly by ONDCP and SAMHSA to determine whether applicants meet all eligibility requirements outlined in Part III of this RFA. Applications submitted by coalitions that meet all eligibility requirements will then be scored by a Peer Review panel according to the evaluation criteria described in Part V of this RFA.

All applications that proceed to Peer Review will be rated on a 100-point scale. Peer Reviewer ratings, and any resulting recommendations, are advisory. The primary decision criterion is the application's final Peer Review score. All final grant award decisions will be made by the Director of ONDCP. In the case of ties and consistent with the Drug Free Communities Act, ONDCP may give consideration to rural, American Indian/Alaska Native, and economically disadvantaged communities.

## **VI ADMINISTRATIVE INFORMATION**

### **1. AWARD NOTICES AND APPLICATION SUMMARY STATEMENTS**

By the end of August 2012, the list of awardees will be posted at <http://www.whitehouse.gov/ondcp/Drug-Free-Communities-Support-Program>. For all awardees, a Notice of Award (NoA) will then be mailed from SAMHSA's Office of Grants Management to the individual listed as the Business Official on the Application for Federal Assistance. The NoA is the sole obligating document that allows the grantee to receive Federal funding for work on the grant project.

By the end of October 2012, all applicants whose applications were sent to Peer Review will receive a letter from SAMHSA through postal mail and sent to the individual listed as the Business Official on the Application for Federal Assistance. This document contains the Peer Review score and summarized comments. If an application is not funded, the applicant may re-apply if there is another receipt date for the program.

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

- If your application is funded, you must comply with all terms and conditions of the grant award. The Drug Free Communities Support Program standard terms and conditions are available on the DFC website at <http://www.whitehouse.gov/ondcp/Drug-Free-Communities-Support-Program>.

- 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, visit SAMHSA’s website 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. Government Project Officers will consider the coalition’s progress in meeting goals and objectives, as well as challenges 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.whitehouse.gov/ondcp/information-for-current-grantees>.
- 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 package for SAMHSA grants and is posted on the SAMHSA website 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-4.2, you must comply with the following reporting requirements:

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

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

#### **3.2 Publications**

If you are funded under this grant program, you are required to notify the Government Project Officer 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 Government Project Officer and SAMHSA Publications Clearance Officer with advance copies of publications.
- Include acknowledgment of the ONDCP and SAMHSA grant program as the source of funding for the project.

- Include a disclaimer stating that the views and opinions contained in the publication do not necessarily reflect those of SAMHSA, the U.S. Department of Health and Human Services, or the Executive Office of the President, Office of National Drug Control Policy, and should not be construed as such.

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

## **VI CONTACTS FOR QUESTIONS RELATED TO THIS RFA**

If you have questions related to this RFA, use the following contacts for resolution. Your questions will be answered within 24-48 business hours. Please allow appropriate time for your question to be answered. Once the application deadline is reached, these numbers are no longer in use.

For questions about program issues contact:

DFC RFA Hotline Team  
Division of Community Programs  
(240) 276-1270  
[dfcnew2012@samhsa.hhs.gov](mailto:dfcnew2012@samhsa.hhs.gov)

For Federal forms and budget questions contact:

Virginia Simmons  
Division of Grants Management  
(240) 276-1422  
[virginia.simmons@samhsa.hhs.gov](mailto:virginia.simmons@samhsa.hhs.gov)

After the application is submitted and the application deadline has passed, applicants can contact Cynthia Riddick at 240-276-1199 or by e-mail at [Cynthia.Riddick@samhsa.hhs.gov](mailto:Cynthia.Riddick@samhsa.hhs.gov) for questions related to whether or not the application was received and/or went to Peer Review and for copies of score summary sheets completed through the Peer Review process.

## Appendix A – Sample Budget

(Includes Budget Terminology and Sample Budget Narrative)

Before developing a budget, applicants should review SAMHSA’s guidelines available at <http://www.samhsa.gov/grants/management.aspx> to determine cost sharing expectations and restrictions on the types of costs that may appear in the budget (see Part III-2 and Part IV-5 of this RFA).

### BUDGET PREPARATION

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 Terminology

**Allowability of Cost:** An allowable project cost is a cost that is:

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

**Cost Principles:** The cost principles address the following four tests in determining the allowability of costs:

1. Reasonableness - (including necessity). A cost is reasonable if 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.
2. 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.
3. Consistency - Regulations regarding cost assignment must be consistent for all work of the organization under similar circumstances, regardless of the source of funding, to avoid duplicate charges.

4. Conformance - 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 categorization as a direct cost or an indirect cost. The fact that a grant is awarded does not indicate a determination of allowability of all proposed costs.

**Key Personnel:** Individuals who contribute to the project in a substantive, measurable way, whether or not they receive salaries or other compensation under the grant (i.e., Program Director, Project Coordinator). **The Program Director and the Project Coordinator may be the same person.**

**Program Director:** An individual who provides daily oversight of the grant, including fiscal and personnel management, community relations, implementation, and evaluation. (Person listed in Part C of the Checklist found in the Grant Application Package)

**Project Coordinator:** An individual who coordinates the work of the coalition and DFC activities, including training, coalition communication, data collection, and information dissemination. The Project Coordinator will be listed on the DFC website if a grant is awarded. (Person listed in Part V-1.4, Section E)

**Level of Effort:** The direct time spent by an individual on DFC Program-related work. Across all projects/grants/positions, the level of effort for an individual may not exceed 100 percent.

**Direct Costs:** Costs that can be identified specifically with a particular award, project, program, service, or other organizational activity, or that can be directly assigned to an activity with a high degree of accuracy. Normally, direct costs include, but are not limited to, salaries, travel, equipment, and supplies directly benefiting the grant-supported project or program.

**Indirect Costs (if applicable):** Also known as “facilities and administrative costs”, indirect costs are costs that cannot be specifically identified with a particular project, program, or activity, but are necessary to the operation of the organization (i.e., overhead). Facilities operation and maintenance costs, depreciation, and administrative expenses are examples of costs that are usually treated as indirect costs. The organization must not include costs associated with its indirect rate as direct costs. Indirect costs require a negotiated indirect cost rate agreement. If indirect costs are claimed, an indirect cost rate agreement must be submitted with the application.

**Research indirect cost rates are not allowable and will not be accepted.** For more information on the establishment of indirect cost rate agreements, contact the Division of Cost Allocation (DCA). Regional contact information can be found at the following DCA website:  
<http://rates.psc.gov/fms/dca/orgmenu1.html>.

**Total Project Costs (Direct and Indirect):** The total allowable costs charged to the award during a budget period, whether paid by Federal funds or contributed to meet the matching requirement, and the value of any third-party in-kind contributions counted toward the recipient’s matching requirement.

**BUDGET EXPECTATIONS:**

- If an applicant has sufficient match to allow a budget request of the full \$125,000, the applicant should round up the final budget figures to equal \$125,000. **Applicants will not receive a higher score for requesting less than \$125,000.**
- Applicants are strongly encouraged to apply for the full \$125,000 for each of the four subsequent renewal years of funding in their budget forecast even if they are not able to apply for full funding in Year 1 due to insufficient match. **The amount requested in this original application for the four future years establishes the maximum amount that an applicant can receive in future years if awarded the grant.** Grantees are required to submit an annual budget request each year. The annual amount requested can be less than \$125,000 due to challenges such as insufficient match, but can never be greater than the amount indicated in this submission. Therefore, it is more advantageous to request the full \$125,000 for each out-year of funding.
- Review the Sample Budget Narrative to provide clear and specific breakout of cost for each cost category.
- Avoid conflict of interest within proposed contractual costs. See the definition of Conflict of Interest and examples below:

<b>Conflict of Interest</b>	<b>Examples</b>
<p>Federal regulations prohibit the appearance and existence of conflict of interest situations for employees, officials, and agents of the organization.</p> <p>Reference – 45 CFR 74.42 &amp; 43; 45 CFR 92.36; Part II-7 of the <i>HHS Grants Policy Statement</i>, issued January 1, 2007.</p>	<ul style="list-style-type: none"> <li>- An officer or employee has an interest in a company selected for a contract or consulting relationship, such as through their ownership, the ownership by a family member or through financial or other business ties (for example, sector members).</li> <li>- Nepotism - an employee is supervised by a family member under the federally sponsored project.</li> <li>- An individual is contracted to be a grant writer and/or provide input into the grant application. This individual is then written into the grant application to be an evaluator, program director, project coordinator, etc. for the applicant organization. This would violate the Federal competition rules because</li> </ul>

	<p>contractors involved with the writing or preparation of the application cannot compete for contracts under the grant.</p> <ul style="list-style-type: none"> <li>- Applicant, if awarded, will be required to alert to organizational conflicts of interest as well as noncompetitive practices among contractors that may restrict or eliminate competition.</li> </ul>
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- **IMPORTANT:** Provide Table 21 “Future Years Budget Summary” and Table 22 “Calculation of Future Budget Period” in the Budget Narrative submission.

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

Please use the format below for submitting a Budget Narrative for Part V-1.3, Section B.

**A. Personnel:** An employee of the applying agency whose work is tied to the application. Proposed salaries must be reasonable. Compensation paid for employees must be reasonable and consistent with that paid for similar work within the applicant’s organization and similar positions in the industry (see Appendix A for definition of reasonableness).

**Table 6: Federal Request**

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

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

**Table 7: Non-Federal Match**

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

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

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

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

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

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

**Table 8: Federal Request**

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

**NARRATIVE JUSTIFICATION:** Enter a description of the fringe matching funds provided and how the rate was determined.

**Table 9: Non-Federal Match**

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

Component	Rate	Wage	Cost
		<b>TOTAL</b>	<b>\$275</b>

**NARRATIVE JUSTIFICATION:** Enter a description of the fringe matching funds provided and how the rate was determined.

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

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

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

**C. Travel:** The lowest available commercial fares for coach or equivalent accommodations must be used. Note that Grantees will be expected to follow Federal travel policies found at <http://www.gsa.gov>.

**Table 10: Federal Request**

Purpose of Travel	Location	Item	Rate	Cost
New Grantee Meeting	Washington, DC	Airfare	\$300/flight x 2 persons	\$600
New Grantee Meeting	Washington, DC	Hotel	\$200/night x 2 persons x 4 nights	\$1,600
New Grantee Meeting	Washington, DC	Per Diem (meals)	\$64/day x 2 persons x 4 days	\$512
Coalition Academy Week 1	Ft. Indiantown Gap, PA (tentative site)	Airfare	\$200/flight x 2 persons	\$400
Coalition Academy Week 1	Ft. Indiantown Gap, PA	Car Rental	\$200/week, unlimited miles	\$200
Coalition Academy Week 2	Ft. Indiantown Gap, PA (tentative site)	Airfare	\$200/flight x 2 persons	\$400
Coalition Academy Week 2	Ft. Indiantown Gap, PA	Car Rental	\$200/week, unlimited miles	\$200
Coalition Academy Week 3	Ft. Indiantown Gap, PA (tentative site)	Airfare	\$200/flight x 2 persons	\$400
Coalition Academy Week 3	Ft. Indiantown Gap, PA	Car Rental	\$200/week, unlimited miles	\$200

Purpose of Travel	Location	Item	Rate	Cost
Local travel	County-wide	Mileage	3,000 miles@ \$0.50/mile	\$1,500
			<b>TOTAL</b>	<b>\$6,012</b>

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

The grant requires that two members attend the New Grantee Meeting in Washington, DC. Attendance at the National Coalition Academy is required of all Year 1 grantees. In addition to the required trainings, funds for local travel are needed to attend local meetings, project activities, and training events. Local travel rate should be based on agency's personally owned vehicle (POV) reimbursement rate, which should correspond with the GSA rate found at <http://www.gsa.gov>.

**Table 11: Non-Federal Justification**

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

**NARRATIVE JUSTIFICATION:** Enter a description of the travel matching funds provided and how their use will support the purpose and goals of this proposal. Describe how the matching funds will enhance the Federal budget request. Local travel rate should be based on agency's POV reimbursement rate, which should correspond with the GSA rate found at <http://www.gsa.gov>.

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

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

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

**D. Equipment:** Permanent equipment may be charged to the project only if the applicant can demonstrate that purchase will be less expensive than rental. Permanent equipment is defined as

nonexpendable personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more. If the applying agency defines “equipment” at a lower rate, then follow the applying agency’s policy.

**Table 12: Federal Request**

Item(s)	Rate	Cost
None	\$0	\$0
	<b>TOTAL</b>	<b>\$0</b>

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

**Table 13: Non-Federal Match**

Item(s)	Rate	Cost
None	\$0	\$0
	<b>TOTAL</b>	<b>\$0</b>

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

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

**FEDERAL REQUEST** (enter in Section B column 1 line 6e of form SF-424A): **\$3,674**

**NON-FEDERAL MATCH** (enter in Section B column 2 line 6e of form SF-424A): **\$1,348**

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

**Table 14: Federal Request**

Item(s)	Rate	Cost
General office supplies	\$50/mo. x 12 mo.	\$600
Postage	\$37/mo. x 8 mo.	\$296
Coalition promotional items	200 items @ \$1.39 each	\$278
Laptop computer	\$600	\$600
Printer	\$300	\$300

Item(s)	Rate	Cost
Projector	\$700	\$700
Copies	8000 copies x \$0.10/copy	\$800
Laptop Computer update	\$100	\$100
	<b>TOTAL</b>	<b>\$3,674</b>

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

**Table 15: Non-Federal Match**

Item(s)	Rate	Cost
General Office Supplies	\$50/mo. X 12 mo.	\$600
Computer	\$500	\$500
Postage	\$37/mo. x 4 mo.	\$148
Computer update (if needed)	\$100	\$100
	<b>TOTAL</b>	<b>\$1,348</b>

**NARRATIVE JUSTIFICATION:** Enter a description of the supplies match provided and how their use will support the purpose and goals of this proposal. Describe how the matching funds will enhance the Federal budget request. Please note that items such as computers, desks, and projection equipment may be counted as match only once throughout the life of the project.

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

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

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

**F. Contracts:** A contractual arrangement cost to carry out a portion of the programmatic effort by a third-party contractor or for the acquisition of goods or services under the grant. Such arrangements may be in the form of consortium agreements or contracts. If there is more than one contractor, each must be budgeted separately and must have an attached itemization. A consultant is a non-employee retained to provide advice and expertise in a specific program area for a fee. The Grantee must establish written procurement policies and procedures that are consistently applied. All procurement transactions are required to be conducted in a manner to provide to the maximum extent practical, open and free competition. The Grantee will be required to be alert to organizational conflicts of interest as well as noncompetitive practices among contractors that may restrict or eliminate competition or otherwise restrain trade.

**Table 16: Federal Request**

Name	Service or Products	Cost
To be selected	Environmental Strategy Consultation \$150/day x 35 days = \$5,250 Travel 380 miles @ \$0.50/mile = \$190	\$5,440
To be selected	Board and Committee Leadership Consultation \$300/trainer x 2 trainers x 10 days = \$6,000 \$100/hour for individual TA x 15 hours = \$1,500	\$7,500
To be selected	Evaluation Contractor \$200/hour x 50 hours to include collection of core measures, creation of evaluation report, coalition evaluation support (e.g., member survey), and activity evaluation support (e.g., pre/post survey development)	\$10,000
To be selected	Substance Abuse Training for Coalition Members Trainers: \$300/day x 4 days = \$1,200 Materials: approx. \$5/person x 25 people = \$125 Room Rental = \$75 Travel for Trainers: Flight \$300/person x 2 people = \$600 Per Diem: \$46/day x 4 days x 2 people = \$368	\$2,368
Local Police Department	Alcohol Compliance Checks (6 hours each) Officer Overtime: 6 officers @ \$50/hour x 6 checks @ \$300/check	\$1,800
To be selected	Responsible Server 3-Day Training Trainer: \$500/day	\$1,500
	<b>TOTAL</b>	<b>\$28,608</b>

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

**Table 17: Non-Federal Match**

Name	Product or Service	Cost
Coalition members	Participation in coalition activities outlined in Action Plan 18 members @ \$17.50/hr. x 10 hr./mo. (average) x 12 mo.	\$37,800
Local School District	Student Assistance Program – CIA demonstrates breakout of services	\$15,400

Name	Product or Service	Cost
Local Police Department	Alcohol Compliance Checks (1 hour each) Officer Overtime: 8 officers @ \$50/hour x 6 checks	\$2,400
Youth members	Alcohol Compliance Checks 8 youth @ \$50/youth x 6 checks = \$2400 16 parent chaperones x 6 checks x \$25/check = \$2,400	\$4,800
Media sponsorship	Local cable station agrees to run coalition promotion PSA an average of 5 times/week for 24 weeks 5 PSAs/week \$50/PSA x 24 weeks	\$6,000
	<b>TOTAL</b>	<b>\$66,400</b>

**NARRATIVE JUSTIFICATION:** Explain the need for each match contract agreement and how it will support the purpose and goals of this proposal. Describe how the matching funds will enhance the Federal budget request.

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

**FEDERAL REQUEST** (enter in Section B column 1 line 6f of form SF-424A): **\$28,608**

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

**G. Construction: NOT ALLOWED** - On the SF-424A, leave the following section blank:  
Section B columns 1& 2 line 6g.

**H. Other:**

Expenses not covered in any of the previous budget categories. \*If rent is requested (direct or indirect), provide the name of the owner(s) of the space/facility. If anyone related to the project owns the building which is less-than--arm’s length<sup>1</sup> arrangement, provide cost of ownership/use allowance calculations. Additionally, the lease and floor plan (including common areas) is required and must be submitted for all projects allocating rent costs.

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<sup>1</sup> “less-than-arms-length” lease is one under which one party to the lease agreement is able to control or substantially influence the actions of the other. Such leases include, but are not limited to those between a division of a non-profit organization, non-profit organization and a director, trustee, officer, or key employee of the non-profit organization or his immediate family, either directly or through corporations, trusts, or similar arrangements in which they hold a controlling interest)

**Table 18: Federal Request**

<b>Item</b>	<b>Rate</b>	<b>Cost</b>
Rent*	\$550/mo x 12 mo.	\$6,600
Telephone (landline)	\$100/mo. x 12 mo.	\$1,200
Student Surveys	\$1/survey x 4884	\$4,884
Brochures	\$0.89/brochure x 1500 brochures	\$1,335
Meth literature for merchants	Window Clings: 1,500 clings x \$2 each = \$3,000 Handouts: 3,000 copies x \$0.50 each = \$1,500	\$4,500
	<b>TOTAL</b>	<b>\$18,519</b>

**NARRATIVE JUSTIFICATION:** Explain the need for each item and how it will support the purpose and goals of this proposal. Break down costs into cost/unit (e.g., cost/square foot).

**Table 19: Federal Match**

<b>Item</b>	<b>Rate</b>	<b>Cost</b>
Space rental	Varies between \$75/event to over \$300/event	\$8,300
Mentoring Program	12 mentors x 10 hrs./mo. x \$17.50/hr. x 12 mo. CIA demonstrates breakout of services	\$25,200
Internet service	\$26/mo. x 12 mo.	\$312
Student surveys	\$1/survey x 1946 surveys	\$1,946
Printing	\$300/run x 6 runs	\$1,800
Transition program for youth & parents	1 person x \$25/hr. x 3 hrs = \$75 100 parent packets x \$3.50/packet = 350	\$425
Health Fair	Coordination and administration CIA demonstrates breakout of services	\$1,500
Physician/Health Provider diagnostic tools and training	Coordination and administration CIA demonstrates breakout of services	\$1,700
Drug Free Workplace Initiative	Coordination and administration CIA demonstrates breakout of services	\$3,000
Underage Drinking Initiative	Coordination and administration CIA demonstrates breakout of services	\$2,700
	<b>TOTAL</b>	<b>\$46,883</b>

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

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

**FEDERAL REQUEST** (enter in Section B column 1 line 6h of form SF-424A): **\$18,519**

**NON-FEDERAL MATCH** (enter in Section B column 2 line 6h of form SF-424A): **\$46,883**

**TOTAL DIRECT COSTS:**

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

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

**TOTAL INDIRECT COSTS<sup>2</sup>:**

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

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

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

**FEDERAL REQUEST** (enter in Section B column 1 line 6k of form SF-424A): **\$125,000**

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

**Table 20: Budget Summary**

Category	Federal Request	Non-Federal Match	Total
Personnel	\$52,765	\$1,338	\$54,103
Fringe	\$10,896	\$275	\$11,171
Travel	\$6,012	\$1,556	\$7,568
Equipment	\$0	\$0	\$0

<sup>2</sup> **Indirect costs can be claimed only if the applicant has a negotiated indirect cost rate agreement.** It is applied only to direct costs as allowed in the agreement. If claiming indirect costs, include a copy of the fully executed, negotiated, indirect cost agreement. For information on applying for an indirect cost rate, see “Indirect Costs” under Appendix A – Sample Budget.

<b>Category</b>	<b>Federal Request</b>	<b>Non-Federal Match</b>	<b>Total</b>
Supplies	\$3,674	\$1,348	\$5,022
Contractual	\$28,608	\$73,600	\$102,208
Other	\$18,519	\$46,883	\$65,402
<b>Total Direct Costs</b>	\$120,474	\$125,000	\$245,474
<b>Indirect Costs</b>	\$4,526	\$0	\$4,526
<b>Total Project Costs</b>	\$125,000	\$125,000	\$250,000

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.

**Table 21: Future Years Budget Summary (Enter “Total Costs” calculations from Table 22.)**

<b>Projected Future Years</b>	<b>Federal Request</b>	<b>Non-Federal Match</b>
Year 2 or 7 (select one)		
Year 3 or 8 (select one)		
Year 4 or 9 (select one)		
Year 5 or 10 (select one)		
<b>TOTAL (2-5 or 7-10)</b>		

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

**Table 22: Sample of Future Budget Periods**

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

Category	2nd Project Year Federal	2nd Project Year Match	3rd Project Year Federal	3rd Project Year Match	4th Project Year Federal	4th Project Year Match	5th Project Year Federal	5th Project Year Match
<b>Total Costs</b>	\$125,000	\$125,000	\$125,000	\$125,000	\$125,000	\$125,000	\$125,000	\$125,000

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

**NOTE:** The total Federal dollars (direct + indirect costs) requested for the second through the fifth 12-month budget periods are entered on SF-424A, Section E: Column (b) = Year 2; Column (c) = Year 3; Column (d) = Year 4; Column (e) = Year 5. The amounts entered onto SF-424A, Section E of the SF-424A is used to determine the maximum Federal funds a grantee may request in each of the project years. **Failure to complete this chart will mean that a funded application cannot receive funding in the remaining years of the 5-year funding cycle.**

**If a coalition is applying for a second 5-year funding cycle, see Part III-2 of this RFA for a breakdown of the required matching funds for each year.**

## Appendix B – Checklist for Formatting Requirements and Screenout Criteria for SAMHSA Grant Applications

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 will not be considered for funding.**

- Use the Grant Application Package: Application for Federal Assistance SF-424, Budget Form SF-424A (Non-Construction Programs), Checklist, Disclosure of Lobbying Activities, if applicable and the Project/Performance Site Location(s) form.
- You must be registered in the Central Contractor Registration (CCR) prior to submitting your application. The DUNS number used on your application must be registered and active in the CCR prior to submitting your application. If the CCR is not active prior to submission, the application will be screened out and will not be reviewed.
- Applications must be received by the application due date and time, as detailed in Part IV-3 of this grant announcement.
- Information provided must be sufficient for review.
- Text must be legible. Pages must be typed in black ink, single-spaced, using a font of Times New Roman 12, with all margins (left, right, top, bottom) at least one inch each. For applications submitted via hard copy, tables may be included using a font of Times New Roman 10 and may have a landscape orientation, if desired. For Project Narratives submitted electronically, see separate requirements in Part IV-3 and Appendix C of this RFA.
- The 30-page limit for the Project Narrative cannot be exceeded.
- Paper must be white paper and 8.5 inches by 11.0 inches in size.

**Note:** If the Project Narrative starts on page 5 and ends on page 35, it is 31 pages long, not 30 pages. **Applications that exceed the 30-page limit will be screened out.**

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 required application components should be submitted in the order described in Part IV-2.2 of this RFA.
- Pages should be typed single-spaced in black ink with one column per page. Pages should not have printing on both sides.

- Pages should be numbered consecutively from beginning to end, starting with the Table of Contents as page 1, so that information can be located easily during review of the application (hand write page numbers if necessary). The four pages of SF-424 and the two pages of the SF-424A 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. Hand numbering of pages is allowed.
- Send the original application and two copies to the mailing address provided in Part IV-3 of this RFA. Please do not use staples, paper clips, or fasteners. Nothing should be stapled, folded, or pasted. Do not use heavy or lightweight paper or any material that cannot be copied using automatic copying machines. Inserting a piece of colored paper between the original each of the two copies of the application is recommended. Odd-sized and oversized attachments such as posters will not be copied or sent to reviewers. Do not include brochures, PowerPoints, training handouts, 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 Catalogue 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 technical (IT) help:

- By e-mail: [support@Grants.gov](mailto: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. It can take 24 hours or more for updates to take effect, so check for active registration well before your grant deadline. Grants.gov will not accept your application if you do not have active CCR registration. The DUNS number you use on your application must be registered and active in the CCR. You can view your CCR registration status at <https://www.bpn.gov/CCRSearch/Search.aspx> and search by your organization's DUNS number. Additional information on the Central Contractor Registration (CCR) is available at <https://www.bpn.gov/ccr/default.aspx>. Be sure the person submitting your application is properly registered with Grants.gov as the Authorized Organization Representative (AOR) for the specific DUNS number cited on the SF-424 (face page). See the Organization Registration User Guide for details at the following Grants.gov link: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp).**

Please also allow sufficient time for entering your application into 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 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. Please note that it is incumbent on the applicant to monitor their application to ensure that it is 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 prepare your Project Narrative and other attached documents using Microsoft Office 2007 products (e.g., Microsoft Word 2007, Microsoft Excel 2007, etc.).** If you do not have access to Microsoft Office 2007 products, you may submit PDF files. Directions for creating PDF files can be found on the Grants.gov website. Use of file formats other than Microsoft Office 2007 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 of this announcement. 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 Times New Roman 12-point font, single space the documents, and all margins (left, right, top, and bottom) must be at least one inch. Adhering to these standards will help to ensure the accurate transmission of your document.
- Amount of space allowed for Project Narrative: The Project Narrative for an electronic submission may not exceed **15,450** words. If the Project Narrative for an electronic submission exceeds the word limit, the application will be screened out and will not be reviewed. To determine the number of words in your Project Narrative document in Microsoft Word, select file/properties/statistics.

**Keep the Project Narrative as a separate document. Please consolidate all other materials in your application to ensure the fewest possible number of attachments. Be sure to label each file according to its contents, e.g., “Attachments 1-3”, “Attachments 4-5.”**

With the exception of the standard forms in the application package, all pages in your application should be numbered consecutively. **Documents containing scanned images must also contain page numbers to continue the sequence.**

Applicants are strongly encouraged to submit their applications to Grants.gov early enough to resolve any unanticipated difficulties prior to the deadline.

**If an applicant chooses to use Grants.gov, a paper back up copy will not be accepted as the official submission and no part of the paper application can supplement what is submitted through Grants.gov.**

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

The coalition must include one member from each of the 12 required sectors (see list in the Sector Table Template in Table 23 below and Table 2: Statutory Eligibility, Requirement 1). For the purposes of the DFC eligibility criteria, an individual coalition member may **not** represent more than one of the 12 sectors. An application that provides more than one member per sector will **not** receive a higher score. If you have three members in one sector on your coalition, choose the one that best fits the sector for this application.

Each coalition must provide the name of one representative for each sector, the organization that person represents (if applicable), and his/her role in the organization. In addition, coalitions must demonstrate substantial participation from volunteer leaders by providing details in the “Specific Contribution to Coalition” column. The page number for the first page of the matching Coalition Involvement Agreement (CIA) (see Appendix E) should be provided in the last column of the Sector Table so it can easily be located during the Statutory Eligibility Screening process.

If someone other than the individual listed in the “Sector Member Name” column signs the CIA, the person listed in the “Sector Member Name” column must be identified in the CIA as the sector representative. For example, if the Chief of Police signs the CIA instead of an officer who is listed in the Sector Member Table as the sector representative, he/she must identify by name the sector representative listed.

**The next page is a template for the Sector Member Table. Information in the contribution column should focus on the specific duties of each individual. The provided format must be used.** Fill in the empty cells in the table and include the completed table in the application as Attachment 1.

**Table 23: Sector Member Table**

<b>Sector</b>	<b>Sector Member Name</b> <i>(first and last name)</i>	<b>Organization Name and Role in Organization</b> <i>(full name of organization and individual's role)</i>	<b>Specific Contribution to Coalition</b> <i>(describe active participation in coalition specific to the member)</i>	<b>Page Number for the First Page of Matching CIA</b> <i>(provide CIAs in same order as the names are listed in this table)</i>
Youth (an individual 18 or younger)				
Parent				
Business				
Media				
School				
Youth-Serving Organization				
Law Enforcement				
Religious or Fraternal Organization				
Civic or Volunteer Group				
Healthcare Professional				
State, Local, or Tribal Governmental Agency with Expertise in the Field of Substance Abuse				
Other Organization Involved in Reducing Substance Abuse				

## Appendix E – Coalition Involvement Agreement (CIA)

Applicants must include one CIA for each sector member, and all 12 required CIAs must be included in the application as Attachment 2. The following page provides a sample CIA for sector members. This document is not considered legally binding by the Government or the DFC Program, but instead allows an applicant to indicate compliance **with the required 12 sectors**. Applicants can tailor the agreement as needed, but **must include table below (Table 24) at the top of each CIA**. Each CIA must have two signatures: one for the sector member and one for the individual representing the coalition.

**Table 24: Sector Information (Must be at the top of every CIA)**

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

**The member listed on the CIA must match the name listed on the Sector Member Table** provided in Attachment 1. The CIA does **not** require a signature by a notary public. It is simply an agreement between the coalition and the sector member for active participation in the coalition’s work. By signing a CIA, an individual is affirming that he/she represents a specific sector within the coalition.

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

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

**Minimal CIA Requirements:**

- the name of the sector representative (individual person’s name)
- the agency/organization the individual is affiliated with, if applicable
- the sector he/she represents on the coalition (one person may only represent one sector)
- a detailed description of the individual’s role and contribution as a member of the coalition
- signed by the sector representative and countersigned by a coalition representative

**The following cannot serve as sector members: paid staff (current or proposed), or the person signing the CIA on behalf of the coalition (e.g., coalition chair).**

### **Sample Coalition Involvement Agreement (CIA)**

This is a sample CIA. Coalitions may use this in its original format or adjust it to meet the needs of the applicant coalition.

**Table 25: Sample Coalition Involvement Agreement**

The table below (Table 24) **must** be at the top of each CIA.

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

This agreement between *[Coalition Name]* and the *[Sector] Representative, [Sector Representative's Name]* shall be from *[Start Date]* until terminated by a mutual accord. This agreement will be reevaluated on a yearly basis.

*[Coalition Name]* will be held responsible to:

1. Create and follow by-laws and policies.
2. Formulate coalition goals and objectives.
3. Oversee operations of activities, programs, and paid staff.
4. Continue to increase new membership of the coalition.
5. Create and follow a strategic action plan.
6. Create a credible and relevant sustainability plan which includes volunteer membership and resources, both financial and material.
7. Respects the rights of *[Coalition Name]* members to hold their own opinions and beliefs.

The *[Sector] Representative, [Sector Representative's Name]* will be held responsible to:

8. Be a community leader amongst the represented sector.
9. Ensure clear communication between the sector represented and the coalition.
10. Act as a positive role model for youth, families, and peers.
11. Support the coalition's mission.
12. Attend coalition meetings which are held on a *[Frequency]* basis.
13. Participate in at least one subcommittee.
14. Attend coalition sponsored trainings, town hall meetings, and community events.
15. Contribute to the strategic planning process.
16. Participate in sustaining the coalition's capacity, involvement, and energy.
17. Participate in the DFC Workstation, a communication vehicle used by the DFC Federal partners to provide timely information to coalitions.
18. Prevent youth substance use through environmental strategies.

19. Provides the following services to be used as match, if applicable:

\_\_\_\_\_  
Coalition Representative's Name

\_\_\_\_\_  
Sector Representative's Name

\_\_\_\_\_  
Coalition Representative's Signature

\_\_\_\_\_  
Sector Representative's Signature

\_\_\_\_\_/\_\_\_\_/\_\_\_\_  
Title Date

\_\_\_\_\_/\_\_\_\_/\_\_\_\_  
Title Date

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

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

1. The Drug Free Communities Act of 1997 (Public Law 105-20) and its subsequent Reauthorization Acts (Public Law 107-82; and Public Law 109-469), authorize initial grant funding or renewal grant funding for coalitions that meet specific identified criteria. **It is the intent of Congress to fund the work of coalitions, not the work of service providing agencies, through this grant program.** It is the intent of the DFC Program that a coalition's volunteer leadership has a clearly defined management role in all financial decisions related to a DFC grant applied for on their behalf by a partnering organization.
2. In accordance with Part III, Eligibility Information of this RFA, a grant recipient must be a legal entity in order to receive Federal grant funds. If the coalition is not a legal entity eligible to receive Federal funds as described in Part III, then the coalition must partner with a recognized legal entity to represent the coalition in all legal issues concerning the grant award and receipt of Federal grant funds. For the purposes of the application, the eligible entity becomes the grantee and is the legal applicant and, if awarded, the recipient of grant funding (grantee) on behalf of the coalition.
3. Many DFC coalitions utilize a partnering organization (as previously described) to serve on their behalf in applying for the DFC grant. Often, a member organization of the coalition will serve this function as part of its contribution to the coalition's efforts. Fees or charges normally associated for this service can be counted as part of the match requirement if the partnering organization chooses to provide the service in-kind.
4. A partnering organization that agrees to become a grantee on behalf of a coalition extends its legal services and coverage to the coalition for the purposes of managing DFC grant funds. In this situation, if awarded a grant, the partnering organization (the grantee) is legally responsible for all matters concerning the grant.
5. Arrangements for grantee services should be treated as a business transaction. It is suggested that the grantee and coalition seek guidance from an attorney and/or accountant when entering into such an agreement. Both the grantee and coalition should be fully aware of and understand the commitment placed on the grantee through provision of this service.

A sample MOU is provided below and may be modified for further clarification of expectations and specific needs of the grantee, particularly related to its relationship with the coalition.

The agreement between a coalition and grantee should be carefully considered and fully understood prior to applying for the DFC grant. **A Memorandum of Understanding (MOU) between the coalition and the grantee is required to be included in the application as Attachment 5.**

## **Accounting Requirements**

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

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

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

Applicants that do not have adequate fiscal accounting processes to meet the needs of managing a Federal grant may use grant funds to contract services from an accounting firm or bookkeeper to provide the required fiscal accounting services. Coalitions are often able to have this service donated by a local accountant and consider this as part of their in-kind match.

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

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

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

### Sample MOU between a Coalition and a Grantee

- 1- This agreement between *[Coalition Name]* and *[Grantee Name]* shall be from *[Date]* until terminated by mutual agreement:

#### RESPONSIBILITIES

- 2- *[Coalition Name]* shall be responsible to:
  - a. Set policy for its own programs.
  - b. Formulate goals and objectives in compliance with DFC Terms and Conditions.
  - c. Oversee operation of the coalition's activities and programs.
  - d. **With *[Grantee Name]***, jointly select and direct *[Coalition Name]* staff and volunteers, set goals and objectives for contract employees, and negotiate and approve contracts.
  - e. Create, approve, and follow its budget in compliance with DFC requirements.
  - f. Provide to *[Grantee Name]* copies of all required documentation, such as grant proposals, by-laws, meeting minutes, goals and objectives, budgets, and personnel and program policies.
  - g. Reimburse *[Grantee Name]* for any indirect or direct expenses incurred by *[Grantee Name]* on behalf of *[Coalition Name]* with prior approval of *[Coalition Name]*.
  - h. Be solely responsible for liabilities arising out of its program and its interaction with program participants. *[Coalition Name]* specifically indemnifies *[Grantee Name]* against claims arising from actions of *[Coalition Name]*.
  - i. Maintain a physical mailing address (not a Post Office Box).
- 3- *[Grantee Name]* shall be responsible to:
  - a. Provide *[Coalition Name]* staff with office space.
  - b. Compile *[Coalition Name]* financial reports on a mutually agreed upon schedule.
  - c. Provide banking services, perform bookkeeping, prepare and distribute payroll, pay invoices, and prepare and submit the appropriate forms for employment taxes. Wages and payroll taxes due, along with approved invoices, shall be paid from *[Coalition Name]* funds.
  - d. With *[Coalition Name]*, jointly select and direct *[Coalition Name]* staff and volunteers, set goals and objectives for contract employees, and negotiate and approve contracts.

- e. Maintain all records pertaining to costs and expenses to properly reflect all direct costs of labor, materials, equipment, supplies, services, and other costs and expenses when reimbursement is claimed or payment is made.
- f. Maintain a nonprofit mailing permit which can be used by *[Coalition Name]*.
- g. Obtain Workman's Compensation Insurance coverage for *[Coalition Name]* employees.
- h. Obtain or continue current liability coverage for *[Grantee Name]* premises.

**EQUAL OPPORTUNITY**

4- *[Grantee Name]* and *[Coalition Name]* mutually agree to abide by all applicable Federal and State anti-discrimination statutes, regulations, policies, and procedures.

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

\_\_\_\_\_  
Coalition Representative's Name

\_\_\_\_\_  
Grantee Representative's Name

\_\_\_\_\_  
Coalition Representative's Signature

\_\_\_\_\_  
Grantee Representative's Signature

\_\_\_\_\_/\_\_\_\_/\_\_\_\_  
Title Date

\_\_\_\_\_/\_\_\_\_/\_\_\_\_  
Title Date

## **Appendix G – Applicant Assurance of No More than One DFC Grant**

As specified in Table 2: Statutory Eligibility, Requirement 10, this form indicates that, if funded, the grantee will not have more than one DFC grant during the funding period (FY2012-2016). (DFC Mentoring and STOP ACT grants are in a separate category and do not apply to this assurance.) Below, fill in the applicant's name, signature and the related information fields. **Include Appendix G as Attachment 7.**

### **Applicant Assurance of No More than One DFC Grant**

I attest that the organization that will serve as the official grantee, if awarded a DFC grant, \_\_\_\_\_, will be in receipt of only one DFC grant during FY 2012 through FY 2016.

\_\_\_\_\_  
Authorized Official's Name for the Grantee/Legal Applicant (print)

\_\_\_\_\_  
Authorized Official's Signature for the Grantee/Legal Applicant

\_\_\_\_\_  
Title

\_\_\_\_\_  
Organization/Agency

\_\_\_\_\_  
Date

# Appendix H – Applicant Assurance of Compliance with the End of Grant Policy

## (Congressional 10-Year Funding Limit Policy)

As specified in Table 2: Statutory Eligibility, Requirement 11, coalitions cannot receive more than 10 years of DFC funding. A signature on this form acknowledges that the applicant coalition (this does not pertain to a partnering agency serving as a grantee on behalf of the coalition) has not reached the maximum allotment of 10 years of DFC funding. **Once signed, this form must be attached. Include the completed, signed, and dated assurance in the application as Attachment 8.**

### End of Grant Policy (Congressional 10-Year Funding Limit Policy)

Under the DFC Act, coalitions may not receive DFC funding for more than 10 years. The funding limitation is intended to apply to all DFC, but not to the agencies serving as grantees on behalf of DFC funded coalitions. Receipt of DFC Mentoring Grant funds does not apply toward the 10 years of allowable DFC grant funding. Specific restrictions on DFC coalitions and grantee agencies are outlined below.

#### Agencies Serving as the DFC Grantee on Behalf of a Coalition:

1. An organization serving as grantee on behalf of a coalition may not receive DFC funds on behalf of the same coalition for more than 10 years. For example, if Grantee agency X has received DFC funds on behalf of Coalition Y for 10 years, Grantee X may no longer receive funds on behalf of Coalition Y. Additionally, Coalition Y may no longer receive any DFC funds (directly or through a different grantee agency).
2. An organization serving as the grantee agency on behalf of a coalition may receive DFC funds on behalf of only one coalition at a time.
3. An organization serving as grantee agency on behalf of a coalition may receive a DFC grant on behalf of a new “unique and distinct” coalition that meets the DFC Program criteria of having never before received DFC funding, even if that grantee agency has received DFC funds on behalf of a different coalition for 10 years. For example, if Grantee agency X received DFC funds on behalf of a Coalition Y for 10 years, it can receive DFC funds on behalf of Coalition Z (a coalition which has never before received a DFC grant and meets DFC program Statutory Eligibility Requirements listed in Table 2 of this RFA).
4. An organization serving as grantee agency on behalf of a coalition may receive a DFC grant on behalf of a coalition which has been funded through DFC in the past, so long as that coalition has not already received DFC funding for a total of 10 years. For example, if Coalition Y previously received four years of DFC funding and is eligible to receive six more, then Grantee agency X may receive funds on behalf of Coalition Y for up to six additional years.
5. A DFC grantee that is also its own coalition may receive up to 10 years of DFC funding. This applies to coalitions that are 501(c) (3) organizations and serve as their own grantees. **Under**

**all situations, a coalition may not be the beneficiary of more than 10 years DFC program funding.**

**Coalitions:**

1. A coalition that has received and/or been the beneficiary of 10 years of direct DFC funding is not eligible to receive additional funds through the DFC Program.
2. A coalition that has received 10 years of DFC funding through an outside agency serving as grantee on behalf of the coalition may not receive any additional DFC funding through a different grantee.
3. A coalition that has received 10 years of DFC funds through a series of outside organizations serving as grantees agencies on behalf of the coalition is not eligible to receive funds through the DFC Program, regardless of how long it has been served by a specific grantee. For example, if Coalition X received DFC funding through Grantee Y for six years, and Grantee Z for four years, Coalition X is no longer eligible to receive any DFC funds.
4. A coalition that proposes to serve a community (or any part of a community) that has already been served for 10 years by another DFC-funded coalition must demonstrate to the satisfaction of the DFC grant review officials and the final determination of the DFC Administrator that it is “unique and distinct” from the coalition that previously served the same community.

I attest that, \_\_\_\_\_ (Grantee and/or Coalition name), is in compliance with Compliance with the End of Grant Policy (Congressional 10-Year Funding Limit Policy). **I also attest that the information provided on this form is true and correct. Providing false or misleading information is unlawful and subject to criminal penalties, 18 USC1001.**

\_\_\_\_\_  
Authorized Official Name of the  
Grantee/Legal Applicant (Print)

\_\_\_\_\_  
Authorized Official Name of the  
Applicant Coalition (Print)

\_\_\_\_\_  
Authorized Official Signature of  
the Grantee/Legal Applicant

\_\_\_\_\_  
Authorized Official Signature of the  
Applicant Coalition

\_\_\_\_\_  
Title

\_\_\_\_\_  
Title

\_\_\_\_\_  
Organization/Agency

\_\_\_\_\_  
Organization/Agency

\_\_\_\_\_  
Date

\_\_\_\_\_  
Date

## Appendix I – Disclosure of All Prior DFC Funding

The information requested on this form must be provided by all applicants in its entirety. Do not include information about STOP Act or DFC Mentoring grants on this form. **This form must be signed and included as Attachment 15 in your application.**

Indicate the status of the Grantee/Legal Applicant and/or the applicant coalition for this application:
<input type="checkbox"/> COALITION HAS HAD <u>NO PRIOR</u> DFC FUNDING
<input type="checkbox"/> COALITION <u>FORMERLY FUNDED THROUGH DFC</u> (NOT MENTORING PROGRAM)
<input type="checkbox"/> <u>NOT CERTAIN IF COALITION HAS RECEIVED PRIOR FUNDING</u>
<input type="checkbox"/> GRANTEE/ APPLICANT HAS HAD <u>NO PRIOR</u> DFC FUNDING
<input type="checkbox"/> GRANTEE/ APPLICANT <u>FORMERLY FUNDED THROUGH DFC</u> (NOT MENTORING PROGRAM)

List all of the DFC funding received or expended by either the Grantee/Legal Applicant and/or the applicant coalition. For example, if the applicant previously received DFC funding as a member of a coalition unrelated to the coalition currently applying for funding, that information must be entered below. Include the following elements for as many DFC grants as applicable:

**Table 26: Disclosure of All Prior DFC Funding**

*Note: Add as many rows as needed to include all required information for all prior DFC funding associated with the Grantee / Legal Applicant and Applicant Coalition for this application.*

Fiscal Year of Funding	DFC Grant Award Number(s) (for current and all previous years, as applicable)	Grantee/Legal Applicant Name	Coalition Name	Names of Paid Staff

By signing below, I attest that \_\_\_\_\_ (Coalition name) is applying for Year \_\_\_ of DFC funding. I also attest that the information provided in the above chart is true and correct. Providing false or misleading information is unlawful and subject to criminal penalties, 18 USC1001.

\_\_\_\_\_  
Authorized Official Name of the  
Grantee/Legal Applicant (Print)

\_\_\_\_\_  
Authorized Official Name of the  
Applicant Coalition (Print)

\_\_\_\_\_  
Authorized Official Signature of  
the Grantee/Legal Applicant

\_\_\_\_\_  
Authorized Official Signature of the  
Applicant Coalition

\_\_\_\_\_  
Title

\_\_\_\_\_  
Title

\_\_\_\_\_  
Organization/Agency

\_\_\_\_\_  
Organization/Agency

\_\_\_\_\_  
Date

\_\_\_\_\_  
Date

## Appendix J – DFC National Cross-Site Evaluation Requirements

As stated in Table 2: Statutory Eligibility Requirements, Requirement 5, the coalition must establish a system to measure and report outcomes, established and approved by the DFC Administrator, to the Federal Government. In order to provide evidence that the applicant coalition meets this requirement, **the information below must be supplied and this form must be included as Attachment 16 of your application.**

The DFC Program collects four specific measures (core measures) to determine the effectiveness of the DFC Program. The core measures are:

1. Past 30-day use
2. Perception of risk or harm of use
3. Perception of parental disapproval of use
4. Perception of peer disapproval of use

Each of the above core measures must be collected every two years, in three grades (6<sup>th</sup>-12) on four substances (alcohol, tobacco, marijuana, and prescription drugs). Grantees are allowed to collect other data as they see fit to meet their local and coalition evaluation needs.

Provide the following information to indicate the applicant coalition’s ability to meet the DFC National Cross-Site Evaluation requirements:

**Table 27: DFC National Cross-Site Evaluation Requirements**

Question	Answer
1. Name of the survey(s) used to collect data required to obtain the core measures: <ul style="list-style-type: none"> <li>• Past 30-day use</li> <li>• Perception of risk or harm of use</li> <li>• Perception of parental disapproval of use</li> <li>• Perception of peer disapproval of use</li> </ul>	
2. How often/when will the survey(s) be administered and collected?	
3. What, if any, supplemental survey(s) and/or data will be used to meet the DFC National Cross-Site Evaluation requirements?	

**Additional Information:**

**When was the data collected in Question 3 of the Project Narrative collected?** \_\_\_\_\_

## Appendix K – Sample Congressional Notification

Use this template only for the Congressional Notification. The Project Description must not be more than 35 lines. This information will be shared with members of Congress and the media, and may be posted to the DFC website, if the application is funded. **Applicants must follow the exact format below and include the completed Congressional Notification as Attachment 17.**

Grant Award # SP0\_\_\_\_\_ (if applicable)

Coalition Name:

Grantee Name:

Coalition Community:

Grantee Contact Name:

Grantee Contact Mailing Address:

Grantee Contact E-Mail Address:

Grantee Contact Phone/Fax Number:

Coalition Contact Name:

Coalition Contact Mailing Address:

Coalition Contact E-Mail Address:

Coalition Phone/Fax Number:

[Coalition Name]

[State]

Serving Congressional District(s) [\_\_]

### Project Description

The [Coalition Name] was awarded a \$ [\_\_\_\_] Drug Free Communities Support Program FY 2012 grant by the White House Office of National Drug Control Policy (ONDCP) and the Substance Abuse and Mental Health Services Administration (SAMHSA). The Coalition serves [Community/Town], [State], a [urban/rural] area with a population of [\_\_\_\_\_].

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

The coalition will achieve its goals by implementing these strategies [provide a one-sentence description of each strategy that the coalition will implement below; include as many as needed]:

(1)

(2)

## Appendix L – Pre-Submission Verification

Use the checklist below to ensure that the application meets all submission requirements. Please place an “X” beside each item that has been completed. Include the completed verification as the last page of the application. Note: This checklist is not the same as the required Checklist found in the Grant Application Package. You must include both checklists.

**Table 28: Pre-Submission Verification**

Items to Complete	“X” if Completed
Did you complete and sign the Application for Federal Assistance (SF-424)?	
Did you complete Sections B, C, and E of the Non-Construction Budget Worksheet (SF-424A)?	
Did you include a Table of Contents on which the page numbering starts?	
Did you include a Community Overview after the Table of Contents?	
Is your Project Narrative (Part V-1.3, Section A) no longer than 30 pages?	
Does your Project Narrative address all 12 questions?	
Does the Action Plan (Question 9) specify at least two targeted substances (each must be specifically named) and address both DFC goals?	
Is a one-year Budget Narrative and future years funding table (Part V-1.3, Section B) included?	
Did you include a lease agreement and floor plan for proposed cost for Rent (Part V-1.3, Section B), if applicable?	
Did you include an Indirect Cost Rate Agreement for proposed indirect cost (Part V-1.3, Section B), if applicable?	
Did you demonstrate that your coalition will meet the matching fund requirements (Part V-1.3, Section B, SF-424, and SF-424A)?	
Did you meet all Statutory Eligibility Requirements (see Part III-1 of this RFA)?	
In Attachment 1, did you list all 12 community sectors?	
In Attachment 2, did you include one CIA from each person listed in the Sector Member Table (see Appendix E; including Table 24 on each CIA)?	
In Attachment 3, did you provide two sets of meeting minutes from the specified timeframes?	
In Attachment 4, did you include the coalition’s Mission Statement?	

Items to Complete	“X” if Completed
In <u>Attachment 5</u> , did you include an MOU between the coalition and the grantee/legal entity or a statement that the coalition is legally eligible to receive a grant (see <u>Appendix F</u> )?	
In <u>Attachment 6</u> , if applicable, did you include Letter(s) of Mutual Cooperation, with other coalition(s) that are serving a same zip code or partial zip code area as the applicant coalition?	
In <u>Attachment 7</u> , did you include the Applicant Assurance of No More than One Grant?	
In <u>Attachment 8</u> , did you include Applicant Assurance of Compliance with the End of Grant Policy (Congressional 10-Year Funding Limit Policy) (see <u>Appendix H</u> )?	
In <u>Attachment 9</u> , did you include the required resumes and job descriptions?	
In <u>Attachment 10</u> , did you include the completed General Applicant Information Table in <u>Part V-1.4, Section E</u> of RFA?	
In <u>Attachment 11</u> , did you include the coalition’s Organizational Chart?	
In <u>Attachment 12</u> , did you include the Logic Model?	
In <u>Attachment 13</u> , did you include a copy of the letter to the SSA?	
In <u>Attachment 14</u> , did you include all required forms, certifications, disclosures, and assurances?	
In <u>Attachment 15</u> , did you include the Disclosure of All Prior DFC Funding?	
In <u>Attachment 16</u> , did you include the DFC National Cross-site Evaluation Requirements?	
In <u>Attachment 17</u> , did you include the Congressional Notification?	
Did you include the Checklist found in the Grant Application Package as the next-to-last page of the application?	
Is this completed Pre-Submission Verification ( <u>Appendix L</u> ) the last page of the application?	

## **Appendix M – Intergovernmental Review (E.O. 12373) 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 package and can be downloaded from the Office of Management and Budget (OMB) website at [http://www.whitehouse.gov/omb/grants\\_spoc](http://www.whitehouse.gov/omb/grants_spoc).

- Check the list to determine whether your State participates in this program. You do not need to do this if you are an American Indian/Alaska Native Tribe or tribal organization.
- If your State participates, contact your SPOC as early as possible to alert him/her to the prospective application(s) and to receive any necessary instructions on the State's review process.
- For proposed projects serving more than one State, you are advised to contact the SPOC of each affiliated State.
- The SPOC should send any State review process recommendations to the following address within 60 days of the application deadline. For United States Postal Service: Diane Abate, Director of Grant Review, Office of Financial Resources, Substance Abuse and Mental Health Services Administration, Room 3-1044, 1 Choke Cherry Road, Rockville, MD 20857. ATTN: SPOC – Funding Announcement No. SP-12-001. 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)<sup>3</sup> to the head(s) of appropriate State and local health agencies in the area(s) to be affected no later than the application deadline. The PHSIS is intended to keep State and local health officials informed of proposed health services grant applications submitted by community-based, non-governmental organizations within their jurisdictions. If you are a State, local government, American Indian/Alaska Native Tribe, or tribal organization, you are not subject to these requirements.

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<sup>3</sup> Approved by OMB under control no. 0920-0428; Public reporting burden for the Public Health System Reporting Requirement is estimated to average 10 minutes per response, including the time for copying the face page of SF-424 and the abstract and preparing the letter for mailing. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. The OMB control number for this project is 0920-0428. Send comments regarding this burden to CDC Clearance Officer, 1600 Clifton Road, MS D-24, Atlanta, GA 30333, ATTN: PRA (0920-0428).

The PHSIS consists of the following information:

- a copy of the face page of the application (SF-424); 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 website at <http://www.samhsa.gov>. A listing of the SSAs for mental health can be found on SAMHSA's website at <http://mentalhealth.samhsa.gov/publications/allpubs/SMA01-3509/page4.asp>. 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 **Attachment 13, "Letter to the SSA."** The letter must notify the State that, if it wishes to comment on the proposal, its comments should be sent no later than 60 days after the application deadline to the following address. **For United States Postal Service:** Diane Abbate, Director of Grant Review, Office of Financial Resources, Substance Abuse and Mental Health Services Administration, Room 3-1044, 1 Choke Cherry Road, Rockville, MD **20857**. ATTN: SSA – Funding Announcement No. SP-12-001. 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.

## **Appendix N – Biographical Sketches and Job Descriptions**

### **Biographical Sketch**

Existing curricula vitae of project staff members may be used if they are updated and contain all items of information requested below. You may add any information items listed below to complete existing documents. For development of new curricula vitae include items below in the most suitable format:

1. Name of staff member
2. Educational background: school(s), location, dates attended, degrees earned (specify year), major field of study
3. Professional experience
4. Honors received and dates
5. Recent relevant publications
6. Other sources of support [Other support is defined as all funds or resources, whether Federal, non-federal, or institutional, available to the Project Director/Program Director (and other key personnel named in the application) in direct support of their activities through grants, cooperative agreements, contracts, fellowships, gifts, prizes, and other means.]

### **Job Description**

1. Title of position
2. Description of duties and responsibilities
3. Qualifications for position
4. Supervisory relationships
5. Skills and knowledge required
6. Personal qualities
7. Amount of travel and any other special conditions or requirements
8. Salary range
9. Hours per day or week

## Appendix O – Glossary of Terms

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

**Activities:** Efforts conducted to achieve identified objectives. A number of activities may be needed to achieve each objective. Example: Conduct three responsible beverage server trainings with 15 businesses represented at each training.

**Assessment:** The collection of data to define problems within a geographic area. An assessment identifies, analyzes, and depicts the nature and extent of youth drug use in a community.

**Authorized Representative/Official:** The person authorized to sign the grant application as the official representative of the applicant organization who has the fiduciary authority 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.

**Business Official:** The individual responsible for the financial aspects of the grant (i.e. Authorized Representative/Official, Accountant, Bookkeeper).

**Capacity:** The mobilization of resources within a community, including efforts to engage community stakeholders, recruit and sustain the commitment of coalition members, and build prevention-related knowledge among coalition members and within the community.

**Coalition:** A formal arrangement for cooperation and collaboration among 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.

**Coalition Involvement Agreement (CIA):** An agreement between the coalition and each of its 12 sector members that establishes the minimum acceptable contribution to be considered an active coalition member. It is not considered a legally binding document for the purposes of this RFA. It is only to allow a coalition to demonstrate compliance with the 12 required sectors.

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

**Community-Level Change:** Change that occurs within the overall population of the 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.

**Data:** The quantitative and qualitative facts that describe community conditions. Quantitative data are expressed numerically (e.g., past 30-day use of alcohol by youth). Qualitative data are expressed via narrative (e.g., results from focus groups).

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

**Environmental Strategies:** Strategies that incorporate prevention efforts aimed at changing or influencing community conditions, standards, institutions, structures, systems, and policies. These 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.

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

**Goal:** A broad statement of what the coalition intends to accomplish. Example: Reduce youth substance use.

**Grantee:** The recipient of grant funds. For the purposes of this RFA, it is either a coalition that is a legally eligible entity (to receive Federal funds) or a partnering agency that has agreed to be the legal applicant on behalf of a coalition and serve as the grantee if awarded.

**Implementation:** Taking action guided by a strategic/action plan. Progress toward achieving objectives related to the goal of reducing youth substance use 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. Objectives should be expressed in specific, measurable terms. Example: By 10/30/16, decrease the percentage of alcohol sales to minors by 10 percent as measured by the rate of failed compliance checks (currently 25%).

**Outcome:** Measures used to determine what has been accomplished, including changes in approaches, policies, and practices as a result of the work of the coalition. An outcome measures change as a result of a coalition's efforts.

**Resources:** Anything that can be used to improve the quality of community life.

**Rural:** According to the Drug-Free Communities Act of 1997, rural is defined as a county with a population that does not exceed 30,000 individuals.

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

**Strategy:** The overarching approach of how the coalition will achieve intended results. Example: Increase enforcement of laws prohibiting the sale of alcohol to minors through compliance checks.

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

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

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