

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-09-002

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

TABLE 1: KEY DATES

Application Deadline	March 20, 2009
Intergovernmental Review (E.O. 12372)	Letters from State Single Point of Contact (SPOC) are due no later than 60 days after application deadline
Public Health System Impact Statement (PHSIS)/SSA Coordination	Applicants must send the PHSIS to appropriate State and local health agencies by application deadline. Comments from Single State Agency are due no later than 60 days after application deadline.

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I. EXECUTIVE SUMMARY

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Funding Opportunity Title:	Drug Free Communities Support Program
Funding Opportunity Number:	SP-09-002
Due Date for Applications:	March 20, 2009
Anticipated Total Available	Funding: \$17 M
Estimated Number of Awards:	130
Estimated Individual Award Amount:	Up to \$125,000 per year
Length of Project Period:	Up to five years
Eligible Applicants:	The application must be submitted by a community-based coalition. [See Part III of this RFA for complete eligibility information.]

II. FUNDING OPPORTUNITY DESCRIPTION

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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) announce the availability of funds for new FY 2009 Drug Free Communities Support Program (DFC) grants.

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

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

***For the purposes of this RFA, “youth” is defined as individuals 18 and younger.**

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

The Drug Free Communities Program (DFC) was created by the Drug Free Communities Act, 1997 (Public Law 105-20), reauthorized through the Drug Free Communities Reauthorization Act of 2001 (Public Law 107-82) and reauthorized again through the Office of National Drug Control Policy Reauthorization Act of 2006 (Public Law 109-469). The latest reauthorization extended the program for an additional five years until 2012. This announcement addresses Healthy People 2010 focus area 26 (Substance Abuse).

Since 1998, ONDCP has awarded approximately 1500 DFC grants, with an additional 130 new awards expected in FY 2009. The community sites that have been awarded grants represent a cross-section of communities from every region in the nation and include rural, urban, suburban, and tribal communities. The program has given priority to economically disadvantaged areas or counties in which 20 percent or more of the children are living in a household below the poverty line, as defined by the U.S. Census Bureau.

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

1.2 ABOUT DFC GRANTEES

1.2.1 Coalitions

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

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

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) reduce the prevalence of negative consequences associated with substance use (such as motor vehicle crashes, sexual assaults, etc.). DFC grantees are more likely to be successful in meeting their objectives if they work together collaboratively to utilize environmental strategies. Non-government funds may be used for activities or interventions directed at specific individuals or small groups, however the primary purpose of the Federal funding in a DFC grant is to strengthen the capacity of coalitions to reduce and prevent youth substance use in the community by generating positive, lasting environmental change. If an applicant has identified a community need for individualized or small-group targeted ‘directed activities, practices, strategies or interventions,’ these should be leveraged in coordination with local partners and/or funded primarily utilizing non-Federal and/or in-kind match dollars.

1.2.2 Catchment Areas and/or Communities of Focus

In order to increase the likelihood of the results described above, coalitions must clearly define and understand the unique characteristics of the communities they seek to serve (catchment areas and/or communities of focus). A catchment area and/or community of focus must encompass a geographic area defined by the applicant in response to this RFA. The DFC program does not prescribe the size, shape, borders, demographics, or geographic locations of DFC grantees, though some priority may be given to rural, Native American, and economically disadvantaged communities, as well as the overall geographic distribution of the grantee pool. As every community has unique characteristics, local expertise is needed to define what constitutes a meaningful catchment area and/or community of focus in which the coalition will work. DFC grantees use various physical demarcations, including neighborhoods, census tracts, zip codes, school districts, as well as township, county, or parish lines, among others, to determine and define their catchment area. When determining the parameters of a community, applicants should be mindful of the fact that multiple DFC grantees may not serve the same zip codes unless there is written evidence of cooperation between the overlapping coalitions.

2. EXPECTATIONS

2.1 STRATEGIC PREVENTION FRAMEWORK



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

The five-step process includes:

1. Needs Assessment (identify local substance abuse problems and the community conditions that contribute to the specific drug use issues identified);
2. Capacity Building (mobilize/build capacity to change the conditions and address the substance abuse problems);
3. Planning (develop a comprehensive 12 month implementation plan and an optional multi-year strategic plan beyond the first year of the DFC grant);
4. Implementation (implement the plan with multiple activities, practices, strategies or interventions); and

5. Evaluation (monitor, sustain, improve, or replace prevention activities, efforts, strategies).

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

2.2 PRE-APPLICATION WORKSHOPS

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

Phoenix, AZ	Thursday, January 29, 2009
Portland, OR	Monday, February 2, 2009
Milwaukee, WI	Wednesday, February 4, 2009
Washington, DC	Friday, February 13, 2009
Tampa, FL	Thursday, February 19, 2009

More information and subsequent updates about the workshops can be found at: <http://www.ondcp.gov/dfc/potentialgrantees.html>.

2.3 DATA AND PERFORMANCE MEASUREMENT REQUIREMENTS

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

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

The terms and conditions of the grant award will specify how the data is to be submitted and the schedule for submission of data using an online data reporting system. If funded, each successful applicant will be required to submit a comprehensive plan to SAMHSA/CSAP outlining specifically how the coalition will comply with the data

reporting requirements outlined above. This plan will be due no later than 30 days after receipt of the Notice of Grant Award.

2.4 EVALUATION REQUIREMENTS

DFC applicants are required to describe plans for local evaluation in Section E of the Project Narrative portion of their application. The evaluation consists of both process and outcome measures, and should also be designed to guide decision-making and provide continuous feedback to the coalition members and other community stakeholders. Process Evaluation is defined as evaluation that describes and documents what was actually done, how much, when, for whom, and by whom during the course of the project's implementation. Outcome Evaluation is evaluation that describes and documents the impact of coalition objectives, strategies and outcomes including what, if any, changes occurred in your catchment areas and/or community of focus. Outcome Evaluation measures must include but are not restricted to the four GPRA measures described above in Section 2.3.

DFC grantees are also required to participate in the National Cross-Site DFC Evaluation which is intended to measure the progress and the formative development of all DFC coalitions across the country. This includes the reporting of data on the four GPRA measures described above in Section 2.3, as well as other measures and coalition information which may be required by ONDCP's national cross-site evaluation team on an as-needed basis.

2.5 NATIONAL MEETING REQUIREMENT

Successful applicants funded through this RFA are required to budget for and send two people (one must be the Project Director) to a three-day New Grantee Meeting/Training in Washington, D.C. in the first year of the grant award. This requirement applies to all first-time DFC grantees and to grantees that receive "Year 6" grant funding.

In addition to the above New Grantee Meeting, all applicants **applying to become first-time ever DFC grantees (Year 1)**, must also budget to send two people to each of two additional training events. These additional two trainings will require a budget commitment that will allow each person a total of seven days travel costs for the two events.

For the purposes of developing your budget in this application, assume that one of these two additional training events will be in Washington, DC (4 days) and the other will be a city in the Western United States (3 days). Therefore, the budget that is submitted as part of this application must include hotel, airfare, meals and other miscellaneous expenses associated with attending each of the three required trainings (10 training days total).

Year 6 applicants are permitted, but not required, to budget for staff to attend these two additional trainings noted above. Year 6 applicants have the option of including these

trainings in their budget and might want to do so, particularly if **new staff and/or key volunteers have come on board and** would benefit from coalition training/development.

Following the initial year the grant is awarded (Years 1 or 6) and for each subsequent year of DFC funding, (Funding Years 2 through 5 or 7 through 10), all applicants must budget for one meeting/training to be defined by the DFC Program Administrator in each of these fiscal years of the grant. This requirement **is in addition to any other training(s) that applicants may choose to include in their budgets**. ONDCP and/or SAMHSA will notify DFC grantees as to whether or not training is mandatory and will provide details (date/time/location) for mandatory trainings as far in advance as possible. If there are no mandatory meetings or trainings in a given fiscal year, grantees may work with their SAMHSA Project Officers and Grants Management Specialists to redirect the money for other appropriate trainings and/or activities.

2.6 SUSTAINABILITY

Grantees will be required to submit a comprehensive sustainability plan, including a budget, in Year 3 of the first funding cycle and Year 7 of the second funding cycle, if a second five-year grant is awarded. The narrative portion of the sustainability plan must articulate how the coalition will ensure the continuation of effectiveness in the SPF five-step process: needs assessment, capacity building, planning, implementation, and evaluation when Federal assistance is no longer available. The plan must identify:

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

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

III. AWARD INFORMATION

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1. AWARD AMOUNT

Approximately \$17 million for 130 FY 2009 DFC grants will be awarded through this RFA. DFC grants will be available to eligible coalitions in amounts of up to \$125,000 per year over a five-year period, known as a “funding cycle.” To apply for a DFC grant under this RFA, a coalition must fall into one of the following three categories:

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

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

First-time applicants (coalitions that have *never* before received a DFC grant) may request up to \$125,000 per year for Years 1, 2, 3, 4 and 5 of the funding cycle. If selected to receive a DFC grant, these coalitions will be awarded funds for Year 1 (covering the 12-month period from September 30, 2009 – September 29, 2010). Funds for subsequent years (Years 2, 3, 4 and 5 of the funding cycle) are distributed on an annual basis as non-competing “continuation awards.” Annual continuation awards are contingent upon the availability of DFC funds, the continued ability of the coalition to demonstrate eligibility, grantee progress in meeting grant requirements, and timely submission of the continuation application, as well as all required data and reports.

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

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

NOTE: All applicants must clearly state the program award year for which they are applying (e.g., Year 1, Year 2, etc.) Please indicate in Attachment 16 of the application the status of the coalition and which specific years you have received DFC support in the past. **If your coalition had a break in funding, indicate each year you did not receive funding from the Drug-Free Communities program.**

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

2. FUNDING MECHANISM

DFC awards will be made as grants.

IV. DFC ELIGIBILITY REQUIREMENTS

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1. ELIGIBLE APPLICANTS

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

All DFC applications will be jointly screened by ONDCP and SAMHSA to determine whether the applicant meets all the DFC program coalition eligibility requirements contained in the eligibility requirement items below. In addition, the non-profit status of the grantee organization will be verified for eligibility and their ability to fiscally manage Federal funds. Applications submitted by eligible coalitions that demonstrate that they meet **all** requirements will then be evaluated, scored, and rated by an independent peer review panel according to the evaluation criteria described in Part V, Application Review Information, of this announcement.

Applications submitted by applicants that do not demonstrate that they meet the eligibility requirements will not advance to the peer review stage.

DFC grant funds are intended to support eligible community-based coalitions.

The following table contains a summary of the DFC eligibility requirements and the minimum documentation applicants must provide in Part V, Section G (“Documentation for Eligibility Requirements”) of their application. SAMHSA/ONDCP will not accept any additional materials submitted after the published deadline for this RFA.

Each year, DFC grantees MUST demonstrate compliance with all of the following eligibility criteria to be considered for continued funding:

TABLE 2: ELIGIBILITY CRITERIA

Eligibility Requirement Item(s):	How and Where to Document:
Requirement 1: The coalition must consist of 1 or more representatives of each of the following sector categories: 1. Youth (18 or younger). 2. Parents. 3. Businesses. 4. The media. 5. Schools. 6. Organizations serving youth. 7. Law enforcement. 8. Religious or fraternal organizations. 9. Civic and volunteer groups. 10. Health care professionals. 11. State, local, or tribal governmental agencies with expertise in the field of substance abuse (including, if applicable, the State authority with primary authority for substance abuse). 12. Other organizations involved in reducing substance abuse <i>*(21 USC 1531 §1032 (a)(2)(A)</i> An individual who is a member of the coalition may serve on the coalition as a representative of not more than 1 sector category. <i>*(21 USC 1531 §1032 (a)(2)(C)</i>	How: In table format, applicants must list: 1. 12 sectors; 2. member(s)/person(s) representing that sector; the name of each agency/organization represented by the individual named above in each sector; 3. contribution of the individual and the agency in each sector to the coalition's activities. NOTE: A sample table is provided as Attachment 4 of this RFA. Applicants MUST use the same format as found in the sample. *Applicants MUST also attach a minimum of one Memorandum of Understanding* (MOU) from a representative of EACH of the 12 required sectors listed in the table noted above. Each individual and organization listed in the table as a sector representative must also have a signed MOU in this section confirming their commitment to the coalition. Any application that includes a sector representative noted in the table mentioned above for which there is not a signed MOU present will be deemed ineligible to proceed to peer review. * A sample MOU-Coalition & Sector Member is provided as Attachment 5 of this RFA. Applicants are NOT required to use the same format as is found in the sample. However, each MOU must clearly identify the name of the individual representative, the agency/organization they are affiliated with and the SECTOR they represent on the coalition, in addition to a detailed description of their role and contribution as members of the coalition. Where: Part V, Section G, Documentation for Eligibility Requirements.

Eligibility Requirement Item(s):	How and Where to Document:
Requirement 2: The coalition must demonstrate that the representatives of the coalition have worked together on substance abuse reduction initiatives, for a period of not less than 6 months, acting through entities such as task forces, subcommittees, or community boards; <i>*(21 USC 1531 §1032 (a)(3)(A)</i> The coalition must also demonstrate substantial participation from volunteer leaders in the community. <i>*(21 USC 1531 §1032 (a)(3)(B)</i>	How: Applicants MUST submit NO LESS THAN two sets of its coalition's meeting minutes. Both sets of meeting minutes must show that the coalition has been actively involved in working to reduce youth substance use in the proposed catchment areas. One set of minutes must be from a coalition meeting that took place at some point between January 1, 2008 and September 30, 2008, and; The second set of minutes must be from a coalition meeting that took place between October 1, 2008 and the deadline for submission of this application. Both sets of minutes must demonstrate that the coalition has substantial involvement and participation from its sector representatives. This does not mean that all 12 sectors must have been present at all meetings, but there must be evidence that the coalition has been in place and active and that the focus is not solely the initial establishment of a coalition. These minutes <u>MUST</u> also demonstrate, to the satisfaction of the reviewers, that the focus of the meeting is the community coalition's efforts to prevent or reduce substance use. If a grantee is applying on behalf of a coalition, the meeting minutes MUST reflect activities/business of the <u>coalition</u>, NOT those of the grantee. Each set of minutes MUST include the list of all attendees at the meeting and the sector (one of the 12 listed in Requirement #1 above) that they represent. Be sure to clearly indicate the date (including month and year) that the meeting took place. It must also be clear to the reviewers that both sets of minutes are from

Eligibility Requirement Item(s):	How and Where to Document:
	the coalition seeking FY09 DFC grant funding. Where: Part V, Section G, Documentation for Eligibility Requirements.
Requirement 3:	
NOTE: 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. <i>*(21 USC 1531 §1032 (a)(3)(B)(4)(A)</i>	How: Applicants MUST provide a copy of the coalition's (NOT the grantee's) mission statement. It MUST be clear to the reviewers that the principal mission of the coalition is youth substance abuse reduction and/or prevention. Where: Part V, Section G, Documentation for Eligibility Requirements.
Requirement 4:	
NOTE: Applicants must have developed a strategic plan to reduce substance abuse among youth which targets multiple drugs of abuse. Substances may include, but are not limited to, narcotics, depressants, stimulants, hallucinogens, cannabis, inhalants, alcohol, and tobacco, where their use is prohibited by Federal, State, or local law. <i>*(21 USC 1531 §1032 (a)(4)(D)</i>	How: Applicants MUST identify strategies that target, at a minimum, two specific drugs of use in their One-Year Implementation Action Plan in Section D. The individual drugs MUST be named specifically and individually. For example, applicants may not state, "multiple drugs of abuse" or "ATOD." Where: Section D of the narrative response.
Requirement 5:	
NOTE: The applicant/coalition must demonstrate that the coalition is an ongoing concern by demonstrating that the coalition is a nonprofit organization; or has made arrangements with a fiduciary 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 and private nonprofit entities.	How: 1. A coalition that <u>IS</u> eligible to receive Federal grant funds on its own should simply state that it is a legally eligible entity. 2. If a coalition is <u>NOT</u> eligible on its own to receive Federal grants, it <u>MUST</u> make arrangements with a legal nonprofit entity that will apply for the grant on behalf of the coalition and serve as the "legal/grantee" for the grant. In this case,

Eligibility Requirement Item(s):	How and Where to Document:
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> 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), the FASO will make a determination of the organization’s ability to adequately administer Federal awards. If needed, the FASO will request the grantee take necessary corrective action to conform to the financial management standards. http://www.samhsa.gov/Grants/management.aspx	the “legal/grantee” must be the legal applicant, the recipient of the award, and the entity legally responsible for satisfying the grant requirements, including terms and conditions of award, conformance with HHS grantee financial management requirements, fulfilling audit requirements, and reporting financial status, progress and other related documents. For a coalition <u>NOT</u> acting as its own legal/grantee, the application <u>MUST</u> include a completed and signed Memorandum of Understanding (MOU)* between the coalition and the legal entity who will serve as the legal/grantee if awarded the grant. . NOTE: See Sample MOU-Coalition & Grantee (Attachment 7). The Coalition and Grantee are not required to use the exact template provided for their own MOU. See Attachment 6 for further information on guidance for the use of a “grantee.” Where: Part V, Section G, Documentation for Eligibility Requirements.
Requirement 6:	
NOTE: The coalition must have a strategy to solicit substantial financial support from non-Federal sources to ensure that the coalition is self-sustaining.	How: Applicants <u>MUST</u> show at least dollar for dollar (1:1) matching funds in their detailed one year budget. These matching funds <u>MUST</u> come

Eligibility Requirement Item(s):	How and Where to Document:
*(21 USC 1531 §1032 (a)(5)(C) & *(21 USC 1531 §1032 (b)(1)(A)(i)	from non-Federal sources. Applicants <u>MUST</u> itemize the match separately in the budget and explain the match separately in the budget narrative justification (Section F of the application). Applicants with representation that includes at least one Native American <u>MAY</u> use Federal funds as a match. These applicants <u>MUST</u> indicate this in is Section J of the application. Where: Part V, Section F, Budget and Budget Justification Narrative.
Requirement 7:	
The applicant must not request more than \$125,000 in Federal funds *(PL 109-469 §803)	How: Applicants' budgets MAY NOT show a request for Federal funds that exceeds \$125,000/year, excluding Federal match from requirement 6, above. Where: Part V, Section F, Budget and Budget Justification Narrative.
Requirement 8:	
Two coalitions may not serve the same zip codes 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)	How: Each applicant who proposes to overlap with an existing or newly applying DFC coalition (see www.ondcp.gov/dfc for a list of existing DFC Coalitions by State) <u>MUST</u> provide a Memorandum of Understanding (MOU) between themselves and the overlapping coalition that outlines their current plans and areas of collaboration. "Zip codes served" from Section J of the application are used to determine overlaps. In cases of overlap where there is NOT evidence of collaboration between two applicants, those applicants already inside their 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.

Eligibility Requirement Item(s):	How and Where to Document:
	(ONDCP strongly encourages you to include a Letter of Mutual Cooperation from each coalition with which you share a common zip code in order to eliminate the appearance of a potential geographic overlap.) Where: 1. Letter of Mutual Cooperation, if applicable: Part V, Section G, Documentation for Eligibility Requirements. 2. Zip Codes Served: Section J
Requirement 9:	
NOTE: Applicants/grantees may be awarded only one grant at a time through the DFC Support Program.	How: Applicants MUST sign and submit the Assurance which is included as Attachment 8 of this RFA. Where: Part V, Section G, Documentation for Eligibility Requirements (include Attachment 8).
Requirement 10:	
NOTE: No coalition may receive more than 10 years of DFC funding (See details directly below)	How: Applicants MUST print and sign the “Applicant Assurance of Compliance with Year 11 Policy” Where: Part V, Section G, Documentation for Eligibility Requirements (include Attachment 9).

Year 11 Policy

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

Coalitions:

1. A coalition that has received ten years of direct DFC funding is not eligible to receive additional funds through the DFC program.
2. A coalition that has received 10 years of DFC funds through a grantee/legal agent(s) is no longer eligible to receive funds through the DFC program, regardless of how long they have been served by that grantee.
3. For example, if Coalition X has received DFC funding through Grantee Y for six years, and Grantee Z for four years, Coalition X is no longer eligible to receive DFC funds.
4. A coalition that has received ten years of DFC funding may not receive additional DFC funding through a new or different grantee.
5. A coalition that proposes to serve a catchment area and/or community of focus that has already been served for 10 years by another DFC-funded coalition must demonstrate to the satisfaction of the DFC Administrator that it is unique and distinct from the coalition that has already served the same community.

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

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

Grantees:

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

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

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

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

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

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

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

2. COST SHARING AND MATCH REQUIREMENTS

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

TABLE 3: PERCENTAGE OF MATCH

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

In-kind support may be used for the match requirement. In-kind support includes the value of goods and services donated to the operations of the DFC coalition including but not limited to: office space, volunteer secretarial services, pro bono accounting services, or other personnel serving in a volunteer capacity, etc.

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

All proposed match information included in the budget of the application, if approved for funding, becomes an obligation on the part of the applicant. If, for example, the applicant proposes that they will gather 300% in matching funds and receives a grant, **that grantee is legally responsible to collect and substantiate all 300% of those funds or in-kind support.**

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

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

3. OTHER

3.1 Freedom of Information Act (FOIA) Disclaimer

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

3.2 Application Form

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

V. APPLICATION AND SUBMISSION INFORMATION

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1. ADDRESS TO REQUEST APPLICATION PACKAGE

You may request a complete application package from the SAMHSA Health Information Network (SHIN) at 1-877-SAMHSA7 [TDD: 1-800-487-4889]. You also may download the required documents from the SAMHSA Web site at:

www.samhsa.gov/grants/apply.aspx.

Additional materials available on this Web site include:

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

When submitting an application, be sure to type “**SP-09-002 – DFC Support Program**” in Item Number 12 on the face page of the application form. Also, applicants must provide a DUNS Number on the face page of the application. To obtain a DUNS Number, access the Dun and Bradstreet Web site at <http://www.dnb.com/us/> or call 1-866-705-5711.

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

2. CONTENT AND FORM OF APPLICATION SUBMISSION

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

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

3. SUBMISSION DATES AND TIMES

Applications must be received by **March 20, 2009**. You will be notified by postal mail that your application has been received within 30 days of its submission. Additional submission information is available in Attachment 2 of this RFA. **Applications that are not received by the application deadline, as described in Attachment 2 of this RFA, will not be considered for funding.**

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

The grant program is covered under Executive Order (E.O.) 12372, as implemented through Department of Health and Human Services (DHHS) regulation at 45 CFR Part 100, which sets up a system for State and local review of applications for Federal financial assistance. Instructions for complying with E.O.12372 are provided in Attachment 2. A current listing of State Single Points of Contact (SPOCs) is included in the application kit and is available at <http://www.whitehouse.gov/omb/grants/spoc.html>. (See page 53 for additional information.)

5. OTHER SUBMISSION REQUIREMENTS

You may submit your application in either electronic or paper format:

Submission of Electronic Applications

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

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

Please refer to Attachment 2 for detailed instructions on submitting your application electronically.

Submission of Paper Applications

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

Send applications to the address below:

For United States Postal Service:

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

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

Do not send applications to other agency contacts, as this could delay receipt. If you require a phone number for delivery, you may use (240) 276-1199.

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

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

VI. APPLICATION REVIEW INFORMATION

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The application review information that follows has two purposes: 1) it briefly informs the applicant about the review and selection process including the initial eligibility review, the peer review stage, and final grant award decisions, and 2) it provides the applicant with specific instructions for preparing an application that meets the evaluation criteria requirements of the DFC program.

1. EVALUATION CRITERIA

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

General Instructions for Sections A-E (Scored)

Sections A-E contains a series of questions and topics that you must address in written narrative form. The information and responses you provide in Sections A-E form the “Project Narrative” portion of your application. If you meet the eligibility requirements outlined in Part III of this RFA, your Project Narrative will be evaluated and scored by a peer review panel.

- In developing the Project Narrative section of your application, you **MUST** use the instructions outlined below, which have been tailored to this program. **You MUST use these instead of the “Program Narrative” instructions found in the PHS 5161-1.**

- Sections A-E of your Project Narrative may be no longer than 26 pages total.
- In organizing and preparing your Project Narrative, you **MUST** use the five headings provided below for each section (Section A: Community Assessment, Section B: Capacity Building, Section C: Planning, Section D: Implementation, and Section E: Evaluation).
- You **MUST** respond to **every** question/request in each category of the Project Narrative **individually**.
- You **MUST** retype the **bold portion** of every section header, question or request directly above each individual response you provide. Be sure to place all responses and required information in the correct section or they **will not be considered or scored**.
- Your Project Narrative will be scored according to how well you answer the questions and respond to the requests in each section. Your Project Narrative should be a complete, concise and specific description of your coalition's best effort to accomplish the goals of the DFC grant program.
- While there is no individual score given for cultural competence, applicants are expected to consider cultural competence in responding to each section of the Project Narrative.
- Coalitions should assess the substance abuse problems in their community and also factor in the connection between culture and diversity in formulating appropriate and effective responses to local substance abuse problems. As the strategic plan is developed and implemented, cultural issues should be considered and appropriately addressed. This includes ensuring that staff and volunteers adequately represent the population being addressed, members of the population have a voice in the plan, and that strategies are culturally sensitive and appropriate to addressing the needs of the catchment areas population of focus.

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

General Instructions for Section F (Scored)

In Section F, you **MUST** provide a detailed Budget and Budget Justification Narrative using the **suggested structure and format** as that of the sample budget that appears as Attachment 1 of this RFA.

- The Budget Justification Narrative **MUST** be in written form and should appear below each individual budget line item or category.
- There is no page limit for your detailed Budget and Budget Justification Narrative.
- Peer Reviewers will score Section F based on the information you provide in your Budget and Budget Justification Narrative.

General Instructions for Sections G-M (Unscored)

In Sections G, H, I, J, K, L & M you are asked to provide Supporting Documentation for various components of your application. Please read each section carefully and provide all of the requested information. Sections G-M should be included as appendices to your application and be clearly and individually marked.

The Supporting Documentation you provide in Sections G-J is used to determine whether your application meets the eligibility criteria and whether the application is eligible to proceed to peer review for consideration of funding. Therefore, although these sections are not directly scored by peer reviewers, they are critical in your application's ability to move from eligibility screening to peer review. In addition, peer reviewers will be asked to review these sections while assessing your responses to Sections A-F.

Application Scoring Instructions

1. Peer reviewers will judge your response to each question in Sections A-F on a four point scale (0-3). 0= Unacceptable, 1= Marginal, 2= Good, and 3= Outstanding.
 - A response is **unacceptable** if the reviewer judges that the response does not answer the question.
 - A response is judged **marginal** if it falls short of adequately addressing the question.
 - A response is **good** when, in the reviewer's judgment, the response to the item is adequate but not exceptional.
 - A response is **outstanding** when, in the reviewer's judgment, the response is fully comprehensive and exceptional.
2. Peer reviewers will tally the number of the points you receive for each question to create a total score for that section. **Attachment 14 provides copies of the score sheets that will be used by peer reviewers to score applications.**

Project Narrative (Sections A-E)

Include a brief "Community Overview" of your catchment area or community of focus prior to providing your responses to Sections A-E. Use the information under the heading "Community Overview" as a guide. **The "Community Overview" is not**

scored; however, it does count toward your 26 page limit. Please utilize the heading “Community Overview” when providing the information.

Community Overview

- Demographics and relevant census data for your catchment area or community of focus (include a breakdown of age, race, ethnicity, gender, socioeconomic status, culture, total population and total number of students enrolled in grades six (6) through twelve (12) in the specific schools and/or districts that are within your targeted geographical area.
- Geographic setting (primarily urban or rural). Include whether tribal areas or populations are included within your coalition catchment area and/or community of focus.
- Specific geographic boundaries of your coalition’s catchment area and/or community of focus.

Section A: Community Assessment (maximum 12 points) *(Please retype this heading in your response)*

In this section, you must describe your coalition’s community assessment efforts. Information presented will include all data used to identify substance abuse problems in your catchment area and/or community of focus as well as specific issues in your community that lead to youth substance use. High scorers for Section A will use data to effectively define the youth substance use problems in their community as well as the unique local conditions that contribute to the specific youth drug use issues they have identified.

Question A1: Data on Youth Substance Abuse Trends *(Please retype this heading in your response)*

In this response, identify data from multiple sources that provide a comprehensive picture of youth substance abuse in your community. Please identify any and all sources for the data you provide and explain how the data provide meaningful measures of current drug abuse trends and drug perceptions among youth in your entire catchment area. (Sources may include community and/or student surveys, focus groups, town hall meetings, law enforcement statistics, public health indicators, etc).

Question A2: Problem Description *(Please retype this heading in your response)*

In this response, describe and identify the specific youth substance use problems that your coalition intends to impact or change using DFC funding. Please address the following items individually in your response.

- Based on the data presented above, describe the **nature and extent of the youth substance use problems** that your coalition intends to address. Include an explanation of how you know that each of these problems exist in your community. In your response, be as specific as possible about: a) the specific substances on which your coalition intends to focus, b) the age and demographics of the youth who are using these substances, and c) trends in use of these specific substances/drugs over the past years (if available).

Question A3: Community Conditions *(Please retype this heading in your response)*

- Provide a description of the *specific local conditions* in your catchment area and/or community of focus that you believe contribute to the youth substance use problems you have identified. Be specific.
- Describe significant environmental trends or other such issues in your catchment area or community of focus (business closings, workplace issues, changing demographics, drug crises, problems related to drug impacted children and/or children of alcoholics, etc.) and their impact on youth drug abuse.

Section B: Capacity Building (maximum 12 points) *(Please retype this heading in your response)*

In this Section of the Project Narrative, you must describe both the capacity of the target community and your specific coalition as it relates to local youth substance use identified in Section A. You will also describe the coalition's ability to lead and manage change within the community and specific capacity building structures and plans to maintain the coalition and its leadership. High scoring applicants effectively link the problems identified in Section A to existing or needed resources in this section.

Question B1: Community Resources *(Please retype this heading in your response)*

Describe the existing array of resources in your catchment area and/or community of focus that will help you address the problem(s) identified in Section A.

- Current financial resources (cash and in-kind);
- Other community assets, skills and programmatic resources (organizations, community leaders, training, knowledge, facilities, volunteers, other coalitions, service providers, drug courts, programs, etc.).

Question B2: Community Gaps and Weaknesses *(Please retype this heading in your response)*

Describe the known gaps or weaknesses in your catchment area community's ability to reduce youth substance use. Specifically, identify gaps in substance abuse prevention services, materials, information and/or other resources, as well as challenges to overcoming those gaps (cultural, political, philosophical, educational, financial etc.). Be sure to describe how this analysis links to problems identified in Section A.

Question B3: Coalition Capacity and Structure *(Please retype this heading in your response)*

Please describe the following:

- major roles, duties, qualifications, and relevant experience of key coalition staff (including specific names and job titles where possible).
- structure of the coalition (relationship of staff to board, committee or taskforce structures, how communication happens across these entities, how decisions are made and communicated, etc.).

- how the coalition resolves conflict within its structure as it works to develop and implement its plans.
- how the coalition fosters community involvement, encourages volunteer participation, and ensures the ongoing recruitment of new members.
- description of specific role/contribution of each of the 12 required sectors listed in the Eligibility Requirements in Section III.

Question B4: Coalition Development *(Please retype this heading in your response)*

Describe specifically what you plan to do in the first year of this grant to strengthen the coalition's internal capacity (e.g., leadership, management, board structure, recruitment, resource attainment, etc.) and how those efforts will help you reduce problems identified in Section A.

NOTE: In the previous two sections, you have provided information about the catchment area and/or community of focus you have selected, what you know about that community and its resources, and the capacity of your coalition to reduce youth drug use in that community. In the next three sections (C, D, and E) you will describe what your coalition plans to do to improve your catchment area and/or community of focus and address the youth substance abuse issues you identified in Section A, and how you will evaluate your effectiveness. Be sure that your responses in the following sections logically connect to the responses you have already provided in Sections A and B.

Section C: Planning (maximum 21 points) *(Please retype this heading in your response)*

In this Section, you must describe the process by which your coalition developed its 12-Month Implementation Action Plan for the first year of the DFC grant award (September 30, 2009 through September 29, 2010) and you will later present the details of implementing that plan in Section D. In Section C, however, you must provide reviewers with the background information necessary to understand how you arrived at the priorities in your plan. Describe who was involved in the development of the 12-Month Implementation Action Plan including how problems, priorities and objectives were identified and how (or if) the plan was agreed upon by coalition leaders, how the process involved multiple sectors of the community, and how the objectives of the plan support the two goals of the DFC Program.

Applicants have the option of including both their logic model and/or a Multi-Year Strategic Plan outlining proposed work for each of the four (4) funding years following the first grant year (September 30, 2009 through September 29, 2010). Place these **optional** documents in the application as Attachments (11 and 12 respectively) to your application so that reviewers may consult these as they score your responses to Section C. Be sure to reference these documents if you would like them to be considered by reviewers. **PLEASE NOTE--Inclusion of a logic model and a Multi-Year Strategic Plan is optional and thus not required in this grant application.**

High scorers in this section will be able to demonstrate significant volunteer involvement in identifying problems in the catchment area and/or community of focus and developing strategies to address those problems. It is critical for successful DFC coalitions to reflect community ownership and involvement and not be staff-driven.

Question C1: Plan Development *(Please retype this heading in your response)*

Describe the process by which your coalition made the decision to address the substance use and abuse problems identified in Section A. Be as specific as possible about who was involved in making the decision (both within and outside of your coalition), as well as about the factors that went into the decision (tragic event in the community, political will, parental concerns, youth concerns, coalition history, results of community assessment, etc.) Describe how the coalition made decisions about the short term priorities and activities for the first year of the grant.

Question C2: Connectivity to DFC Goal One *(Please retype this heading in your response)*

- Describe how the coalition's 12-Month Implementation Action Plan as presented in Section D will **strengthen collaboration** in the community to prevent and reduce substance abuse among youth. **(Goal One)**

Question C3: Connectivity to DFC Goal Two *(Please retype this heading in your response)*

- Describe how the coalition's 12-Month Implementation Action Plan as presented in Section D will **reduce substance use among youth and, over time, among adults** by addressing those factors in a community that increase the risk of youth substance use and strengthen those factors (protective) in a community likely to prevent youth substance use. **(Goal Two)**

Section D: Implementation (maximum 30 Points) *(Please retype this heading in your response)*

In this section, you must present your coalition's Implementation Action Plan for the first twelve (12) months of the grant, as well as a description of how it will be implemented and its intended impact on your chosen catchment area and/or community of focus. This plan must be detailed for the first year of funding (September 30, 2009 through September 29, 2010). The plan must include descriptions of the activities you plan to undertake in year one, the responsible parties, the target dates for completion, and the intended outcomes of each activity. If awarded a DFC grant, you will be required to submit a similar plan for each year of the grant.

High scorers in this section will provide a detailed, sequential, and logical time-specific implementation plan that shows an interconnected relationship between the goals, objectives, activities and intended outcomes or impacts the coalition plans to achieve during the first year (12 months) of this new grant award. Additionally, active

participation and shared responsibility across coalition partners are important review considerations.

Question D1: Grant Implementation Action Plan (first 12 months of the grant)
(Please retype this heading in your response)

You must present the details of your plan in table format as shown below. You may use 10 pt Times New Roman font inside the table (**for the rest of the application you must use 12 pt**). The table should fall within the text of this section (not an attachment). **NOTE: this table counts toward your overall page limit.**

TABLE 4: GRANT IMPLEMENTATION 12 MONTH ACTION PLAN

Each DFC Goal to be Addressed:					
Objective 1:					
	Activity	Responsible Party(s)	Target Date	Output (e.g., how you know it's done)	Outcome (e.g., the expected impact)
	xxx	xxx	xxx	xxx	xxx
	xxx	xxx	xxx	xxx	xxx
Objective 2:					
	Activity	Responsible Party(s)	Target Date	Output (e.g., how you know it's done)	Outcome (e.g., the expected impact)
	xxx	xxx	xxx	xxx	xxx

Question D2: Implementation Action Plan *(Please retype this heading in your response)*

Describe the specific organizations and individuals within your community that will be responsible for carrying out the 12-Month Implementation Action Plan. Describe why these entities were chosen for key tasks, the past experiences and accomplishments of each, and how their participation will help the coalition achieve the goals/outcomes of the plan.

Question D3: Implementation Action Plan Impact *(Please retype this heading in your response)*

Describe how the successful execution of your 12-Month Implementation Action Plan will impact multiple sectors of your community and lead to lasting community-wide change. Include in your answer an overview of how this plan will evolve over the next five years and highlight how your community will be different after your five years of Federal funding.

Section E: Evaluation (maximum 15 points) *(Please retype this heading in your response)*

In this section, you will discuss your ability to comply with DFC Program data reporting requirements, your plan to monitor the effectiveness of your coalition's efforts, and describe how you will use these data to inform your coalition's work. High scorers in this section will clearly define the methods by which they plan to measure progress toward achieving the outcomes defined in Section D and how achieving those outcomes impact the problems identified in Section A.

Question E1: Plan Success *(Please retype this heading in your response)*

Describe how the coalition will track outputs related to the activities in its One-Year Action Plan, measure progress toward expected outcomes and feed those findings into its planning process for future years.

Question E2: Core Measures Requirement *(Please retype this heading in your response)*

As a DFC grantee, you are required to report on the four (4) youth drug use measures bulleted below. The data **must be for at least three grades, for at least the following substances: alcohol, tobacco, and marijuana.** (You may target and report data on other substances, but are not required to report them).

1. Age of onset (including alcohol, tobacco and marijuana)
2. Frequency of use in the past 30 days (including alcohol, tobacco and marijuana)
3. Perception of risk or harm (including alcohol, tobacco and marijuana)
4. Perception of disapproval of use by parents (including alcohol, tobacco and marijuana)

Describe how the coalition is gathering, analyzing, and reporting data based on ONE of the following scenarios below. Please choose the one that best applies to your coalition. *(Please retype this heading in your response)*

1. Indicate if you currently collect or have access to data from your community in accordance with the above requirement. If so, identify the specific survey or instrument(s) used to gather this data, the institution/organization within your community that oversees the collection of this data, and describe how the data sufficiently represent the community served by your coalition (geographic footprint, age, race, gender, etc.).

OR:

2. If you do not currently have data on the DFC substance use measures for the youth in your community, please present and describe in detail the data that you currently possess that have helped you to identify your community's youth

substance use problem. Additionally, please present your plan for collecting the required data on the 4 Core Measures within the first 24-months of your grant, and how you plan to integrate that data into updating your 12-Month Implementation Action Plan. Explain how the data will sufficiently represent the community served by your coalition (geographic footprint, age, race, gender, etc.).

Question E3: Data Collaboration *(Please retype this heading in your response)*

Describe how the coalition has created community partnerships to collect, analyze, and report data, such as the measures provided above, and any other relevant local data (both quantitative and qualitative).

Question E4: Internal Evaluation *(Please retype this heading in your response)*

Describe how the coalition will evaluate the effectiveness of, and make ongoing changes and improvements to the capacity, structure and effectiveness of the coalition as identified in Question B3 of this application.

- a. major duties and qualifications of key coalition staff
- b. structure of the coalition (relationship of staff to board, committee or taskforce structures, how communication happens across these entities, how decisions are made and communicated, etc.)
- c. how the coalition resolves conflict within its structure as it works to develop and implement its plans
- d. how the coalition fosters community involvement and volunteer participation and provides for the recruitment of new members
- e. the role key partners and coalition members play in your coalition

Question E5: Information Sharing *(Please retype this heading in your response)*

How, and to what end, will the coalition share information gleaned from its evaluation activities with its catchment area and/or community of focus? Please specifically include how you will use this data to more effectively recruit and mobilize members of each of your required sectors.

****From this point forward, the information you submit does not count against your 26 page limit. ****

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

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

In this section, reviewers will determine whether or not items identified in the budget match the activities outlined in Section D of the Project Narrative. High scorers in this section present a detailed and justified budget that effectively and logically supports the activities and outcomes outlined in Section D. These include how well your Federal and non-Federal (match) requests demonstrate a clear link to your strategic plan.

Your budget will be judged by peer reviewers on the following:

1. Does it support the objectives in your one-year plan (Section D)?
2. Does it focus on supporting environmentally-based (systemic) community-wide change?
3. Does it make effective use of both Federal grant funds and required matching funds?

MANDATORY SUPPORTING DOCUMENTATION

Please include the information for Sections G-M as appendices to your application and label them as follows. This information should immediately follow Sections A-F with continuous page numbers that pick up exactly where the page numbers from Sections A-F terminate.

- *Section G*: Documentation for Eligibility Requirements
- *Section H*: Resumes and Job Descriptions
- *Section I*: Program Abstract
- *Section J*: General Applicant Information
- *Section K*: Applicant Demographics
- *Section L*: Certifications, Disclosures, and Checklists
- *Section M*: Logic Model and/or Multi Year Strategic Action Plan (OPTIONAL)

Section G: Documentation for Eligibility Requirements

Please provide the following documentation discussed in detail in Part III, Eligibility Requirements. Unless otherwise noted, **even if the information requested below exists within another section of your application, you must provide a response to each question below in this section. Provide this information in the order presented below.**

Requirement 1:

- 1.1 Sector representation table (see Attachment 4)
- 1.2 Memorandum of Understanding (MOU) from at least one representative of EACH of the 12 required sectors listed in the table noted above. (see Attachment 5 for sample)

Requirement 2:

- 2.1 One set of coalition meeting minutes from a coalition meeting that took place between January 1, 2008 and September 30, 2008.
- 2.2 One set of coalition meeting minutes from a coalition meeting that took place between October 1, 2008 and the deadline for submission of this application.

Requirement 3:

- 3.1 Coalition's mission statement.

Requirement 4:

- 4.1 Nothing required in Section G to show that the coalition targets, at a minimum, two specific drugs of use in their 12 Month Implementation Action Plan. This is contained in Section D of your Narrative Response.

Requirement 5:

- 5.1 Statement that the coalition is legally eligible to receive a grant or MOU between coalition and Grantee. (See Attachment 7 for sample)

Requirement 6:

- 6.1 Nothing required in Section G to show at least dollar for dollar (\$1:\$1) matching funds. This is contained in Section F, "Budget and Budget Narrative Justification."

Requirement 7:

- 7.1 Nothing required in Section G to show Applicants' budgets DO NOT show a request for Federal funds that exceeds \$125,000/year. This is contained in Section F, "Budget and Budget Narrative Justification."

Requirement 8:

- 8.1 If applicable, those applicants with geographic overlap must include one Memorandum of Understanding from each DFC coalition they overlap. If this is not applicable, state, "Overlap Requirement Not Applicable." (ONDCP strongly encourages you to include a Letter of Mutual Cooperation from each coalition with which you share a common zip code in order to eliminate the appearance of a potential geographic overlap.)

Requirement 9:

- 9.1 A signed applicant assurance for no more than one DFC grant. (See Attachment 8)

Requirement 10:

- 10.1 A signed applicant Assurance of Compliance with Year 11 Policy. (See Attachment 9)

Section H: Resumes and Job Descriptions

Applicants MUST include the following information in this Section:

A resume, no more than two pages long, for the Program/Project Director, and if applicable, the Project Coordinator, and each paid or in-kind positions. Please include a position description for each resume and, if the person has not been hired, a letter of commitment with a current resume from the individual to be hired (whenever possible).

If no individual has been identified for a position, a position description is still required along with an overview of your hiring plan and current status.

Job descriptions should be no longer than one page each for paid and in-kind personnel.

Information on what should be included in resumes and job descriptions is available on page 22, Item 6, in the Program Narrative section of the PHS 5161-1 instruction page, available at www.hhs.gov/forms/PHS-5161-1.doc.

Section I: Program Abstract

Provide a program abstract, no longer than 35 lines, in this section.
A sample program abstract is included in Attachment 10 of this RFA.

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. Place a copy of the abstract immediately prior to the Table of Contents in your application

The Abstract **MUST** include the following information at the top of the page:

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

Section J: General Applicant Information

You must provide the following information, in the following order, in the same format as below in this section (provide the answers in the white space between each gray line):

TABLE 5: QUESTIONNAIRE 1

J1	Grant Applicant Organization (legal name):
J2	Federal Dollar Amount Requested: (same as Application Form, SF-424, Line 18A and Budget Information Form, SF424 A , Line 7 (1))
J3	Name of Coalition (If the Coalition is Applicant, indicate SAME and skip to J5) :

J4	Coalition Mailing Address, including; Street, PO Box, City, State and Zip:
J5	There are two Key Personnel positions required for this grant, the Program Director / Project Director and the Project Coordinator. (see page 39 for descriptions). The Program Director / Project Director contact information should be identified on the PHS Form 5161-1 Checklist, Part C (Program Director/Project Director). This person has daily oversight of the project. The contact information for the Project Coordinator should be listed below. This person should have the programmatic working knowledge of the coalition and will be the person listed on the DFC Website if awarded the grant. In some cases, the Project Coordinator may not be hired until after the grant is awarded. Please select statement A or B as applicable to your coalition and provide the appropriate contact information as requested: A. The Project Coordinator will be hired after grant award – please use the information provided in J6 – J11 until the position is hired. B. The Program Director / Project Director will serve in this capacity until the position is hired, please use the Program Director / Project Director contact information listed on the PHS Form 5161 for both positions. (skip to J-12)
J6	Project Coordinator Name:
J7	Agency or Coalition Position Title (Project Coordinator or other title used):
J8	Mailing Address: including; Street, PO Box, City, State and Zip:
J9	Project Coordinator Phone:
J10	Project Coordinator Fax:
J11	Project Coordinator Email Address:
J12	Federal Congressional Districts Served by the coalition: (list the districts that the coalition will effect with these grant funds – establishes grant service area for purpose of grant award)
J13	List every individual zip code for the target geographic area of focus to be

	served by the coalition., i.e., city county coordinates, street intersections, etc. (Be specific, about the area being targeted, there can only be one grant serving this location unless the applicant can demonstrate coordination with existing grants in the same area.) Separate the Zip Codes by commas.
J14	Is the area served designated as an Economically Disadvantaged Area: (see definition provided in the glossary). Indicate Yes or No.
J15	Indicate whether the area(s) served by the coalition is primarily rural or urban: (See definition provided in the glossary). Indicate Rural or Urban.
J16	If primarily rural, indicate if the county in which the coalition operates has a population of 30,000 or fewer people with the following statement, "the county of operation (XX county) has a population of 30,000 or fewer people". Otherwise, type, "N/A"
J17	Does the coalition serve a federally recognized tribal area? Indicate Yes or No.
J18	Does the coalition have representation that includes at least one Native American? Indicate Yes or No.

Single State Authority Letter - Immediately after this table, include a copy of your letter to the Single State Authority in your State, showing that you have informed them that you have applied for a DFC grant.

Section K: Information and Demographics

You must provide the following information, in the following order, in the same format as below in this section.

TABLE 6: QUESTIONNAIRE II

K1	Proposed evaluation contact for the DFC grant (include name, phone number, and email address):
K2	Geographical boundaries of the area(s) of focus served by the coalition (i.e., city, county coordinates, street intersections, etc.)
K3	Total population of the area(s) of focus served by the coalition:
K4	Total number of students enrolled in grades six (6) through twelve (12) in the specific schools and/or districts that are within the coalition's geographical area(s):

K5	List drugs addressed by the coalition
K6	Is the Applicant a religious or faith-based organization? Indicate Yes or No.
K7	Has the applicant ever been officially mentored by a DFC-funded coalition through the DFC Mentoring Grant Program. If so, please name the mentoring coalition and provide the DFC Mentoring Grant Number? Indicate Yes or No.
K8	List of all the coalition's other Federal and State funding sources:
K9	List of any of the coalition's other funding sources (including foundations, fundraising drives, corporate support, and any other funding sources):
K10	Year the Coalition was established:
K11	Coalition board chair/president (chief volunteer) – include name, phone number and Email address:
K12	Proposed evaluation contact for the DFC grant – include name, phone number, and Email address:

Section L: Certifications, Disclosures, and Checklists

For this section you must complete the following:

- L1. Assurance of Compliance with SAMHSA Charitable Choice and Regulations Form SMA 170.** This form is posted on SAMHSA's Web site with the RFA and is provided in the application kit available from the SAMHSA Information Line at 1-877-SAMHSA7 [TDD: 1-800-487-4889].
- L2. SF 424 Face Page (Certifications and Assurances)** -You must read the list of certifications and required assurances provided on the SAMHSA Web site or in the application kit before signing the face page (SF 424 v2) of the application.
- L3. Disclosure of Lobbying Activities** – Use Standard Form LLL found in the PHS 5161-1. Federal law prohibits the use of appropriated funds for publicity or propaganda purposes, or for the preparation, distribution, or use of the information designed to support or defeat legislation pending before the Congress or State legislatures. This includes “grass roots” lobbying, which consists of appeals to members of the public suggesting that they contact their elected representatives to indicate their support for or opposition to pending legislation or to urge those representatives to vote in a particular way. If no lobbying is to be disclosed, mark N/A on the form.

- L4. Checklist – Use the checklist found in the PHS 5161-1.** The Checklist ensures that you have obtained the proper signatures, which includes Assurances and Certifications. If you are submitting a paper application, the Checklist should be the last page. Also include the Pre-submission Checklist provided in Attachment 15. If you are submitting a paper application, this Checklist should be placed immediately before the last page of your application.

***Section M (OPTIONAL): Logic Model and/or Multi Year Strategic Action Plan**

2. REVIEW AND SELECTION PROCESS

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

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

VII. AWARD ADMINISTRATION INFORMATION

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1. AWARD NOTICES

Within 30 days of receipt of your application, SAMHSA will notify you through postal mail that your application has been received. If you submit your application on time and do not receive notification by Monday, April 20, 2009, you may contact SAMHSA's Office of Grants Review Peer Review at (240) 276-1199 for additional information.

Sometime between the middle and end of August 2009, the list of awardees will be posted to <http://www.ondcp.gov/dfc/>. Soon thereafter, if you are approved for funding, you will receive a Notice of Award (NOA), signed by SAMHSA's Grants Management

Officer. The Notice of Award (NOA) is the sole obligating document that allows the grantee to receive Federal funding for work on the grant project.

By Mid-October 2009, all applicants that are peer reviewed will receive a letter from SAMHSA through postal mail that contains their peer review score and summarized comments from the peer reviewers.

2. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS

- Grantees must comply with all terms and conditions of the grant award. DFC standard terms and conditions are available on the DFC Web site at: <http://ondcp.gov/dfc/>
- Grantees will be held accountable for the information provided in the application relating to performance targets. SAMHSA program officials will consider your progress in meeting goals and objectives, as well as your failures and strategies for overcoming them, when making an annual recommendation to continue the grant and the amount of any continuation award. Failure to meet stated requirements or goals and objectives may result in suspension or termination of the grant award or in reduction or withholding of continuation awards. Complete details related to the DFC Appeals Process are available at: http://ondcp.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. Applicants are encouraged to complete the survey and return it, using the instructions provided on the survey form.

3. REPORTING REQUIREMENTS

3.1 Progress and Financial Reports

Each year, grantees are required to submit two program progress reports, an annual classification tool survey, and various financial reports. Full details regarding specific due dates are available at: <http://ondcp.gov/dfc/reportduedates.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 ONDCP/SAMHSA-funded project that are accepted for publication.

In addition, SAMHSA requests that grantees:

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

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

VIII. AGENCY CONTACTS

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

Dan Fletcher
Center for Substance Abuse Prevention
Substance Abuse and Mental Health Services Administration
1 Choke Cherry Road
Room 4-1085
Rockville, Maryland 20857
(240) 276-1270
dfcnew2009@samhsa.hhs.gov

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

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

IX. ATTACHMENTS

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ATTACHMENT 1: Sample Budget

(Includes Budget Narrative, Justification, and Budget Definitions (Scored))

Before developing a project budget, applicants should review SAMHSA guidelines to determine cost sharing expectations and any restrictions on the types of costs that may appear in the budget.

All of the budget items listed, whether supported by grant funds or match, must be reasonable, necessary to accomplish project objectives, allowable in terms of the applicable federal cost principles, auditable, and incurred during the project period.

BUDGET DEFINITIONS:

Authorized Business Official:

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

Key Personnel:

Drug Free Communities Support (DFC) grant key personnel must include a program director and program coordinator. Key personnel are defined as individuals who contribute to the programmatic development or execution of the project in a substantive, measurable way, whether or not they receive salaries or other compensation under the grant.

Program Director / Project Director:

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

Project Coordinator:

An individual who will coordinate coalition services and DFC project activities, including training, coalition communication, data collection and dissemination. (Person Listed in Section J)

Level of Effort:

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

Direct Costs:

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

Indirect Costs:

Those costs that cannot be identified readily and specifically with a particular sponsored project, program or activity but are necessary to the operation of the organization (i.e. overhead, facility maintenance, etc.) requires a negotiated indirect cost rate (see PHS-5161-1); otherwise, costs may be charged directly in detail and justified. Applicants that have not established indirect cost rates and wish to claim indirect costs are required to submit an indirect cost proposal to the appropriate office within 90 days from the start date of the project period. If the applicant requests indirect cost reimbursement but does not have an approved rate agreement at the time of award, the grantee shall be limited to a provisional rate equaling one-half of the indirect costs requested, up to a maximum of 10 percent of salaries and wages only. If the recipient fails to provide a timely proposal, indirect costs paid in the anticipation of establishment of a rate must be disallowed. **SAMHSA will not accept a research indirect cost rate.** The grantee must use another sponsored program rate or lowest rate available.

Project Costs:

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

Allowable Project Costs:

A cost incurred by a recipient that is:

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

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

- **Reasonableness (including necessity).** A cost is reasonable if, in its nature or amount, it does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur

the cost. The cost principles elaborate on this concept and address considerations such as whether the cost is of a type generally necessary for the organization's operations or the grant's performance, whether the recipient complied with its established organizational policies in incurring the cost or charge, and whether the individuals responsible for the expenditure acted with due prudence in carrying out their responsibilities to the Federal government and the public at large as well as to their organization.

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

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

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

Applicants are also strongly encouraged to apply for the full \$125,000 for each of the four (4) subsequent renewal years of funding in their budget forecast even if the applicant is not able to apply for full funding in year one due to insufficient match. The

amount requested in this original application for the four future years establishes the maximum amount that the applicant can receive in future years if awarded the grant. Grantees are required to submit an annual budget request each year. The annual amount requested can be less than \$125,000 due to possible challenges with having sufficient match, but can never be greater than the amount indicated in this submission. Therefore, it is more advantageous to request the full \$125,000 for each out year of funding.

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

A. Personnel:

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

TABLE 7: FEDERAL REQUEST

Position	Name	Annual Salary/Rate	Level of Effort	Cost
Program Director	John Doe	\$64,890	10%	\$6,489
Project Coordinator	To be selected	\$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. Be sure to describe the role, responsibilities and unique qualifications of each position.

TABLE 8: NON-FEDERAL MATCH

Position	Name	Annual Salary/Rate	Level of Effort	Cost
Clerical Support	Susan Johnson	\$13.38/hr x 100 hr.		\$1,338
			TOTAL	\$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. Be sure to describe how your matching funds will help sustain and enhance your Federal budget request.

SOURCE OF MATCH FUNDS: State source of match funds

FEDERAL REQUEST (enter in Section B column 1 line 6a of form SF424A): **\$52,765**

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

B. Fringe Benefits:

Fringe benefits may include contributions for social security, employee insurance, pension plans, etc. Only those benefits not included in an organization's indirect cost pool may be shown as direct costs.

List all components of fringe benefits rate

TABLE 9: FEDERAL REQUEST

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

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

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

TABLE 10: NON-FEDERAL MATCH

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

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

Fringe reflects current rate for agency

SOURCE OF MATCH FUNDS: State source of match funds

FEDERAL REQUEST (enter in Section B column 1 line 6b of form SF424A): **\$10,896**

NON-FEDERAL MATCH (enter in Section B column 2 line 6b of form SF424A): **\$275**

C. Travel:

Explain need for all travel other than that required by this application. The lowest available commercial fares for coach or equivalent accommodations must be used. Local travel policies prevail.

TABLE 11: FEDERAL REQUEST

Purpose of Travel	Location	Item	Rate	Cost
New Grantee Training	Washington, DC	Airfare	\$200/flight x 2 persons	\$400
		Hotel	\$200/night x 2 persons x 3 nights	\$1200
		Per Diem (meals)	\$64/day x 2 persons x 3 days	\$384
Coalition training in Western US	Denver, CO (tentative location)	Airfare	\$200/flight x 2 persons	\$400

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

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

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

TABLE 12: NON-FEDERAL JUSTIFICATION

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

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

Local travel rate is based on agency's POV reimbursement rate.

SOURCE OF MATCH FUNDS: State source of match funds

FEDERAL REQUEST (enter in Section B column 1 line 6c of form SF424A): **\$6,340**

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

D. Equipment:

Only when an applicant can demonstrate that the purchase of permanent equipment will be less expensive than rental may charges be made to the project for such purchases.

Permanent equipment is defined as nonexpendable personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more.

If applicant agency defines "equipment" at lower rate then follow the applying agency's policy.

TABLE 13: FEDERAL REQUEST

Item(s)	Rate	Cost
None		0
	TOTAL	

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

TABLE 14: NON-FEDERAL MATCH

Item(s)	Rate	Cost
None		0
	TOTAL	0

NARRATIVE JUSTIFICATION: Enter a description of the Equipment match provided and how its purchase will support the purpose and goals of this proposal. Be sure to describe how your matching funds will help sustain and enhance your Federal budget request.

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

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

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

TABLE 15: FEDERAL REQUEST

Item(s)	Rate	Cost
General office supplies	\$50/mo. x 12 mo.	\$600
Postage	\$37/mo. x 8 mo.	\$296
Laptop Computer	\$900	\$900
Printer	\$300	\$300

Item(s)	Rate	Cost
Projector	\$900	\$900
Copies	8000 copies x .10/copy	\$800
Computer update (if needed)		\$250
	TOTAL	\$4,046

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

TABLE 16: NON-FEDERAL MATCH

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

NARRATIVE JUSTIFICATION: Enter a description of the Supplies match provided and how their purchase will support the purpose and goals of this proposal. Be sure to describe how your matching funds will help sustain and enhance your Federal budget request.

SOURCE OF MATCH: State source of match funds

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

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

F. Contract:

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

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

TABLE 17: FEDERAL REQUEST

Name		Cost
1. To be selected	Environmental Strategy Consultation Rate is \$150/day for 35 days = \$5,250 Travel 500 miles @ .38/mile = \$190	\$5,440
2. To be selected	Dangers of Meth 1.5 minute Public Service Announcement (PSA)	\$3,000
3. To be selected	Evaluation Report	\$4,500

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

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

TABLE 18: NON-FEDERAL MATCH

Name	Service	Cost
1. Coalition members	Participation in coalition activities as outlined in strategic plan 12 members x \$17.50 x10 hr./mo. (average) x 12 mo.	\$25,200
2. Local School District	Student Assistance Program – MOU demonstrates breakout of services	\$15,000
3. Local PD	Alcohol Compliance Checks Officer Overtime: 8 officers @ \$50/hour = \$400 x 6 checks = \$ 2,400	\$2,400
4. Youth members	Alcohol Compliance Checks \$200/youth X 8 youth x 6 checks = \$9,600 16 parent chaperones X 6 checks X \$25/check = \$2,400	\$ 12,000
5. Media sponsorship	Local cable station agrees to run Meth PSA an average of 5 times/week for 6 mo. – average rate for paid PSA is \$50/announcement	\$6,000
6. Media sponsorship	As part of the "Debunk the Myth" campaign contract will require match for at least one ad for each purchased.	\$13,000
	TOTAL	\$73,600

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

SOURCE OF MATCH FUNDS: State source of match funds

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

NON-FEDERAL MATCH (enter in Section B column 2 line 6f of form SF424A): **\$73,600**

G. Construction: NOT ALLOWED

On your SF424A, leave the following section blank: Section B columns 1&2 line 6g

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

TABLE 19: FEDERAL REQUEST

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

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

TABLE 20: NON-FEDERAL MATCH

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

Item	Rate	Cost
10. Underage Drinking Initiative	Coordination and administration MOU demonstrates breakout of services	\$3,000
	TOTAL	\$47,583

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

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

SOURCE OF MATCH FUNDS: State source of match funds

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

NON-FEDERAL MATCH (enter in Section B column 2 line 6h of form SF424A): **\$47,583**

TOTAL DIRECT COSTS:

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

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

TOTAL INDIRECT COSTS:

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

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

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

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

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

TABLE 21: BUDGET SUMMARY

Category	Federal Request	Non-Federal Match	Total
Personnel	\$52,765	\$1,338	\$54,103
Fringe	\$10,896	\$275	\$11,171
Travel	\$6,340	\$1,556	\$7,896
Equipment	0	0	0
Supplies	\$4,046	\$648	\$4,694
Contractual	\$30,608	\$73,600	\$104,208
Other	\$15,819	\$47,583	\$63,402
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.

CALCULATION OF FUTURE BUDGET PERIODS

(Based on first 12-month budget period)

(Sample for grants in the first year of the five year funding cycle)

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

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

TABLE 22: SAMPLE OF FUTURE BUDGET PERIODS

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

Category	2nd project year		3rd project year		4th project year		5th project year	
	Federal	Match	Federal	Match	Federal	Match	Federal	Match
Total Costs	\$125,000	\$125,000	\$125,000	\$125,000	\$125,000	\$125,000	\$125,000	\$125,000

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

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

If you are applying for a second 5-year funding cycle the match required for:

Years 7 and 8 is equal to at least 125% of the total Federal request

Years 9 and 10 is equal to at least 150% of the total Federal request.

ATTACHMENT 2: Application Submission and Formatting Requirements

[\[Return To TOC\]](#)

CONTENT AND FORM OF APPLICATION SUBMISSION

APPLICATION KIT

SAMHSA application kits include the following documents:

PHS 5161-1 (revised July 2000) – Includes the face page (SF 424 v2), budget forms and checklist. You must use the PHS 5161-1. **Applications that are not submitted on the required application form will be screened out and will not be reviewed.**

Request for Applications (RFA) – Provides specific information about the availability of funds along with instructions for completing the grant application. This document is the RFA. The RFA will be available on the SAMHSA Web site (<http://www.samhsa.gov/grants/2009/fy2009.aspx>) and a synopsis of the RFA is available on the Federal grants Web site (<http://www.grants.gov/>).

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

REQUIRED APPLICATION COMPONENTS

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

Face Page – SF 424 v2 is the Face Page. This form is part of the PHS 5161-1. **[Note:** Applicants must provide a Dun and Bradstreet (DUNS) number to apply for a grant or cooperative agreement from the Federal Government. SAMHSA applicants are required to provide their DUNS number on the face page of the application. Obtaining a DUNS number is easy and there is no charge. To obtain a DUNS number, access the Dun and Bradstreet Web site at <http://www.dnb.com/us/> or call 1-866-705-5711. To expedite the process, let Dun and Bradstreet know that you are a public/private nonprofit organization getting ready to submit a Federal grant application.]

Budget Form: Use SF 424A which is part of the PHS 5161-1. Fill out Sections B, C, and E of the SF 424A. (Your completed form SF 424A should reflect the final numbers as they appear in your Sample Budget – see Attachment 1 of this RFA).

Abstract – Your total abstract should not be longer than 35 lines. In the first five lines or less of your abstract, write a summary of your project that can be used, if your project is funded, in publications, reporting to Congress, or press releases. A sample abstract is provided in Attachment 10 of this RFA. **Your abstract should be provided in**

Section I of your application and a copy of your abstract placed prior to the Table of Contents.

Table of Contents – Include page numbers (beginning with your Table of Contents as Page 1) for every page of the application including Supporting Documentation.

Project Narrative and Supporting Documentation – The Project Narrative describes your project. It consists of Sections A through E. Sections A-E together may not be longer than 26 pages. (Remember that if your Project Narrative starts on page 5 and ends on page 31, it is 27 pages long, not 26 pages.) More detailed instructions for completing each section of the Project Narrative are provided in “Section V - Application Review Information” of this document.

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

Section G: Documentation for Eligibility Requirements
Section H: Resumes and Job Descriptions
Section I: Program Abstract
Section J: General Applicant Information
Section K: Applicant Information and Demographics
Section L: Certifications, Disclosures, and Checklists
Section M: Logic Model and/or Multi Year Strategic Action Plan (OPTIONAL)

APPLICATION FORMATTING REQUIREMENTS

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

Use the PHS 5161-1 Application for Federal Assistance.

Applications must be received by the application due date and time, as detailed below.

Information provided must be sufficient for review.

Text must be legible. Pages must be typed in black ink, single-spaced, using a font of Times New Roman 12, with all margins (left, right, top, bottom) at least one inch each. (For Project Narratives submitted electronically, see separate requirements below under “Submission of Electronic Applications.”)

To ensure equity among applications, page limits for the Project Narrative cannot be exceeded.

Paper must be white paper and 8.5 inches by 11.0 inches in size.

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

Pages should be typed single-spaced in black ink with one column per page. Pages should not have printing on both sides.

Pages should be numbered consecutively from beginning to end so that information can be located easily during review of the application. Sections should be provided in the order they are presented in the RFA (A, B, C, etc.) The two exceptions to this are that the front of the application submitted should be Standard form 424 v2 and Standard Form 424A. These pages are NOT to be numbered. The next page should be the one-page abstract (from Section I) followed by the Table of Contents which should be page 1. Immediately following the Table of Contents will be the responses to each section in order (beginning with Section A).

Send the original application and two copies to the mailing address provided below under Submission Dates and Times. Please do not use staples, paper clips, and fasteners. Nothing should be attached, stapled, folded, or pasted. It is recommended that you insert a piece of colored paper between the three copies of the application. Do not use heavy or lightweight paper or any material that cannot be copied using automatic copying machines. Odd-sized and oversized attachments such as posters will not be copied or sent to reviewers. Do not include videotapes, audiotapes, or CD-ROMs.

SUBMISSION DATES AND TIMES

You may submit your application in paper or electronic format.

****Attention Applicants: ONDCP STRONGLY encourages you to submit your application in paper format following the guidelines and requirements set forth in this RFA.**

GUIDANCE FOR SUBMISSION OF PAPER APPLICATIONS

(Instructions for submission of electronic submissions is in the immediate next section of this document titled, “Guidance for Electronic Submission of Applications”)

Applications are due on **March 20, 2009**. **Hard copy applications are due (must arrive) by 5:00 PM (EST). Electronic applications MUST be submitted completely through Grants.gov by 11:59pm (E.S.T). Hand carried applications will not be accepted. Applications may be shipped using only Federal Express (FedEx), United Parcel Service (UPS), or the United States Postal Service (USPS).**

Send paper applications to the following address:

For United States Postal Service:

Crystal Saunders, Director of Grant Review
Office of Program Services
Substance Abuse and Mental Health Services Administration
Room 3-1044
1 Choke Cherry Road
Rockville, MD
For USPS submissions, use zip code **20857**
For other delivery services, use zip code **20850**.

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

Do not send applications to other agency contacts, as this could delay receipt. Be sure to include **“SP-09-002 – DFC Support Program”** in item number 12 on the face page (SF 424 v2) of any paper applications.

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

You will be notified by postal mail within 30 days of the final due date that your application has been received.

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

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

You must submit an original application and 2 copies (including attachments). The original and copies must not be bound. Do not use staples, paper clips or fasteners.

Nothing should be attached, stapled, folded or pasted. It is recommended that you insert a piece of colored paper between the three copies of the application.

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 this 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 should follow all the instructions contained in this document. Failure to upload any and all of the required documentation to grants.gov that is described in this RFA will result in your application not being considered for funding. You may wish to use the following sources for technical assistance as well:

By e-mail: support@Grants.gov

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

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

It is strongly recommended that when using Grants.Gov (<http://www.grants.gov/>) you submit your grant application using Microsoft Office products (e.g., Microsoft Word, Microsoft Excel, etc.). 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 products, you may submit PDF files. Directions for creating PDF files can be found on the Grants.gov Web site (<http://www.grants.gov/>). Use of file formats other than Microsoft Office or PDF may result in your file being unreadable by our staff.

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

Text legibility: Use a font of Times New Roman 12, line spacing of single space, and all margins (left, right, top, and bottom) of at least one inch each. Adhering to these standards will help to ensure the accurate transmission of your document.

Amount of space allowed for Project Narrative: The Project Narrative for an electronic submission may not exceed 13,390 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.

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

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

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

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

The Grants.gov Web site (<http://www.grants.gov/>) does not accept electronic signatures at this time. Therefore, you must submit a signed paper original of the face page (SF 424 v2), the assurances (SF 424B), and hard copy of any other required documentation that cannot be submitted electronically. **You must include the Grants.gov tracking**

number for your application on these documents with original signatures, on the top right corner of the face page, and send the documents to the following address. The documents must be received at the following address within 5 business days after your electronic submission. Delays in receipt of these documents may impact the ability of your application to be funded.

For United States Postal Service:

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

For USPS submissions, use zip code **20857**

For other delivery services, use zip code **20850**

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

INTERGOVERNMENTAL REVIEW (E.O. 12372) REQUIREMENTS

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

Check the list to determine whether your State participates in this program. You **do not** need to do this if you are an American Indian/Alaska Native tribe or tribal organization.

If your State participates, contact your SPOC as early as possible to alert him/her to the prospective application(s) and to receive any necessary instructions on the State's review process.

For proposed projects serving more than one State, you are advised to contact the SPOC of each affiliated State.

The SPOC should send any State review process recommendations to the following address within 60 days of the application deadline. **For United States Postal Service:** Crystal Saunders, Director of Grant Review, Office of Program Services, Substance Abuse and Mental Health Services Administration, Room 3-1044, 1 Choke Cherry

Road, Rockville, MD **20857**. ATTN: SPOC – Funding Announcement No. **SP-09-002**. Change the zip code to **20850** if you are using another delivery service.

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

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

The PHSIS consists of the following information:

- a copy of the face page of the application (SF 424); and
- a summary of the project, no longer than one page in length, that provides: 1) a description of the population to be served, 2) a summary of the services to be provided, and 3) a description of the coordination planned with appropriate State or local health agencies.

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

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

For United States Postal Service:
Crystal Saunders, Director of Grant Review
Office of Program Services
Substance Abuse and Mental Health Services Administration
Room 3-1044
1 Choke Cherry Road
Rockville, MD
ATTN: SSA – Funding Announcement No. **SP-09-002**.

For USPS submissions, use zip code **20857**
For other delivery services, use zip code **20850**.

In addition:

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

FUNDING LIMITATIONS/RESTRICTIONS

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

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

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

- DFC grant funds must be used for purposes supported by the program.
- DFC grant funds may not be used to pay for the purchase or construction of any building or structure to house any part of the grant project.
- SAMHSA will not accept a "research" indirect cost rate. The grantee must use the "other sponsored program rate" or the lowest rate available.

ATTACHMENT 3: Coalition Roles and Relationship to Member Sectors

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

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

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

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

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

ATTACHMENT 4: Sample Sector Representative Table

(Include as part of Section G)

Sector	Individual Representative Name	Organization Name	Summary of Contribution(s)	Signed MOU Included for this Individual (Required)
<i>youth (an individual 18 or under)</i>		N/A		Yes
<i>parent</i>		N/A		Yes
<i>business community</i>				Yes
<i>media</i>				Yes
<i>school</i>				Yes
<i>youth-serving organization</i>				Yes
<i>law enforcement agency</i>				Yes
<i>religious or fraternal organization</i>				Yes
<i>civic or volunteer group</i>				Yes
<i>healthcare professional</i>				Yes
<i>State, local, or tribal governmental agency with expertise in the field of substance abuse</i>				Yes
<i>other organizations involved in reducing substance abuse</i>				Yes

ATTACHMENT 5: Sample Memorandum of Understanding (MOU)
(Sample MOU for Coalitions and Sector Members -Include as part of Section G)

TABLE 23: SECTOR INFORMATION

Sector Name (Youth, Parents, Business, etc.)	Sector Representative (Individual's Name as listed in "Sector Representative Table")	Agency/Organization
Insert Which of the 12 Required Sectors Represented	Insert Individual's Name	Insert Organization Name

1. This Agreement between (Coalition Name) and (Sector Representative) shall be from October 1, 2009 until terminated by mutual agreement:

SERVICES AND RESPONSIBILITIES

2. **[Coalition Name]** shall be responsible to:
- Set policies for staff and programs;
 - Formulate goals and objectives in compliance with its funding source;
 - Oversee the daily operation of its activities and programs;
 - Direct any **[Coalition Name]** staff and volunteers working on its activities and programs;
 - Jointly set goals and objectives for staff and volunteers, and negotiate and approve their activities;
 - Create and follow its strategic plan within the requirements of its funding source; and
 - [Coalition Name]** will respect the right of the (Sector Member Name) members to their own opinions and beliefs.
3. **[Sector Member Name]** shall be responsible to:
- Attend ____ number of meetings annually;
 - Participate in _____committee;
 - Attend coalition sponsored trainings, seminars, and community-wide events;
 - Participate in assessing and analyzing root causes of substance abuse problems in the community;

- e. Participate in on-going logic model development and strategic planning processes;
- f. Participate in on-going refinement of the coalition vision, mission, objectives, goals, and activities;
- g. Ensure clear communication between the sector member's organization and the coalition;
- h. Participate in the implementation of multiple strategies across multiple sectors to achieve community change;
- i. Work towards creating population-level change as evidenced by the four core measures;
- j. Participate in sustaining the coalition's vitality, involvement, and energy in the community; and
- k. Support the overarching principles of cultural competence and ensure its incorporation into the coalition's comprehensive approach.

CONFIDENTIALITY

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

AMENDMENT

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

DATED this _____ day of _____, [200X].

Coalition Name (Please Print)

By: _____
[Coalition Signature]

Title (Please Print)

Sector Member Name and Sector Represented (Please Print)

By: _____
[Sector Signature]

By: _____
Title (Please Print)

ATTACHMENT 6: Grantee Roles and Relationship to a Coalition

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

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

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

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

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

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

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

Arrangements for grantee services should be treated as a business transaction and it is suggested that the grantee and coalition seek guidance from an attorney and/or an accountant when entering into such agreements. Grantees, as well as the coalition,

should be fully aware and understand the commitment placed on the grantee to provide this service.

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

Accounting Requirements

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

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

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

Another consideration for coalitions that have a legal designation and can apply for this grant themselves or secure a grantee to serve as the grant recipient, but do not have adequate fiscal accounting processes to meet the needs of managing a federal grant, is that you 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 can be considered as part of their in-kind match.

For further assistance on understanding issues regarding grantee role and responsibilities or expectations, you may contact the **Division of Grants Management at (240) 276-1405**.

ATTACHMENT 7: Sample Memorandum of Understanding (MOU)

(Sample MOU for Coalitions and Sector Members)

1. This Agreement between **[Coalition Name and Grantee Name]** shall be from **[Month, Date, 200X]** until terminated by mutual agreement:

SERVICES AND RESPONSIBILITIES

2. **[Coalition Name]** shall be responsible to:
 - a. Set policy for its own programs;
 - b. Formulate goals and objectives in compliance with its funding source;
 - c. Oversee the daily operation of its activities and programs;
 - d. Jointly select and direct any **[Coalition Name]** staff and any volunteers working on its program;
 - e. Jointly set goals and objectives for contract employees, and negotiate and approve their contracts;
 - f. Create, approve and follow its budget in compliance with the requirements of its funding source;
 - g. Obtain, pay for and monitor its own telephone for making long distance calls and an answering machine for receiving confidential messages; and
 - h. Provide to [Grantee Name] copies of all required documentation, including but not limited to grant proposals, by-laws, minutes of meetings, goals and objectives, budget, personnel agreements, and personnel and program policies.
 - i. **[Coalition Name]** will respect the right of other **[Grantee]** users to their own opinions and beliefs.
3. **[Grantee Name]** shall be responsible to:
 - a. Provide space in which **[Coalition Name]** can store its supplies, maintain its records, and where its personnel can work;
 - b. Through and by its staff, assist per grant details, administer as specified in the grant, and compile the **[Coalition Name]** financial reports on a mutually agreed schedule;
 - c. Provide banking services, perform bookkeeping, prepare and distribute payroll, and prepare and submit through its bookkeeping staff the appropriate forms for

any employment taxes. Wages and payroll taxes due shall be paid from **[Coalition Name]** funds;

- d. Provide banking services regarding funds received, provide bookkeeping, and pay outstanding bills as approved;
 - e. Ensuring the **[Coalition Name]** maintains a physical mailing address (**not a Post Office Box**) at which they will receive all mail;
 - f. Jointly select and direct any **[Coalition Name]** staff and any volunteers working on its activities or programs;
 - g. Jointly set goals and objectives for contract employees, and negotiate and approve their contracts;
 - h. Incorporate into **[Grantee Name]** library any reference materials targeted toward the general public which are provided by the **[Coalition Name]** for that purpose;
 - i. Take messages received at **[Grantee Name]** phone number, record them and forward them to **[Coalition Name]** organization;
 - j. Maintain a non-profit mailing permit, which can be used for mailings by **[Grantee Name]** of **[Coalition Name]** materials which conform to Post Office regulations;
 - k. **[Grantee Name]** agrees to maintain and make available to **[Coalition Name]** upon request all books, records, documents and other evidence pertaining to the costs and expenses relating to this Agreement to the extent and in such detail as will properly reflect all direct costs of labor, materials, equipment, supplies, services and other costs and expenses of whatever nature for which reimbursement is claimed or payment is made under the provisions of this contract.
4. This agreement shall be subject to all applicable provisions of State and Federal law and regulations related to the delivery and funding of social service.

SERVICE FEES AND EXPENSES

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

SUPPLIES AND RESOURCE MATERIALS

6. If **[Coalition Name]** dissolves or becomes inactive, resource materials provided by **[Coalition Name]** which are incorporated into the **[Grantee Name]** library will

become the property of **[Grantee Name]** in order that such materials continue to be available to the public.

CONFIDENTIALITY

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

LIABILITY AND INSURANCE

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

EQUAL OPPORTUNITY

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

AMENDMENT

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

DATED this _____ day of _____, [200X].

Coalition Name

By: _____
[Insert Title and Organization]

Grantee Name

By: _____
[Insert Title and Organization]

ATTACHMENT 8: Applicant Assurance for No More Than One Grant

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

Authorized Official's Signature

Title

Organization

Date

ATTACHMENT 9: Applicant Assurance of Compliance with Year 11 Policy

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

Year 11 Policy

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

Coalitions:

1. A coalition that has received ten years of direct DFC funding is not eligible to receive additional funds through the DFC program.
2. A coalition that has received 10 years of DFC funds through a grantee/legal agent(s) is no longer eligible to receive funds through the DFC program, regardless of how long they have been served by that grantee.
3. For example, if Coalition X has received DFC funding through Grantee Y for six years, and Grantee Z for four years, Coalition X is no longer eligible to receive DFC funds.
4. A coalition that has received ten years of DFC funding may not receive additional DFC through a new or different grantee.
5. A coalition that proposes to serve a community that has already been served for 10 years by another DFC-funded coalition must demonstrate to the satisfaction of the DFC Administrator that it is unique and distinct from the coalition that has already served the same community.

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

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

Grantees:

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

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

2. A grantee may receive DFC funds only on behalf of only one coalition at a time.

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

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

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

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

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

Authorized Official's Signature

Title

Organization

Date

ATTACHMENT 10: Sample Program Abstract

Applicants are required to include a program abstract in their applications which should appear immediately prior to the Table of Contents and as Attachment I. The abstract will be used for media releases and notification to congressional members if the application is awarded funding. Please include the following information prior to the abstract paragraph:

Coalition Name:

Grantee Name:

Coalition Community:

Grantee Contact Name:

Coalition Contact Name:

Grantee Contact Mailing Address:

Coalition Contact Mailing Address:

Grantee Contact E-Mail Address:

Coalition Contact E-Mail Address:

Grantee Contact Phone/Fax Number:

Coalition Phone/Fax Number:

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

Coalition Name
State
Serving Congressional Districts # _____

Project Description

The ***Coalition Name*** was awarded a \$_____ Drug Free Communities Support Program FY 2009 grant by the White House Office of National Drug Control Policy (ONDCP) and the Substance Abuse and Mental Health Services Administration (SAMHSA). The Coalition services ***Community/town, State***, an ***urban or rural*** area with a population of ***number of people***.

The goals of the Coalition are: (1) establish and strengthen collaboration among ***Coalition Name's*** partner organizations in support of the community's effort to prevent and reduce substance abuse among youth; and (2) reduce substance abuse among youth in ***Community/town, State***, and, over time, 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: (1.) (2.) (3.)

ATTACHMENT 11 (OPTIONAL): Sample Logic Model

A one page logic model should depict and portray the relationship(s) and action(s) that both underpin the theory of change and working of the DFC coalition. Often logic models are diagrams and/or pictorial representations that are used for educational or information purposes to show how work activity will occur. Visually similar to organization charts, logic models use boxes, circles, arrows, lines and other such symbols to the logic of how the pieces work together to accomplish the intended or desired outcomes being addressed.

ATTACHMENT 12: Sample Multi-Year Strategic Plan (Optional)

TABLE 24: MULTI YEAR STRATEGIC PLAN (YEARS 02 TO 05 OR 07 TO 10)

Coalition Multi-Year Goals to be Addressed:	Coalition Multi-Year Goals to be Addressed:	Coalition Multi-Year Goals to be Addressed:	Objectives	Strategies/Activities	Outcomes to be Achieved & Target Year (02, 03, 04, 05 or 07,08,09,10)	Outcomes to be Achieved & Target Year (02, 03, 04, 05 or 07,08,09,10)	Outcomes to be Achieved & Target Year (02, 03, 04, 05 or 07,08,09,10)
Year/Problem/Objective(s) to be Addressed	But why?	But why here?			Short Term	Intermediate	Long-Term1
Year: 02 Problem: Meth use Objective: Increased use of methamphetamine in catchment area and many youth are using methamphetamine drugs	Meth is easy to make	Over-the-counter products are sold that contain ephedrine and pseudoephedrine used to make meth	Increase barriers and pass policy	Pass ordinance making products with those ingredients available only by prescription	Community mobilization Sample ordinance developed	Ordinance passed	By Year02, 80% of high school seniors never try meth By Year02, less than 5% of high school seniors will report 30 day meth use
	Meth is easy to get	Meth is widely sold at school	Increase barriers an pass policy Provide support	Pass zero tolerance policy at school Train teachers and school staff	Teachers can recognize signs of meth use in students	Zero tolerance policy that requires youth who are caught using meth to attend drug counseling	By Year02, 75% of youth 12-18 repot that meth use

	Meth is not perceived to be harmful	Lack of public education about dangers of meth use	Provide information	Social norms campaign on dangers of meth use	Social norm campaign materials are developed and widely posted	Youth report believing that campaign materials	
	Meth labs are hard to find	Labs are plentiful, easily hidden, hard to locate	Build skills and provide information Increase barriers to manufacture meth Change physical design	Educate public to spot meth labs Increase law enforcement to bust labs	Public reports possible meth labs to law enforcement	Increase busts of meth labs by law enforcement	

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

ATTACHMENT 13: Glossary of Terms

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

Activities: Efforts (e.g. projects, programs, or other actions) to be conducted to achieve the identified objectives. A number of activities may be needed to achieve each objective (e.g., coordinate development and delivery of a multi-disciplinary, multi-agency program of parenting education for parents of elementary and middle school youth).

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

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

Catchment Area and/or Communities of Focus: The intended area of focus for the coalition's work. This includes basically the geographical area (and may include populations the coalition will focus on assisting) the coalition intends to impact. Each applicant must define the boundaries of their Catchment Area and/or Communities of Focus.

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

Community Level Change: This is change that occurs within the population of focus in your catchment area and/or community of focus.

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

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

Economically Disadvantaged Area: An economically disadvantaged area is defined as 20% or more children living in households below the poverty line (as defined by the U.S. Census Bureau).

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

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

Implementation: Implementation involves taking action guided by the Strategic Plan. Progress toward achieving objectives related to the goal of reducing substance abuse among youth is made through the implementation of related activities.

Objectives: What is to be accomplished during a specific period of time to move toward achievement of a goal, expressed in specific measurable terms. These are the results of coalition strategies to reduce substance abuse in their catchment area and/or community of focus. Activities are conducted to achieve the identified objectives.

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

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

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

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

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

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

Rural: The Census Bureau's classification of "rural" consists of all territory, population, and housing units located outside of urbanized area (UA) or an urban cluster (UC). (See

Definition of Urban below). The rural component contains both place and nonplace territory. Geographic entities, such as census tracts, counties, metropolitan areas, and the territory outside metropolitan areas, often are "split" between urban and rural territory, and the population and housing units they contain often are partly classified as urban and partly classified as rural.

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

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

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

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

Youth: Individuals 18 and younger.

ATTACHMENT 14: Scoring Sheets

TABLE 25: COMMUNITY ASSESSMENTS (12 POINTS TOTAL)

Community Assessment- 12 Points

22 Total

#	Question	0-3		Multiplier	Score	Comments:
	Provide a brief overview of your community.	N/A			N/A	
A.1	Data on Youth Substance Abuse Trends: In this response, identify data from multiple sources that provide a comprehensive picture of youth substance abuse in your community. Please identify any and all sources for the data you provide and explain how the data provide meaningful measures of current drug abuse trends and drug perceptions among youth in your entire catchment area. (Sources may include community and/or student surveys, focus groups, town hall meetings, law enforcement statistics, public health indicators, etc).	0-3	x	1.0		
A.2	Problem Description: Describe and identify the specific youth substance use problems that your coalition intends to impact or change using DFC funding. Please address the following items individually in your response. Based on the data presented above, describe the nature and extent of the youth substance use problems that your coalition intends to address. Include an explanation of how you know that each of these problems exist in your community. In your response, be as specific as possible about: a) the specific substances on which your coalition intends to focus, b) the age and demographics of the youth who are using these substances, and c) trends in use of these specific substances/drugs over the past years (if available).	0-3	x	1.0		

Community Assessment- 12 Points

22 Total

#	Question	0-3		Multiplier	Score	Comments:
A.3	Community Conditions: - Provide a description of the <i>specific local conditions</i> in your catchment area and/or community of focus that you believe contribute to the youth substance use problems you have identified. Be specific. - Describe significant environmental trends or other such issues in your catchment area or community of focus (business closings, workplace issues, changing demographics, drug crises, problems related to drug impacted children and/or children of alcoholics, etc.) and their impact on youth drug abuse.	0-3	x	1.0		
A.4	Section Cohesiveness:	0-3	x	1.0		
						= Section Total

TABLE 26: CAPACITY BUILDING (12 POINTS TOTAL)

#	Question	0-3		Multiplier	Score	Comments:
B.1	Community Resources: Describe the existing array of resources in your catchment area and/or community of focus that will help you address the problem(s) identified in Section A. - Current financial resources (cash and in-kind); - Other community assets, skills and programmatic resources (organizations, community leaders, training, knowledge, facilities, volunteers, other coalitions, service providers, drug courts, programs, etc.)	0-3	x	0.80		

#	Question	0-3		Multiplier	Score	Comments:
B.2	Community Gaps and Weaknesses: Describe the known gaps or weaknesses in your catchment area community's ability to reduce youth substance use. Specifically, identify gaps in substance abuse prevention services, materials, information and/or other resources, as well as challenges to overcoming those gaps (cultural, political, philosophical, educational, financial etc.). Be sure to describe how this analysis links to problems identified in Section A.	0-3	x	0.80		
B.3	Coalition Capacity and Structure: Please describe the following: - major roles, duties, qualifications, and relevant experience of key coalition staff (including specific names and job titles where possible) - structure of the coalition (relationship of staff to board, committee or taskforce structures, how communication happens across these entities, how decisions are made and communicated, etc.) - how the coalition resolves conflict within its structure as it works to develop and implement its plans. - how the coalition fosters community involvement, encourages volunteer participation, and ensures the ongoing recruitment of new members. - description of specific role/contribution of each of the 12 required sectors listed in the Eligibility Requirements in Section III.	0-3	x	0.80		
B.4	Coalition Development: Describe specifically what you plan to do in the first year of this grant to strengthen the coalition's internal capacity (e.g., leadership, management, board structure, recruitment, resource attainment, etc.) and how those efforts will help you reduce	0-3	x	0.80		

#	Question	0-3		Multiplier	Score	Comments:
	problems identified in Section A.					
B.5	Section Cohesiveness:	0-3	x	0.80		
						= Section Total

TABLE 27: PLANNING (21 POINTS TOTAL)

16 Planning- 21 Points Total

#	Question	0-3		Multiplier	Score	Comments:
C.1	Plan Development: Describe the process by which your coalition made the decision to address the substance use and abuse problems identified in Section A. Be as specific as possible about who was involved in making the decision (both within and outside of your coalition), as well as about the factors that went into the decision (tragic event in the community, political will, parental concerns, youth concerns, coalition history, results of community assessment, etc). Describe how the coalition made decisions about the short term priorities and activities for the first year of the grant.	0-3	x	1.75		
C.2	Connectivity to DFC Goal One: Describe how the coalition's 12-Month Implementation Action Plan as presented in Section D will strengthen collaboration in the community to prevent and reduce substance abuse among youth. (Goal One)	0-3	x	1.75		
C.3	Connectivity to DFC Goal Two: Describe how the coalition's 12-Month Implementation Action Plan as presented in Section D will reduce substance use among youth and, over time, among adults by addressing those factors in a community that increase the risk of youth substance use and strengthen those factors (protective) in a community likely to prevent youth	0-3	x	1.75		

16 Planning- 21 Points Total

#	Question	0-3		Multiplier	Score	Comments:
	substance use. (Goal Two)					
C.4	Section Cohesiveness:	0-3	x	1.75		
						= Section Total

TABLE 28: IMPLEMENTATION (30 POINTS TOTAL)

20 Implementation- 30 points

#	Question	0-3		Multiplier	Score	Comments:
D.1	Grant Implementation Action Plan (first 12 months of the grant): You must present the details of your plan in table format (Table 28) as shown below. You may use 10 pt Times New Roman font inside the table (for the rest of the application you must use 12 pt). The table should fall within the text of this section (not an attachment) and this table counts toward your overall page limit.	0-3	x	2.5		

TABLE 29: GRANT IMPLEMENTATION (12 MONTH ACTION PLAN)

Each DFC Goal to be Addressed:

Objective 1:

Activity	Responsible Party(s)	Target Date	Output (e.g., how you know it's done)	Outcome (e.g., the expected impact)
xxx	xxx	xxx	xxx	xxx
xxx	xxx	xxx	xxx	xxx

Objective 2:

Activity	Responsible Party(s)	Target Date	Output (e.g., how you know it's done)	Outcome (e.g., the expected impact)
xxx	xxx	xxx	xxx	xxx

20	Implementation- 30 points					
#	Question	0-3		Multiplier	Score	Comments:
D.2	Implementation Action Plan: Describe the specific organizations and individuals within your community that will be responsible for carrying out the 12-Month Implementation Action Plan. Describe why these entities were chosen for key tasks, the past experiences and accomplishments of each, and how their participation will help the coalition achieve the goals/outcomes of the plan.	0-3	x	2.5		
D.3	Implementation Action Plan Impact: Describe how the successful execution of your 12-Month Implementation Action Plan will impact multiple sectors of your community and lead to lasting community-wide change. Include in your answer an overview of how this plan will evolve over the next five years and highlight how your community will be different after your five years of Federal funding.	0-3	x	2.5		
D.4	Section Cohesiveness:	0-3	x	2.5		
						= Section Total

TABLE 30: EVALUATION

20	Evaluation- 15 points					
#	Question	0-3		Multiplier	Score	Comments:
E.1	Plan Success: Describe how the coalition will track outputs related to the activities in its One-Year Action Plan, measure progress toward expected outcomes and feed those findings into its planning process for future years.	0-3	x	.83		
E.2	Core Measures Requirement: As a DFC grantee, you are required to report on the four (4) youth drug use measures bulleted below. The data must be for at least three grades, for at least the following substances: alcohol, tobacco, and marijuana. (You may target and report data on other substances, but are not required to report them). • Age of onset (including alcohol, tobacco and marijuana) • Frequency of use in the past 30 days (including alcohol, tobacco and	0-3	x	.83		

20 Evaluation- 15 points

#	Question	0-3		Multiplier	Score	Comments:
	marijuana) • Perception of risk or harm (including alcohol, tobacco and marijuana) • Perception of disapproval of use by parents (including alcohol, tobacco and marijuana) Describe how the coalition is gathering, analyzing, and reporting data based on ONE of the following scenarios below. Please choose the one that best applies to your coalition. 1. Indicate if you currently collect or have access to data from your community in accordance with the above requirement. If so, identify the specific survey or instrument(s) used to gather this data, the institution/organization within your community that oversees the collection of this data, and describe how the data sufficiently represent the community served by your coalition (geographic footprint, age, race, gender, etc.). OR 2. If you do not currently have data on the DFC substance use measures for the youth in your community, please present and describe in detail the data that you currently possess that have helped you to identify your community's youth substance use problem. Additionally, please present your plan for collecting the required data on the 4 Core Measures within the first 24-months of your grant, and how you plan to integrate that data into updating your 12-Month Implementation Action Plan. Explain how the data will sufficiently represent the community served by your coalition (geographic footprint, age, race, gender, etc.).					
E.3	Data Collaboration: Describe how the coalition has created community partnerships to collect, analyze, and report data, such as the measures provided above, and any other relevant local data (both quantitative and qualitative).	0-3	x	.83		

20 Evaluation- 15 points

#	Question	0-3		Multiplier	Score	Comments:
E.4	Internal Evaluation: Describe how the coalition will evaluate the effectiveness of, and make ongoing changes and improvements to the capacity, structure and effectiveness of the coalition as identified in Question B3 of this application. a. major duties and qualifications of key coalition staff b. structure of the coalition (relationship of staff to board, committee or taskforce structures, how communication happens across these entities, how decisions are made and communicated, etc.) c. how the coalition resolves conflict within its structure as it works to develop and implement its plans d. how the coalition fosters community involvement and volunteer participation and provides for the recruitment of new members e. the role key partners and coalition members play in your coalition	0-3		.83		
E.5	Information Sharing: How, and to what end, will the coalition share information gleaned from its evaluation activities with its catchment area and/or community of focus? Please specifically include how you will use this data to more effectively recruit and mobilize members of each of your required sectors.	0-3		.83		
E.6	Section Cohesiveness:	0-3	x	.83		
						= Section Total

TABLE 31: BUDGET AND BUDGET JUSTIFICATION (10 POINTS TOTAL)

Budget and Budget Narrative/Justification-

16 10 Points Total

#	Question	0-3		Multiplier	Score	Comments:
F.1	In this section, applicants must provide a one-year budget and budget narrative (budget detail and justification) based on the structure of the sample budget that appears as Attachment 1 of this RFA. You must include a narrative description for each budget category (specific narrative justification must be included for both Federal and non-Federal requests). The budget must include a description of matching resources and other support that the coalition expects to receive. There is no page limit for the budget and budget narrative justification. In this section, reviewers will determine whether or not items identified in the budget match the activities outlined in Section D of the Project Narrative. High scorers in this section present a detailed and justified budget that effectively and logically supports the activities and outcomes outlined in Section D. These include how well your Federal and non-Federal (match) requests demonstrate a clear link to your strategic plan. Your budget will be judged by peer reviewers on the following: 1. Does it support the objectives in your one-year plan (Section D)? 2. Does it focus on supporting environmentally-based (systemic) community-wide change? 3. Does it make effective use of both Federal grant funds and required matching funds?	0-3	x	3.33		

= Section
Total

ATTACHMENT 15: Pre-submission Checklist

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

TABLE 32: PRE-SUBMISSION CHECKLIST

☐	Has your application complied with all eligibility requirements?
☐	Does your application include the coalition's Mission Statement?
☐	Does the application target multiple drugs and address the two DFC goals?
☐	Does your application include two sets of meeting minutes?
☐	Does your application list the 12 community sectors and include at least one MOU from each?
☐	Have you included an Applicant Assurance of no more than one grant?
☐	Does your application include an Assurance Sheet that the coalition is not applying for an 11th year of DFC funding?
☐	Does your application include an MOU between the coalition and the Grantee, if applicable?
☐	Does your application demonstrate that your coalition will meet matching fund

☐

requirements?

☐

Is your Project Narrative (Sections A-E) no longer than 26 pages combined?

☐

Has your Project Narrative addressed all five section headings (A-E) and responded to every request in each category?

☐

Has your application considered cultural competence in each section of the narrative?

☐

Has your application addressed data collection of the four DFC core measures?

☐

Have you included a one year budget with your application?

☐

Have you included documentation for eligibility requirements as required in Section G?

☐

Have you included resumes and job descriptions as required in Section H?

☐

Have you included a program abstract as required in Section I?

☐

Have you included all general applicant information as required in Section J?

☐

Have you described applicant demographics as required in Section K?

☐

Have you listed only the specific zip code areas in which your coalition will work to impact substance abuse trends and problems?

☐

Have you included all required certifications, disclosures and checklists as required in Section L?

ATTACHMENT 16: Disclosure of DFC Coalition Information

TABLE 33: IDENTIFY THE NAMES OF THE GRANTEE AND COALITION ON YOUR CURRENT APPLICATION:

Name of Grantee: _____

Name of Coalition: _____

To help us accurately determine if and when your coalition has previously received DFC funding, please answer the following:

TABLE 34: INDICATE THE STATUS OF YOUR COALITION (PLEASE CHECK WHICH APPLIES TO YOUR ORGANIZATION):

☐	DFC Coalition formerly funded
☐	DFC Coalition currently funded
☐	Coalition applying for first time DFC funding

TABLE 35: FOR ALL PRIOR DFC AWARDS (FIRST TIME APPLICANTS DO NOT COMPLETE THIS SECTION), IDENTIFY THE NAME OF THE FEDERAL AGENCY THAT FUNDED THE COALITION'S PRIOR GRANT (I.E., SAMHSA/CSAP, DOJ/OJJDP), YEAR(S) OF FUNDING (ENTER RANGES WHERE APPLICABLE), GRANT NUMBER, GRANTEE NAME AS IT APPEARED ON THE NOTICE OF AWARD (WHEN USING ACRONYMS PLEASE ALSO INCLUDE THE FULL NAME).

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

TABLE 36: IF YOUR COALITION HAD A BREAK IN FUNDING, INDICATE EACH YEAR YOU DID NOT RECEIVE FUNDING FROM THE DRUG-FREE COMMUNITIES PROGRAM.

No DFC Funding: _____