

Department of Health and Human Services

Substance Abuse and Mental Health Services
Administration

Drug Free Communities Support Program
(Initial Announcement)

Request for Applications (RFA) No. SP-11-002

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

Key Dates:

Application Deadline	Applications are due by March 18, 2011
Intergovernmental Review (E.O. 12372)	Applicants must comply with E.O. 12372 if their State(s) participates. Review process recommendations from the State Single Point of Contact (SPOC) are due no later than 60 days after application deadline.
Public Health System Impact Statement (PHSIS)/Single State Agency Coordination	Applicants must send the PHSIS to appropriate State and local health agencies by application deadline. Comments from Single State Agency are due no later than 60 days after application deadline.

Table of Contents

EXECUTIVE SUMMARY	4
I. FUNDING OPPORTUNITY DESCRIPTION.....	5
1. INTRODUCTION	5
2. PRE-APPLICATION WORKSHOPS	5
3. ABOUT DFC GRANTEES	6
4. EXPECTATIONS.....	8
II. AWARD INFORMATION.....	10
III. ELIGIBILITY INFORMATION	11
1. ELIGIBLE APPLICANTS	11
2. COST SHARING and MATCH REQUIREMENTS	22
3. OTHER	23
IV. APPLICATION AND SUBMISSION INFORMATION	23
1. ADDRESS TO REQUEST APPLICATION PACKAGE.....	23
2. CONTENT AND GRANT APPLICATION SUBMISSION	24
3. APPLICATION SUBMISSION REQUIREMENTS	26
4. INTERGOVERNMENTAL REVIEW (E.O. 12372) REQUIREMENTS	27
5. FUNDING LIMITATIONS/RESTRICTIONS	28
V. APPLICATION REVIEW INFORMATION.....	28
1. EVALUATION CRITERIA	28
2. REVIEW AND SELECTION PROCESS	41
VI. ADMINISTRATIVE INFORMATION	41
1. AWARD NOTICES AND APPLICATION SUMMARY STATEMENTS	41
2. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS.....	41
3. REPORTING REQUIREMENTS	42
VII. CONTACTS FOR QUESTIONS RELATED TO THIS RFA.....	43

Appendix A – Sample Budget.....	44
Appendix B – Checklist for Formatting Requirements and Screenout Criteria for SAMHSA Grant Applications	59
Appendix C – Guidance for Electronic Submission of Applications	61
Appendix D – Coalition Roles and Relationship to Sector Members	63
Appendix E – Coalition Involvement Agreement (CIA)	65
Appendix F – Grantee Roles and Relationship to a Coalition	67
Appendix G – Applicant Assurance of No More than One DFC Grant	71
Appendix H – Applicant Assurance of Compliance with the End of Grant Policy ..	72
Appendix I – Disclosure of All Prior DFC Funding	74
Appendix J – DFC National Cross-Site Evaluation Requirements	75
Appendix K – Sample Congressional Notification.....	76
Appendix L – Pre-Submission Verification.....	77
Appendix M – Intergovernmental Review (E.O. 12373) Requirements	79
Appendix N – Glossary of Terms	81

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) 2011 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.

Funding Opportunity Title: Drug Free Communities Support Program

Funding Opportunity Number: SP-11-002

Due Date for Applications: March 18, 2011

Anticipated Total Available Funding: \$9.35 million

Estimated Number of Awards: 75

Estimated Award Amount: Up to \$125,000 per year

As of the release of this RFA, the FY2011 Federal Budget is still pending before Congress, therefore projections for available funding and for the number of potential awards are based on a \$95M appropriation (the 2010 level for the program) and are subject to change based on passage of the final FY2011 Federal Budget.

Cost Sharing/Match Required Yes
[See [Part III-2](#) of this RFA for cost sharing/match requirements.]

Length of Project Period: Up to 5 years

Eligible Applicants: The application can only be submitted to support a community-based coalition addressing youth substance use that meets all Statutory Eligibility Requirements. See [Part III-1](#) 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) 2011 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 2020-40.

Since 1998, ONDCP has awarded approximately 1,750 DFC grants, with an estimated 75 new awards expected in FY 2011. Grants have been awarded to communities from every region in the nation and include rural, urban, suburban, and tribal communities. Additional grantee information is available on the DFC website at <http://www.whitehousedrugpolicy.gov/dfc>.

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:

San Diego, CA*
New Orleans, LA
National Harbor, MD*

Tuesday, February 1, 2011
Thursday, February 3, 2011
Friday, February 11, 2011 (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. More information about the workshops, including a link for attendee registration, can be found at <http://www.whitehousedrugpolicy.gov/dfc>. If an applicant does not find travel to a live workshop feasible, a recorded workshop will be posted to the DFC website by the end of January 2011.

*Sessions specific to tribal communities will be offered at the San Diego, CA and National Harbor, MD sites.

3. ABOUT DFC GRANTEES

3.1 Coalitions and the DFC Program's Focus

The primary focus of the DFC Program is to strengthen collaboration among community entities to reduce substance use among youth. Grants awarded through the 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
Enhance Access/Reduce Barriers	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.
Reduce Access/Enhance Barriers	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).
Change Consequences (Incentives/Disincentives)	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).
Physical Design	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). Note: DFC Federal funds cannot support landscape and lighting projects. As such, costs for these projects cannot be used as match.
Modify/Change Policies	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). Note: 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. 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

In order to increase the likelihood of the results described above, a coalition must clearly 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, shape, 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, applicants should be mindful of the fact that 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 system of policies, skills, and attitudes that enable a coalition to effectively respond to differences in cultural beliefs, behaviors, and communication styles. Applicants must address cultural issues in their applications in terms of the design and implementation of the Action Plan and the coalition's organizational structure. For prevention efforts to be truly effective, diverse representation is needed early in the planning process, as well as throughout the implementation of the Action Plan. More information on coalition cultural competence can be found at 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 Act of 1993 ([P.L.103-62](#), or GPRA) requires all Federal agencies to collect and report specified data. **As part of the government's GPRA guidelines, all DFC grantees are required to provide data on the following core measures for alcohol, tobacco and marijuana:**

- Past 30-day use
- Age of onset of drug use
- Perception of risk or harm
- Perception of parental 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.** Year 1 grantees will 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.

If funded, each grantee is required to submit a Data Collection Plan to the SAMHSA/CSAP 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. Please note, a new DFC National Cross-Site Evaluation contract was recently awarded, so grantees should anticipate changes in the data collection and reporting processes. Grantees should report the measures listed in [Part I-4.2](#) of this RFA until further direction is given by ONDCP and SAMHSA/CSAP. **Applicants will 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, 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). Lodging and meals, dependent upon location, may be provided. Should your coalition be awarded the DFC grant, two people from the coalition are required to attend the NCA (one person must be the same all three weeks and should be the person in charge of daily operations of the coalition; the second person can vary each week). There are several locations across the 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. 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 is submitted to the Government Project Officer **within 60 days of the start of the funding Years 3 and 7.**

II. AWARD INFORMATION

Proposed budgets cannot exceed \$125,000 in total costs (direct and indirect) in any year of the proposed project. Approximately \$9.35 million for 75 FY 2011 DFC grants will be awarded through this RFA. As of the release of this RFA, the FY2011 Federal Budget is still pending before Congress; therefore projections for available funding and for the number of potential awards are based on a \$95M appropriation (the 2010 level for the program) and are subject to change based on passage of the final FY2011 Federal Budget.

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, 2011–September 29, 2012). 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 funding or believe that they may have received 10 years of DFC funding should refer to the End of Grant Policy (Congressional 10-Year Funding Limit Policy) outlined in [Appendix 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 organization 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. “Where to Document” section in the following table tell 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

Eligibility Requirement Item:	Evidence Required and Where to Document
Requirement 1: 12 Sectors	Evidence Required:
The coalition must consist of one or more representatives from each of the following required 12 sectors: • Youth (18 or younger) • Parent • Business • Media • School • Youth-serving organization • Law enforcement • Religious/Fraternal organization • Civic/Volunteer groups (i.e., local organizations committed to volunteering, not a coalition member designated as a “volunteer”) • Healthcare professional • 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) • Other organization involved in reducing substance abuse <i>(21 USC 1531 §1032 (a)(2)(A))</i>	Using the template in Appendix D, Table 22, applicants must list: 1. Each of the required 12 sectors; 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. 3. The agency/organization each person represents; and The specific, unique contribution of each individual toward the coalition’s work. 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.

Eligibility Requirement Item:	Evidence Required and Where to Document
Requirement 1: 12 Sectors	Evidence Required:
An individual who is a member of the coalition may serve on the coalition as a representative of not more than one sector category. (21 USC 1531 §1032 (a)(2)(C))	Applicants must attach a matching CIA from each person listed in the Sector Member Table. A total of 12 CIAs are required. Including more than 12 will not 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, must match the name in the Sector Member Table. If someone must sign the CIA other than the person listed as the sector member, see Appendix E of this RFA for instructions. Table 23 must be included at the top of each of the 12 CIAs. Two signatures 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 who represents the coalition. All signatures must be hand written and dated. A sample CIA is provided in Appendix E of this RFA and provides the minimal requirements for a CIA. Where to Document: Attachment 1 – Sector Member Table Attachment 2 – 12 CIAs (in the same order as listed in the Sector Member Table)

Eligibility Requirement Item:	Evidence Required and Where to Document
Requirement 2: Six Month Existence	Evidence Required:
The coalition must demonstrate that members have worked together on substance abuse reduction initiatives for a period of not less than 6 months at the time of the application, acting through entities such as task forces, subcommittees, or community boards. (21 USC 1531 §1032 (a)(3)(A))	Applicants must submit two sets of the coalition's meeting minutes from within the time period described below. 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 community and must demonstrate substantial participation from volunteer leaders.

Eligibility Requirement Item:	Evidence Required and Where to Document
Requirement 2: <i>Six Month Existence</i>	Evidence Required:
The coalition must also demonstrate substantial participation from volunteer leaders in the community. (21 USC 1531 §1032 (a)(3)(B))	One set of minutes must be from a coalition meeting that took place between January 1, 2010 and September 30, 2010. The second set of minutes must be from a coalition meeting that took place between October 1, 2010 and the deadline for submission of this application. These specific timeframes are used to determine the coalition's length of existence and current activities. Both sets of minutes must: • Represent the coalition's meetings and not those of an outside agent applying on behalf of a coalition; • Include the month, date, and year of the coalition meeting; • Indicate that the coalition has been involved in reducing community youth substance use; • 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 • Include a list of attendees, noting the sector that each attendee represents. Where to Document: Attachment 3 – Two sets of coalition minutes, one within each of the specified timeframes.

Eligibility Requirement Item:	Evidence Required and Where to Document
Requirement 3: <i>Mission Statement</i>	Evidence Required:
The coalition must have as its principal mission the reduction of substance abuse, which, at a minimum, includes the use and) abuse of drugs in a comprehensive and long-term manner, with a primary focus on youth in the community. (21 USC 1531 §1032 (a)(3)(B)(4)(A))	Applicants must provide a copy of the coalition's Mission Statement. The statement cannot be that of an outside agent being used as the grantee 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.

Eligibility Requirement Item:	Evidence Required and Where to Document
Requirement 3: <i>Mission Statement</i>	Evidence Required:
	Where to Document: Attachment 4 – Coalition’s Mission Statement

Eligibility Requirement Item:	Evidence Required and Where to Document
Requirement 4: <i>Multiple Drugs of Abuse</i>	Evidence Required:
The coalition must have developed a Strategic/Action Plan to reduce substance use among youth which targets multiple drugs of abuse. 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. (21 USC 1531 §1032 (a)(4)(D))	Applicants must identify strategies that target, at a minimum, two specific drugs of use. Each drug must 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 must be named in the Action Plan. Do not use the following terminology in the application when naming the drugs the coalition will address: • ATOD (Alcohol, Tobacco, and Other Drugs) • Substances or Substance Use/Abuse • Drugs or Drug Use/Abuse 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). Where to Document: Part V-1.3, Section A, Questions 2 and 10

Eligibility Requirement Item:	Evidence Required and Where to Document
Requirement 5: <i>DFC National Evaluation Requirements</i>	Evidence Required:
The coalition must establish a system to measure and report outcomes, established and approved by the DFC Administrator, to the Federal Government. (21 USC 1531 §1032 (a)(5)(A))	Applicants must demonstrate an ability to comply with the National Evaluation Requirements for the DFC Program as outlined in Part I-4.3, National DFC Cross-Site Evaluation Requirements. The following measures have been approved by the DFC Administrator and must be collected by each DFC grantee every two years, on three substances (alcohol, tobacco and marijuana) in three grades (6th-12th): 1. Past 30-day use 2. Age of onset 3. Perception of risk or harm 4. Perception of parental disapproval of use Each applicant must provide, using Appendix J, the following information: 1. The name of the survey(s) utilized to collect the data required in the four core measures listed above. 2. How often/when will the survey(s) be administered for core measure data collection? 3. What, if any, supplemental survey(s)/data will be used to meet the requirements of the DFC National Cross-Site Evaluation? Where to Document: Attachment 16 - DFC National Cross-Site Evaluation Information

Eligibility Requirement Item:	Evidence Required and Where to Document
Requirement 6: <i>Entity Eligible to Receive Federal Grants</i>	Evidence Required:
The applicant must demonstrate that the coalition is an ongoing concern by demonstrating that the coalition is a nonprofit organization or has made arrangements with a legal entity that is eligible to receive Federal grants. <i>(21 USC 1531 §1032 (a)(5)(A))</i> Organizations eligible to receive Federal funds as applicants must be legally recognized domestic public or private nonprofit entities. 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. <i>(HHS Grants Policy Statement, January 1, 2007 – Eligibility, page I-11)</i>	A coalition that is eligible to receive Federal grant funds on its own should simply state that it is a legally eligible entity. 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 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 Appendix F for guidance on the role of a grantee. For a coalition not acting as its own grantee, the application must include a completed and signed Memorandum of Understanding (MOU) between the coalition and the legal entity that will serve as the grantee if awarded the grant. A sample MOU is provided in Appendix F (pg. 66). The coalition and grantee are not required to use the exact template provided for their MOU.

Eligibility Requirement Item:	Evidence Required and Where to Document
Requirement 6: <i>Entity Eligible to Receive Federal Grants</i>	Evidence Required:
Grantee Financial Management Requirements: Federal regulations governing SAMHSA grants (45 CFR Part 74 and 45 CFR Part 92) provide standards for financial management systems of grantee organizations. To determine whether grantees have financial management systems that conform to those standards, SAMHSA's Financial Advisory Services Officers (FASO) perform Financial Capability Reviews of new or prospective grantees. Based on a recent report on an audit performed in accordance with OMB Circular A-133, or a combination of financial statements together with accounting and personnel policies & procedures (P&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 http://www.samhsa.gov/grants/management.aspx	Where to Document: Attachment 5 – MOU or statement of legal eligibility

Eligibility Requirement Item:	Evidence Required and Where to Document
Requirement 7: <i>Substantial Support from Non-Federal Sources</i>	Evidence Required:
The coalition must have a strategy to solicit substantial financial support from non-Federal sources to ensure that the coalition is self-sustaining. (21 USC 1531 §1032 (a)(5)(C)) & (21 USC 1531 §1032 (b)(1)(A)(i))	Applicants must show at least dollar-for-dollar (1:1) matching funds 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.

Eligibility Requirement Item:	Evidence Required and Where to Document
Requirement 7: <i>Substantial Support from Non-Federal Sources</i>	Evidence Required:
	Applicants must itemize the matching funds separately in the Budget (SF-424A) and explain the matching funds separately in the Budget Narrative (see Part V-1.3, Section B). *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. Where to Document: SF-424, Section 18 SF-424A Part V-1.3, Section B: Budget Narrative (see Appendix A for sample) Budget totals must match on the Application for Federal Assistance (SF-424, Section 18), Budget (SF-424A), and Budget Narrative. Note: Those applying for a second 5-year funding cycle must comply with the increase in match requirement for Years 7-10 (see Part III-2).

Eligibility Requirement Item:	Evidence Required and Where to Document
Requirement 8: <i>Federal Request</i>	Evidence Required:
The applicant must not request more than \$125,000 in Federal funds per year. (PL 109-469 §803)	The budget may not show a request for Federal funds exceeding \$125,000/year, excluding Federal match from Requirement 6 above. Where to Document: SF-424, Section 18 SF-424A Part V-1.3, Section B: Budget Narrative (see Appendix A) Budget totals must correspond on the Application for Federal Assistance (SF-424, Section 18), Budget (SF-424A), and Budget Narrative.

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

Eligibility Requirement Item:	Evidence Required and Where to Document
Requirement 9: <i>Zip Code Overlap</i>	Evidence Required:
	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 Attachment 6 in your application. In cases of overlap where there is no evidence of collaboration between two coalitions: • Coalitions already inside a five-year grant cycle will be given preference. • If the overlap occurs between two new applicants, the one that scores higher in Peer Review will be given preference. See http://www.whitehousedrugpolicy.gov/dfc for a list of existing DFC grantees by State. Where to Document: Attachment 6 – Letter(s) of Mutual Cooperation, signed by both coalitions, or statement that there is no overlap between the applicant and other coalitions Attachment 10 – General Applicant Information Table.

Eligibility Requirement Item:	Evidence Required and Where to Document
Requirement 10: <i>One grant at a time</i>	Evidence Required:
Grantees/coalitions may be awarded only one grant at a time through the DFC Program.	Applicants must sign and submit the Applicant Assurance included as Appendix G. Where to Document: Attachment 7 – Applicant Assurance of One Grant at a Time

Eligibility Requirement Item:	Evidence Required and Where to Document
Requirement 11: <i>No more than 10 years of DFC funding</i>	Evidence Required:
Coalitions may not receive more than 10 years of DFC funding.	Applicants must sign the Applicant Assurance of Compliance with the End of Grant Policy (Congressional 10-Year Funding Limit Policy) included as Appendix H. 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. Where to Document: Attachment 8 – End of Grant Policy (Congressional 10-Year Funding Limit Policy)

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	125%
8	125%
9	150%
10	150%

In-kind support **may** be used for the match requirement. In-kind support includes the value of goods and services donated to the 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 Form HHS 5161-1 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 kit 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.whitehousedrugpolicy.gov/dfc>. General information about writing applications for SAMHSA grants is available online at <http://www.samhsa.gov/grants/apply.aspx>.

2. CONTENT AND GRANT APPLICATION SUBMISSION

2.1 Application Kit

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

- HHS 5161-1 (revised August 2007) – Includes the face page (SF 424), budget forms, and checklist. You must use the [HHS 5161-1](#). **Applications that are not submitted on the required application form will be screened out and will not be reviewed.**
- Request for Applications (RFA) – Provides a description of the program, specific information about the availability of funds, and instructions for completing the grant application. This document is the RFA. The RFA will be available on the SAMHSA website at <http://www.samhsa.gov/grants/index.aspx> and the DFC website at <http://whitehousedrugpolicy.gov/dfc>. 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 [HHS 5161-1](#). [Note: Applicants must provide a Dun and Bradstreet (DUNS) number to apply for a grant or cooperative agreement from the Federal Government. SAMHSA applicants are required to provide their DUNS number on the face page of the application. Obtaining a DUNS number is easy and there is no charge. To obtain a DUNS number, access the Dun and Bradstreet website at <http://www.dunandbradstreet.com> or call 1-866-705-5711. To expedite the process, let Dun and Bradstreet know that you are a public/private nonprofit organization getting ready to submit a Federal grant application.]
- **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.
- **Budget Form** – Use SF 424A, which is part of the [HHS 5161-1](#). 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.

- **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. **Note:** If the Project Narrative starts on page 5 and ends on page 35, it is 31 pages, not 30 pages. **Applications that exceed the 30 page limit 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 23](#).
 - *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 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 kit 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** – Applicants must submit Standard Form-LLL found in the [HHS 5161-1](#). Federal law prohibits the use of appropriated funds for publicity or propaganda purposes or for the preparation, distribution, or use of the information designed to support or defeat legislation pending before the Congress or State legislatures. This includes “grass roots” lobbying, which consists of appeals to members of the public suggesting that they contact their elected representatives to indicate their support for or opposition to pending legislation or to urge those representatives to vote in a particular way. If no lobbying is to be disclosed, write N/A and sign the form.
 - [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 [HHS 5161-1](#). The Checklist ensures that the applicant has obtained the proper signatures, assurances, and certifications. If you are submitting a paper application, the HHS 5161-Checklist 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 18, 2011**. 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

If you plan to submit electronically through Grants.gov it is very important that you read thoroughly the application information provided in [Appendix C](#), “Guidance for Electronic Submission of Applications.”

Submission of Paper Applications

If you are submitting a paper application, you must submit an original application and 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:

Crystal Saunders, 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, as this could delay receipt. Be sure to include “**SP-11-002 – 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 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 submission, applicants will be notified by postal mail that their applications have been received. If an applicant submits an application on time and does not receive notification by Monday, April 18, 2011, the applicant should contact SAMHSA’s Office of Grant Review at 240-276-1199 for additional information.

SAMHSA accepts electronic submission of applications through <http://www.Grants.gov>. Please refer to [Appendix C](#) for “Guidance for Electronic Submission of Applications.”

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

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>:

- 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

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

- DFC grant funds must be used for purposes supported by the program.
- DFC grant funds may not be used to pay for any lease beyond the project period.
- DFC grant funds may not be used to pay for the purchase or construction of any building or structure to house any part of the grant project.
- Food is generally unallowable. Exceptions could include when food is used as a small incentive (not to exceed \$2.50 per person) to encourage participation in a community-wide event. Food is not allowable for general coalition or subcommittee meetings.
- No more than 20 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 cannot be utilized for the following: law enforcement equipment, drug search detection canines or related training, lighting, or community gardening efforts.

V. APPLICATION REVIEW INFORMATION

1. EVALUATION CRITERIA

The DFC Program uses a Peer Review process that identifies primarily 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

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 13 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 HHS 5161-1.**

- The Project Narrative ([Part V-1.3, Section A](#) of this RFA) should be **no longer than 30 pages**. **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 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.

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. In addition, Peer Reviewers may reference these sections while assessing responses in [Part V-1.3, Section A](#) of this RFA.

1.2 Application Scoring Instructions

Peer Reviewers will score the responses to all but four questions in [Part V-1.3, Section A](#) of this RFA using a 5-point scale.

- 5 points: Answer is outstanding; the applicant organization meets all requirements and it provides comprehensive and thorough details and descriptions.
- 4 points: Answer is very good; the applicant organization meets all requirements and provides significant details and descriptions.
- 3 points: Answer is acceptable; the applicant organization provides adequate details and descriptions.
- 2 points: Answer is marginally acceptable; the applicant organization provides minimal details and descriptions.
- 1 point: Answer is marginal; the applicant organization provides little to no detail and descriptions.

- 0 point: The applicant organization did not answer, skipped or otherwise ignored this question.

Questions 2, 5 and 6 will be scored using a 10-point scale.

- 10-9 points: Answer is outstanding; the applicant organization meets all requirements and provides comprehensive and thorough details and descriptions.
- 8-7 points: Answer is very good; the applicant organization meets all requirements and provides significant details and descriptions.
- 6-4 points: Answer is acceptable; the applicant organization provides adequate details and descriptions.
- 3-1 points: Answer is marginal; the applicant organization provides minimal details and descriptions.
- 0 point: The applicant organization did not answer, skipped or otherwise ignored this question.

Question 10, for which applicants will provide their one-year Action Plan, will be scored using a 15-point scale.

- 15-12 points: Answer is outstanding; the applicant organization meets all requirements and provides significant details and descriptions.
- 11-8 points: Answer is very good; the applicant organization meets all requirements and provides significant details and descriptions.
- 7-4 points: Answer is acceptable; the applicant organization provides adequate details and descriptions.
- 3-1 points: Answer is marginal; the applicant organization provides minimal details and descriptions.
- 0 point: The applicant organization did not answer, skipped or otherwise ignored this question.

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).

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.

- 8-7 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.
- 6-4 points: Answer is acceptable. Budget adequately supports the objectives in the Action Plan; demonstrates sufficient support of the three primary goals of the DFC grant; and makes effective use of both Federal grant funds and required matching funds.
- 3-1 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 point: 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

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 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 determine later in the scored section of the application if the proposed activities are realistic for the community served.

- 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 affected the community.

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

The following 13 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. See *Application Scoring Instructions* on page 29 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, but are not limited to, the following:
 - Coalition's history of organizing around youth substance use prevention (i.e., formation of coalition, activities/efforts conducted)
 - Coalition's evolution over time, including response to changing community situations (if any)
 - Explanation of when and how youth substance use prevention was included in or added to the coalition's focus
2. **What are the community's youth substance use-related problems and the coalition's prioritization of those problems?** (10 points) Responses **must** address, but are not limited to, the following:
 - Prevalence of use, including current core measures data, if available (i.e., past 30-day use, age of onset, perception of risk/harm of use, and perception of parental disapproval of use for alcohol, tobacco, marijuana and/or any other drug being addressed by the coalition)
 - Social indicator data related to youth consequences (e.g., law enforcement data, juvenile justice data, school failure/disciplinary data, emergency room data)
 - Processes for problem prioritization based on data
 - Identified youth substance use prevention/reduction priorities (must be at least two named substances)
3. **What factors/local conditions contribute to the community's youth substance use-related problems?** (5 points) Responses **must** address, but are not limited to, the following:
 - Environmental conditions and/or policies and practices (e.g., accessibility and availability of substances, licensing laws)
 - Community norms (e.g., denial, lack of readiness, parental approval)
 - Poor coordination and/or insufficient involvement of existing agencies, organizations, services and community leaders
4. **What resources are available and/or lacking 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, but are not limited to, the following:
 - Volunteers, community-based organizations, partnerships, programs and other prevention efforts
 - Financial resources (e.g., local agencies, foundations, ongoing efforts in the community)
 - Training and/or technical assistance available to bolster the coalition

5. **Up to this point, how has the coalition used the information collected to educate and mobilize the community?** (10 points) Responses **must** address, but are not limited to, the following:

- 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)

Coalition Functions

6. **How does the coalition engage, recruit, and retain volunteers/partners, including the required 12 sector members?** (10 points) Responses **must** address, but are not limited to, the following:

- Recruitment and retention efforts to date and plans for future recruitment and retention, including those specific to youth involvement
- Current and future leadership development
- Access to community leaders and decision makers
- Process for ensuring coalition volunteers are reflective of the community at large

7. **How will the coalition ensure cultural competence in its youth substance use prevention efforts?** (5 points) Responses **must** address, but are not limited to, the following:

- Describe the community's diversity, including race, ethnicity, age, gender, socioeconomic status, sexual orientation, etc.
- Degree to which coalition membership reflects the diversity of the community
- Training for coalition members on cultural issues
- Messages and materials for various community populations and implementation methods for reaching all populations

8. **How do the coalition's key staff (paid or unpaid) and volunteer leaders (and grantee/legal applicant, if applicable) share work efforts?** (5 points) Responses **must** address, but are not limited to, the following:

- Explanation of how the grantee/legal applicant (if different from the coalition), key staff, and volunteers share the work of the coalition
- Individuals involved in decision-making and development planning, and in what capacity
- Leadership and committee structure (include Organizational Chart as [Attachment 11](#)), including selection process for elected leaders

9. **What is (or will be) the coalition’s role in managing coalition funding, including DFC funding if awarded?** (5 points) Responses **must** address, but are not limited to, the following:

- Role of grantee/legal entity (if applicable), key staff, and coalition members in budget development, monitoring grant funds, and making personnel decisions
- Systems, policies, and procedures related to financial decision-making

Coalition Plans

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

Provide the coalition’s Action Plan in table format (shown below) for the first year of funding (September 30, 2011 - September 29, 2012). 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. See [Table 2: Statutory Eligibility Requirements, Requirement 4](#) for specific guidance.
- Environmental strategies ([Part I-3.2](#)) **must** be included in the Action Plan. 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

11. **How will the key staff (paid or unpaid) and volunteer leadership ensure the implementation of the activities in the Action Plan?** (5 points) Responses **must** address, but are not limited to, the following:

- Role of grantee/legal applicant (if applicable), key staff, and members 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 coalition members and community leaders, informed of progress toward implementation, adjustments and actions related to the Action Plan
- Determination of community collaboration and coalition strength measures (e.g., meeting attendance, sector involvement, member satisfaction survey results, key leader interviews)

12. **How will the coalition measure its impact in achieving the objectives provided in the Action Plan in the community?** (5 points) Responses **must** address, but are not limited to, the following:

- Determination of data for substance use-related problems (see Question 2) to be collected on an ongoing basis
- Processes to be used to periodically collect and analyze data noted above (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 in an ongoing basis

Coalition Sustainability

13. **How will the coalition maintain resources needed to achieve its long-term goals?** (5 points) Responses **must** address, but are not limited to, the following:

- Program sustainability efforts to ensure that the activities of the coalition will be sustained over time
- Address coalition longevity and succession planning
- Ensuring human capital (volunteer and partner engagement)
- Securing financial resources

****From this point forward, the information you submit 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 on pages 31-32 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 two (2) and 10 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 on page 22, Item 6, in the Program Narrative section of the [HHS 5161-1](#), available on the SAMHSA website at <http://www.samhsa.gov/grants/applicationkit.aspx>.

Section E: General Applicant Information

In this section, applicants must provide a response to the requests in the following table. **The table below (and continuing onto page 38) must be included in the application as Attachment 10.**

Request for Information	Response
5. Grant Applicant Name (Item 8 on SF-424)	
Coalition Name (if same as Grant Applicant Name, skip to question 3)	
Coalition Mailing Address, including Street, PO Box, City, State, and Zip Code	
Coalition Contact Person and Phone Number (may be the same as the Program Director or Project Coordinator) Note: <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 the HHS 5161-1 Checklist, Part C) 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>	
Project Coordinator Name	
Project Coordinator Mailing Address, including Street, PO Box, City, State, and Zip Code	
Project Coordinator Phone Number	
Project Coordinator Fax:	
Project Coordinator E-mail Address	
List the Federal Congressional Districts served by the coalition. You can find your Congressional District using your zip codes at the following website: http://www.house.gov . The Congressional	

Request for Information	Response
Districts should be the same as the Congressional Districts listed on the Application for Federal Assistance and being served by the program.	
Geographical boundaries of the community served by the coalition (e.g., city, county, street intersections)	
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: http://zip4.usps.com/zip4/welcome.jsp .	
Total population of the community served by the coalition	
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)	
Indicate whether the area(s) served by the coalition is "rural" or "urban" (see definitions in Appendix N). Applicants must choose one response, not both. 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".	
Indicate whether the area(s) served is designated as an Economically Disadvantaged Area (see definition in) by responding with Yes or No.	
Does the coalition serve a Federally recognized tribal area? Indicate Yes or No.	
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.	
If applicable, provide the contact information for the proposed evaluator for the DFC grant (include name, phone number, and e-mail address)	
Is the applicant a religious or faith-based organization? Indicate Yes or No.	
Year the coalition was established	
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.	

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 tool 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 FY2011. Use the template provided in [Appendix K](#), as requested, and includes specific information pertaining to your grant application.

Section M: Checklists

The next to last page within your application should be the checklist found in [HHS 5161-1](#). 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, Native American, and economically disadvantaged communities.

VI. ADMINISTRATIVE INFORMATION

1. AWARD NOTICES AND APPLICATION SUMMARY STATEMENTS

By the end of August 2011, the list of awardees will be posted at <http://www.whitehousedrugpolicy.gov/dfc>. 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 2011, 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. 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. Drug Free Communities Support Program standard terms and conditions are available on the DFC website at <http://www.whitehousedrugpolicy.gov/dfc>.
- 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.whitehousedrugpolicy.gov/dfc/appeals_process.html.
- In an effort to improve access to funding opportunities for applicants, SAMHSA is participating in the U.S. Department of Health and Human Services "Survey on Ensuring Equal Opportunity for Applicants." This survey is included in the application kit for SAMHSA grants and is posted on the SAMHSA 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.whitehousedrugpolicy.gov/dfc/grantee_requirements.html.

3.2 Publications

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

- Provide the GPO and SAMHSA Publications Clearance Officer with advance copies of publications.
- Include acknowledgment of the 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 or the U.S. Department of Health and Human Services, and should not be construed as such.

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

VII. 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
dfcnew2011@samhsa.hhs.gov

For Federal forms and budget questions contact:

Barbara Orlando
Division of Grants Management
(240) 276-1422
Barbara.orlando@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 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 Definitions 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).

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.

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.

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

- **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. The cost principles elaborate on this concept and address considerations such as whether the cost is of a type generally necessary for the organization's operations or the grant's performance, whether the recipient complied with its established organizational policies in incurring the cost or charge, and whether the individuals responsible for the expenditure acted with due prudence in carrying out their responsibilities to the Federal government and the public at large, as well as to their organization.
- **Allocability.** A cost is allocable to a specific grant, function, department, or other component, known as a cost objective, if the goods or services involved are chargeable or assignable to that cost objective in accordance with the relative benefits received or other equitable relationship. A cost is allocable if it is incurred solely to advance work under the grant; it benefits both the grant and other work of the organization, including

other grant-supported projects or programs; or it is necessary to the overall operation of the organization and is deemed to be assignable, at least in part, to the grant.

- **Consistency.** Recipients must be consistent in assigning costs to cost objectives. 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.
- **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.

DEFINITIONS

Authorized Official: The individual authorized with 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.

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 on the [HHS 5161-1 Checklist, Part C](#))

Project Coordinator: An individual who coordinates coalition services and DFC project 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 (see [HHS 5161-1](https://www.hhs.gov/5161-1)). More information can be found at <http://rates.psc.gov/fms/dca/orgmenu1.html>.

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

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 PREPARATION

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.

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 5: Federal Request

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

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 6: Non-Federal Match

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

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 7: Federal Request

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

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

Table 8: Non-federal Match

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

NARRATIVE JUSTIFICATION: Enter a description of the fringe matching funds provided 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 9: 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

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

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 10: 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
			TOTAL	\$1,556

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 11: Federal Request

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

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

Table 12: Non-Federal Match

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

NARRATIVE JUSTIFICATION: Enter a description of the equipment match provided and how its use will support the purpose and goals of this proposal. 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 13: 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
Projector	\$700	\$700
Copies	8000 copies x \$0.10/copy	\$800
Laptop Computer update	\$100	\$100
	TOTAL	\$3,674

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

Table 14: 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
	TOTAL	\$1,348

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 carryout 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 15: 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 checks @ \$300/check	\$1,800
To be selected	Responsible Server 3-Day Training Trainer: \$500/day	\$1,500
	TOTAL	\$28,608

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

Table 16: Non-Federal Match

Name	Product or Service	Cost
------	--------------------	------

Name	Product or Service	Cost
Coalition members	Participation in coalition activities outlined in Action Plan 18 members @ \$17.50/hr. x 10 hr./mo. (average) x 12 mo.	\$37,800
Local School District	Student Assistance Program – CIA demonstrates breakout of services	\$15,400
Local Police Department	Alcohol Compliance Checks (1 hour each) Officer Overtime: 8 officers @ \$50/hour x 6 checks	\$2,400
Youth members	Alcohol Compliance Checks 8 youth @ \$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
	TOTAL	\$66,400

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 an arms length¹ arrangement, provide cost of ownership/use allowance calculations. Additionally, the lease and floor plan (including common areas) is required for all projects allocating rent costs.

¹ “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 17: Federal Request

Item	Rate	Cost
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
	TOTAL	\$18,519

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 18: Non-Federal Match

Item	Rate	Cost
Space rental	Varies between \$75/event to over \$300/event	\$8,300
Mentoring Program	12 mentors x 10 hrs./mo. x \$17.50/hr. x 12 mo. CIA demonstrates breakout of services	\$25,200
Internet service	\$26/mo. x 12 mo.	\$312
Student surveys	\$1/survey x 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
	TOTAL	\$46,883

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 COSTS²:

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 19: 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
Supplies	\$3,674	\$1,348	\$5,022
Contractual	\$28,608	\$73,600	\$102,208
Other	\$18,519	\$46,883	\$65,402
Total Direct Costs	\$120,474	\$125,000	\$245,474
Indirect Costs	\$4,526	\$0	\$4,526
Total Project Costs	\$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 20: Future years funding summary

Projected Future Years	Federal Request	Non-Federal Match
Year 2 or 7 (select one)		
Year 3 or 8 (select one)		

² 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 Sample Budget definitions.

Projected Future Years	Federal Request	Non-Federal Match
Year 4 or 9 (select one)		
Year 5 or 10 (select one)		
TOTAL (2-5 or 7-10)		

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

Table 21: sample of future budget periods

Category	2nd project year Federal	2nd project year Match	3rd project year Federal	3rd project year Match	4th project year Federal	4th project year Match	5th project year Federal	5th project year Match
Personnel								
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
Fringe Benefits	\$10,896	\$275	\$10,896	\$275	\$10,896	\$275	\$10,896	\$275
Travel	\$5,000	\$2,000	\$5,000	2,250	\$4,000	2,500	\$4,000	2,500
Equipment	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Supplies	\$4,500	\$2,000	\$4,500	\$2,000	\$4000	2,000	4,000	2,000
Contract								
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
Other	\$24,497	\$52,387	\$24,997	\$35,137	\$26,997	\$34,887	\$31,997	\$29,887
Total Direct Costs	\$122,158	\$125,000	\$122,158	\$125,000	\$122,158	\$125,000	\$122,158	\$125,000
Total Indirect Costs	\$2,842	\$0	\$2,842	\$0	\$2,842	\$0	\$2,842	\$0
Total Costs	\$125,000	\$125,000	\$125,000	\$125,000	\$125,000	\$125,000	\$125,000	\$125,000

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

NOTE: The total Federal dollars (direct + indirect costs) requested for the second through the fifth 12-month budget periods are entered on 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 [HHS 5161-1](#) application package
- 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
- 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.** 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.

Please also allow sufficient time for enter 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 2003 products (e.g., Microsoft Word 2003, Microsoft Excel). The new Microsoft Vista operating system and Microsoft Word 2007 products are not currently accepted by Grants.gov. If you do not have access to Microsoft Office 2003 products, you may submit PDF files. Directions for creating PDF files can be found on the Grants.gov website. Use of file formats other than Microsoft Office or PDF may result in your file being unreadable by our staff.

The Project Narrative must be a separate document in the electronic submission. Formatting requirements for SAMHSA grant applications are described in [Appendix B](#) 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.** Failure to comply with these requirements may affect the successful transmission and consideration of your application.

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

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 22](#) 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 22: Sector Member Table

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

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 23) 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 23: Sector Information (*Must be at the top of every CIA*)

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

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, 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:

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

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.

5. 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 (FY2011-2015). (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 2011 through FY 2015.

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 10](#), 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 acting 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 as use this form for End of Grant Policy Assurance. 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 agencies acting as grantees on behalf of DFC funded coalitions. Specific restrictions on DFC coalitions and grantee agencies are outlined below. Receipt of DFC Mentoring Grant funds does not apply toward the 10 years of allowable DFC grant funding.

Agencies Acting as the DFC Grantee on Behalf of a Coalition:

1. An organization acting 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 acting 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 acting 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 acting 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 acting 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 acting 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).

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.**

List all of the DFC funding received or expended by either the grantee/legal applicant and the applicant coalition for this application. Include the following elements for as many DFC grants as it applies to:

Fiscal Year of Funding	Grant Award Number(s)	Grantee/Legal Applicant Name	Coalition Name	Names of Paid Staff

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

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. Age of onset
3. Perception of risk or harm
4. Perception of parental disapproval of use

Each of the above core measures must be collected every two years, in three grades (6th-12) on three substances (alcohol, tobacco and marijuana). 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:

1. Name of the survey(s) used to collect data required to obtain the core measures: Past 30-day use, Age of onset, Perception of risk or harm and Perception of parental disapproval.	
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 were the data provided in Question 2 of the Project Narrative collected? _____

Appendix K – Sample Congressional Notification

This is a template for the Congressional Notification. This information will be shared with members of Congress and the media, and may be posted to the DFC Web site, if the application is funded. **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 2011 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.

Table 24: 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 13 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 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 23 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?	
In Attachment 5 , did you include an MOU between the coalition and the grantee/legal entity or a statement that the coalition is legally eligible to receive a grant (see Appendix F)?	
In Attachment 6 , did you include Letter(s) of Mutual Cooperation, if applicable?	
In Attachment 7 , did you include the Applicant Assurance of No More than One Grant?	
In Attachment 8 , did you include Applicant Assurance of Compliance with the End of Grant Policy (Congressional 10-Year Funding Limit Policy) (see Appendix H)?	
In Attachment 9 , did you include the required resumes and job descriptions?	
In Attachment 10 , did you include the completed General Applicant Information Table in Part V-1.4, Section E of RFA?	
In Attachment 11 , did you include the coalition’s Organizational Chart?	
In Attachment 12 , did you include the Logic Model?	
In Attachment 13 , did you include a copy of the letter to the SSA?	
In Attachment 14 , did you include all required forms, certifications, disclosures, and assurances?	

Items to Complete	“X” if Completed
In Attachment 15 , did you include the Disclosure of All Prior DFC Funding?	
In Attachment 16 , did you include the DFC National Cross-site Evaluation Requirements?	
In Attachment 17 , did you include the Congressional Notification?	
Did you include the Checklist from the HHS 5161-1 as the next-to-last page of the application?	
Is this completed Pre-Submission Verification (Appendix L) 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 kit and can be downloaded from the Office of Management and Budget (OMB) website at http://www.whitehouse.gov/omb/grants_spoc.

- Check the list to determine whether your State participates in this program. You do not need to do this if you are an American Indian/Alaska Native Tribe or tribal organization.
- If your State participates, contact your SPOC as early as possible to alert him/her to the prospective application(s) and to receive any necessary instructions on the State's review process.
- For proposed projects serving more than one State, you are advised to contact the SPOC of each affiliated State.
- The SPOC should send any State review process recommendations to the following address within 60 days of the application deadline. For United States Postal Service: Crystal Saunders, Director of Grant Review, Office of 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-11-002. Change the zip code to 20850 if you are using another delivery service.

In addition, if you are a community-based, non-governmental service provider and you are not transmitting your application through the State, you must submit a Public Health System Impact Statement (PHSIS)³ to the head(s) of appropriate State and local health agencies in the area(s) to be affected no later than the application deadline. The PHSIS is intended to keep State and local health officials informed of proposed health services grant applications submitted by community-based, non-governmental organizations within their jurisdictions. If you are a State or local government or American Indian/Alaska Native Tribe or tribal organization, you are not subject to these requirements.

The PHSIS consists of the following information:

³ 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).

- 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:** Crystal Saunders, 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-11-001. 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 – 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.

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.

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

Outcome Evaluation: An evaluation that describes and documents the extent of the immediate effects of coalition strategies to include what changes occurred.

Output: Products related to program activities, often measured in quantitative terms (e.g., the number of sessions held, the number of people that attended a meeting).

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

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

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

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

Rural: 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.