

**Department of Health and Human Services**

**Substance Abuse and Mental Health Services Administration**

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

**SP-07-001**

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

**Key Dates:**

<b>Application Deadline</b>	<b>April 17, 2007</b>
<b>Intergovernmental Review (E.O. 12372)</b>	<b>Letters from State Single Point of Contact (SPOC) are due no later than 60 days after application deadline</b>
<b>Public Health System Impact Statement (PHSIS)/SSA Coordination</b>	<b>Applicants must send the PHSIS to appropriate State and local health agencies by application deadline. Comments from Single State Agency are due no later than 60 days after application deadline.</b>

## Table of Contents

I.	Funding Opportunity Description .....	3
1.	Introduction .....	3
2.	Expectations .....	4
II.	Award Information.....	6
1.	Award Amount.....	6
2.	Funding Mechanism.....	7
III.	DFC Eligibility Requirements .....	7
1.	DFC Eligible Applicants.....	7
2.	Cost Sharing.....	9
3.	Other .....	10
IV.	Application And Submission Requirements .....	10
V.	Application Review Information .....	11
1.	Evaluation Criteria .....	11
2.	Review And Selection Process .....	20
VI.	Award Administration Information .....	20
1.	Award Notices .....	20
2.	Administrative And National Policy Requirements.....	21
3.	Reporting Requirements .....	21
VII.	Agency Contacts .....	22
	Attachment 1: Sample Budget And Budget Justification .....	23
	Attachment 2: Application And Submission Requirements .....	31
	Attachment 3: Sample Program Abstract.....	42
	Attachment 4: Sample Logic Model.....	43
	Attachment 5: Glossary Of Terms.....	44
	Attachment 6: Scoring Sheets.....	45

# I. FUNDING OPPORTUNITY DESCRIPTION

## 1. INTRODUCTION

The Executive Office of the President, Office of National Drug Control Policy (ONDCP), and the Department of Health and Human Services (HHS), Substance Abuse and Mental Health Services Administration (SAMHSA), announce the availability of funds for new FY 2007 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.*

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.

Since 1998, ONDCP has awarded approximately 1,200 DFC grants, with an additional 60 new awards expected in FY 2007, subject to the appropriation of funds. 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 [www.ondcp.gov/dfc](http://www.ondcp.gov/dfc).

## 2. EXPECTATIONS

### 2.1 Strategic Prevention Framework



DFC grantee coalitions must use the Strategic Prevention Framework (SPF), a 5 step evidence-based process for community planning and decision-making. The 5 step process includes: 1) needs assessment (profile community needs); 2) capacity building (mobilize/build capacity to address community needs); 3) planning (develop a comprehensive strategic plan); 4) implementation (implement the plan with multiple interventions); and 5) evaluation (monitor, sustain, improve, or replace prevention interventions).

### 2.2 Coalition Activities Defined

For the purposes of this Request for Applications (RFA), 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 are expected to bring communities together and give them the forum and focus necessary to identify and address local substance use problems. By bringing together local leaders to focus on local problems, coalitions will create lasting changes in the community environment.

For the purposes of this RFA, environmental strategies are strategies aimed at the environment and based on the community systems perspective that views a community as a set of persons engaged in shared social, cultural, political, and economic processes. Environmentally based strategies take into account the fact that individuals do not become involved with substances solely on the basis of personal characteristics. Rather they are powerfully influenced by a complex set of factors in the environment, such as the rules and regulations of the social institutions to which they 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. Because substance abuse is viewed as a product of the overall system, effective prevention requires making appropriate modifications to the community at large. The purposes of environmental strategies are to

(1) limit access to substances, (2) change the culture and contexts within which decisions about substance use are made, or (3) reduce the negative consequences associated with use." (Center for Substance Abuse Prevention. Environmental Prevention Strategies: Putting Theory Into Practice (Training and Resource Guide). Rockville, MD, 1999.)

By focusing Federal funds on these environmental strategies, it is more likely that grantees will achieve lasting positive environmental change within their community. While grantees may use funds for direct services, the primary focus of the grant is on coalition development to bring about environmental change that prevents substance abuse at the community level. Grantees should primarily utilize local funds and in-kind match to support direct services. In so doing, grantees create a sense of ownership of those services within the community that will thrive beyond Federal funding.

### **2.3 National Meeting Requirement**

DFC applicants are required to send two people (one must be the Project Director) to a 3-day New Grantee Workshop in Washington, D.C. in the first year of the grant award. The application must include funding for hotel, airfare, meals and other miscellaneous expenses associated with attending the New Grantee Workshop in the budget. In each subsequent year of funding, the applicant must budget for a training "to be defined" by ONDCP for each fiscal year of the grant. This is in addition to any other training(s) that the applicant may budget and plan to attend. ONDCP will make grantees aware of whether or not a training is mandatory and will notify grantees of the date/time/location of any mandatory training as far in advance as possible. If there are no mandatory trainings, grantees may work with their Project Officer and Grants Management Specialist to redirect the money for other trainings and/or activities.

### **2.4 Sustainability**

If funded under this grant program, the grantee will be required to submit a comprehensive sustainability plan, including a budget, in the third year (first funding cycle) and seventh year (second funding cycle, if a second 5-year award is awarded). The narrative portion of the sustainability plan must articulate how the community will ensure the continuation of effective policies, strategies, and practices when Federal assistance is no longer available. The plan must identify specific strategies to be sustained; identify the money, time, technology, and talent required to sustain those strategies; identify the individuals and/or organizations who will assume responsibility for sustaining those strategies; and include specific plans to solicit substantial financial support from non-Federal sources to demonstrate that the project will be self-sustaining when Federal assistance is no longer available.

### **2.5 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 report annually on the degree to which the annual targets were met. DFC grantees are required

to provide data on the following measures for the coalition's entire target community and to 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 the data to be submitted and the schedule for submission of data using an on-line data reporting system. If funded, each successful applicant will be required to submit a plan to SAMHSA/CSAP outlining how the coalition will comply with the data reporting requirements outlined above. This plan will be due 30 days after the Notice of Grant Award.

## **2.6 Evaluation Requirements**

DFC applicants are required to describe plans for local evaluation in Section E of their applications. The evaluation consists of both process and outcome measures, and should be designed to guide decision-making and provide continuous feedback to the coalition and other stakeholders. DFC grantees are also required to participate in the National DFC Evaluation which is intended to measure the progress and development of DFC coalitions.

## **2.7 Pre-Application Workshops**

Potential applicants, including first-time or current grantees applying for year 6 funding, are invited and encouraged to attend one of the following six pre-application technical assistance workshops planned to be held in the following cities:

**Washington, DC- February 16, 2007**

**St. Louis, MO- February 21, 2007**

**Seattle, WA- February 23, 2007**

**Las Vegas, NV- February 27, 2007**

**Las Vegas, NV-(Native American Focus)- February 28, 2007**

**New Orleans, LA- March 6, 2007**

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

## **II. AWARD INFORMATION**

### **1. AWARD AMOUNT**

Approximately \$6 million will be available for 60 new FY 2007 DFC awards. "New" is defined as any of the following: 1) never have received DFC funding; 2) previously

received but had a lapse in DFC funding; or 3) applying for a second project period after conclusion of the initial 5-year award. Applicants may request project periods for up to five years.

If a grantee is in any five-year cycle and experienced a lapse in funding, for whatever reason, the applicant may reapply under the new Request for Applications (RFA) for a project period that would complete the five-year funding cycle. The funding years will begin with the lapse year. For example, if the grantee experienced a lapse in funding after the second year of the project (i.e., in the third year), the grantee may apply for funding for years three through five.

Proposed budgets **cannot exceed \$100,000** per year. Annual continuation awards will depend on the availability of funds, grantee progress in meeting requirements, such as implementation of the SPF, and timely submission of required data and reports.

**2. FUNDING MECHANISM**

DFC awards will be made as grants.

**III. DFC ELIGIBILITY REQUIREMENTS**

**1. DFC ELIGIBLE APPLICANTS**

DFC grant funds are intended to support community-based coalitions. **The following is a summary of the DFC eligibility requirements and the minimum documentation applicants must provide in Section G (Supporting Documentation) of their application. If an application does not meet the eligibility requirements, it will not be forwarded for review.**

<b>DFC ELIGIBILITY REQUIREMENTS</b>	<b>DOCUMENTATION</b>
<p><b>1.1 The coalition must be a legally eligible entity.</b>  <i>The coalition must be an organization legally eligible to apply for a grant or must make arrangements with an organization that will apply for the grant on behalf of the coalition and serve as the legal and fiscal agent for the grant. That is, a single organization (i.e., the coalition or its fiscal agent) must be the legal applicant, the recipient of the award, and the entity legally responsible for satisfying the grant requirements. Legal/fiscal agents acting on behalf of a coalition may be domestic public or private non-profit entities, such as State, local, or tribal governments; 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></p>	<p>1.1 Applicants should simply state they are a legally eligible entity.</p>

<p><b>1.2 The coalition must have as part of its principal mission the goal of reducing substance abuse among youth.</b></p>	<p>1.2 Applicants must provide a copy of the coalition’s mission statement in order to document a focus on youth substance abuse reduction and/or prevention.</p>
<p><b>1.3 The coalition’s goals and objectives must target multiple drugs and address the two major DFC goals.</b></p>	<p>1.3 Applicants should state that they are targeting multiple drugs and addressing the two DFC goals. Applicants must support this statement with the information provided in Sections A-L (Project Narrative and Supporting Documentation Requirements) of their applications.</p>
<p><b>1.4 The coalition must demonstrate that coalition members have worked together on substance abuse prevention for a period of not less than six months before submitting this application. This “working together” can include but not be limited to: acting through entities such as task forces, subcommittees, or community boards.</b></p>	<p>1.4 Applicants must submit two sets of meeting minutes. One set for a period of at least six months or more before the submission date of this application and one set for a period not more than three months prior to submitting this application. Both sets of minutes must demonstrate that the coalition has substantial involvement and participation from its membership as well as volunteer community leaders. The minutes should also demonstrate the coalition’s commitment to reducing youth drug use.</p> <p>Applicants must also submit copies of the memoranda of understanding (MOU) between the applicant and the sectors/organizations/members stating their contribution(s) to the DFC coalition as well as the sector they represent. The signed originals must be maintained in the official files of the grantee coalition.</p>
<p><b>1.5 The coalition must have representation from its targeted community and include a minimum of one member/representative from each of the following 12 sectors:</b></p> <ul style="list-style-type: none"> <li>-youth (an individual 18 or under);</li> <li>-parents;</li> <li>-business community;</li> <li>-media;</li> <li>-school;</li> <li>-youth-serving organization;</li> <li>-law enforcement agencies;</li> <li>-religious or fraternal organizations;</li> <li>-civic and volunteer groups;</li> <li>-healthcare professionals;</li> <li>-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</li> <li>-other organizations involved in reducing substance abuse.</li> </ul> <p><i>A coalition member is defined as a representative of the community 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. A sponsor/supporter is not necessarily the same as an active coalition member. For purposes of this</i></p>	<p>1.5 In table format, applicants must list the 12 sectors; the member(s)/ person(s) representing that sector; the name of their agency/organization; and their contribution to the coalition’s activities. Applicants must also attach an MOU from each sector representative.</p>

<i>application, an individual coalition member may not represent more than one of the above categories.</i>	
<b><i>1.6 The coalition must demonstrate that it has substantial participation from volunteer leaders in the community.</i></b>	<p>1.6 Applicants must provide:</p> <ul style="list-style-type: none"> <li>-an organization chart that reflects the coalition’s (NOT THE FISCAL AGENT’S) structure, relationship to an umbrella agency or other separate entities, and staff positions funded through DFC funds and matching funds.</li> <li>-brief history of the coalition that discusses when it was formed, for what purpose, and significant changes made or planned in the structure and mission.</li> <li>-meeting minutes that reflect substantial participation from volunteer leaders in the community</li> </ul> <p>*These support materials must be consistent with information provided in Sections A-L of the application.</p>
<b><i>1.7 The coalition must demonstrate that it responds to substance abuse prevention in the community in a comprehensive and long-term fashion and works to develop consensus regarding the priorities of the community to combat substance abuse among youth.</i></b>	1.7 Reviewers will look for evidence of this throughout your responses in Sections A-L of the application.
<b><i>1.8 Applicants/fiscal agents may submit only one application under this funding announcement. Two coalitions may not serve the same geographic area unless both coalitions have clearly described their plan for collaboration in their applications and each coalition has independently met the eligibility requirements.</i></b>	<p>1.8 Each applicant must provide detailed plans for collaboration and each must meet the eligibility requirements. If an applicant is serving an area already served by a DFC Grantee, the applicant must specifically identify the level of collaboration with that grantee and include a letter of support from that grantee.</p> <p>To view a list of all current DFC grantees, visit <a href="http://www.ondcp.gov/dfc">www.ondcp.gov/dfc</a> and click on “Grantees.”</p>
<b><i>1.9. Statewide substance abuse prevention coalitions may apply provided they meet all of the other eligibility requirements.</i></b>	1.9 Applicants must meet all eligibility requirements in Section III. For a statewide coalition, sector members must represent a geographic area consistent with the coalition’s target area. (For example, a single county sheriff would not qualify as a law enforcement representative for a statewide coalition. However, a statewide sheriff’s association would qualify as a statewide law enforcement organization).

## 2. COST SHARING

The DFC authorizing legislation requires grantees to demonstrate that they have matching funds from other, non-Federal sources. Applicants must itemize the match separately in the budget worksheet and explain the match separately in the budget justification. (A sample budget and budget justification is provided in Attachment 1 of this announcement). Applicants in their first cycle of DFC funding are required to have, each year, 100% match of support from other, non-Federal sources. Applicants in their second cycle of DFC funding (years 6-10) are required to have the following percentage of match:

Years of Funding Requested	Matching Requirement
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 such as office space, volunteer secretarial services, pro bono accounting services, or other personnel serving in a volunteer capacity.

Federal funds, including those passed through a State or local government, cannot be used as a match. The exception is for funds appropriated for the substance abuse services 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 may be counted as non-Federal funds raised by the coalition.

All applicants must clearly state the program award year for which they are applying. If you have received DFC funds in the past, but are not currently a DFC grantee, you must indicate in Section K of the application how many years you have received DFC support.

### **3. OTHER**

Applicants must use Application Form PHS 5161-1 and must follow all application submission requirements and formatting requirements or their application will not be reviewed. Application submission and formatting requirements are provided in Attachment 2 of this document.

## **IV. APPLICATION AND SUBMISSION REQUIREMENTS**

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

You may request a complete application kit from the SAMHSA Information Line at 1-800-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](http://www.samhsa.gov/Grants/apply.aspx).

Additional materials available on this web site include:

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

When submitting an application, be sure to type “SP-07-001,” “Drug-Free Communities Support Program” in Item Number 12 on the face page of the application form. Also, applicants are to provide a DUNS Number on the face page of the application. To obtain a DUNS Number, access the Dun and Bradstreet web site at [www.dunandbradstreet.com](http://www.dunandbradstreet.com) or call 1-866-705-5711.

Application support information about this grant may be found on the ONDCP Drug Free Communities web site at [www.ondcp.gov/dfc](http://www.ondcp.gov/dfc). Information about writing applications for SAMHSA grants may be found on the SAMHSA web site 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 PHS 5161-1 will result in their application being screened out and not reviewed.**

**3. SUBMISSION DATES AND TIMES:** Applications must be received by April 17, 2007. You will be notified by postal mail that your application has been received. Additional submission information is available in Attachment 2 of this RFA. Applications that are not received by the application deadline, or that do not have proof of timely submission as described in Attachment 2 of this RFA, will not be reviewed.

**4. INTERGOVERNMENTAL REVIEW:** Applications for this funding opportunity must comply with Executive Order 12372 (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 of this RFA. A current listing of State Single Points of Contact (SPOCs) is included in the application kit and is available at [www.whitehouse.gov/omb/grants/spoc.html](http://www.whitehouse.gov/omb/grants/spoc.html).

## **V. APPLICATION REVIEW INFORMATION**

### **1. EVALUATION CRITERIA**

Your application will be reviewed and scored according to the quality of your response to the Project Narrative requirements (Sections A-F). **In developing the Project Narrative section of your application, USE THE FOLLOWING INSTRUCTIONS INSTEAD OF THE “PROGRAM NARRATIVE” INSTRUCTIONS FOUND IN THE PHS 5161-1.**

- **You should respond to every question in each category of the Project Narrative below (Community Assessment, Capacity Building, Project Planning, Implementation, and Evaluation). You must provide a narrative response with the question shown directly above each response.**
- **Each question will be judged 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.
- **The number of points you receive for each question will be totaled to create a raw score for that section. The raw score for the section will then be mathematically adjusted to reflect the weight assigned to that section. This weighted score will be your final score for that section. The sample below is based on Section B, Capacity. Copies of the score sheets that will be used to calculate the raw and weighted scores for each section are provided in Attachment 6 of this RFA.**

	Reviewer Score		Weighting Factor*		Section Score	
Sample Score for Section B	20	x	0.5	=	10.0	= Actual Section Score
Total Possible:	24	x	0.5	=	12.0	=Total Possible

*\* The weighting factor is calculated by dividing the total weight for the section by the total points possible for the questions in the section. The weight for Section B is 12 points. The total number of points possible for the questions in Section B is 24 (or 8 questions x 3 points). The weighting factor for Section B, therefore, is 0.5 (or 12/24).*

- All peer reviewed applications will receive a total score between 0 and 100.
- The Supporting Documentation provided in Sections G- L of the application will be considered during the peer review process, as well as in eligibility screen out and final award determinations.

**Project Narrative**— The items described in sections A-F below substitute for those described in the Program Narrative section of PHS 5161. Please write your narrative according to the information presented in this document.

## Section A: Community Assessment (maximum 22 points)

In this Section, you have the opportunity to tell us about your community assessment efforts. High scorers for this Section will outline what data they gathered, the key findings of that data, how they used that data to determine the problems the coalition would address in the target community, and how they plan to use data to identify and promote positive change from the baseline established for this application. In addition to scoring each question in this Section on its own merit, reviewers will be asked to assign an overall score for this Section that will include an evaluation of the overall continuity of the Section. Reviewers will also be asked to focus on the inclusion of cultural competency.

Provide a brief overview of your community. Include the following elements in your description: **(Note: The community overview, comprised of the following four bullets, is unscored.)**

- Demographics and relevant census data for your target community (include a breakdown of age, race, ethnicity, gender, socioeconomic status, total population).
  - Geographic setting (urban, suburban, and/or rural). Include whether there are tribal areas or populations targeted.
  - Specific geographic boundaries of your target community.
  - Any significant trends or issues in your target community (business closings, changing demographics, drug crises, etc.).
1. Describe and identify substance abuse problems in your community. Please include the following elements in your description:
    - Did you collect your own data or use existing data, or both? Identify your data sources (e.g. school surveys, focus groups, reviewing existing data sources, etc.) and how the data support your findings.
    - Specifically describe how you gathered your data.
  2. If you have them, please include baseline data on the four GPRA measures discussed in Section I, Expectations, 2.5, “Data and Performance Measurement Requirements:”
    - 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).

Identify your data sources (e.g. school surveys, focus groups, reviewing existing data sources, etc.) and discuss how the data support your findings.

3. Clearly articulate the substance abuse problems you plan to address in your target community as the result of your findings.

4. Identify the findings from your community assessment to support your decision to target the problems you plan to address. Cite your specific data and method used to collect that data. Include any details related to risk and protective factors in your community, or developmental asset issues you identified in your assessment.
5. How do you plan to continually check for changes in data trends and the accuracy of data developed in your original community assessment?

**Section B: Capacity Building (maximum 12 points)**

In this Section of the Project Narrative, you should describe capacity building efforts within the coalition and the coalition's ability to lead and manage change within the community. High scorers in this Section can effectively tie the problems identified in Section A to existing or needed resources. High scorers demonstrate how the coalition will best manage and leverage the use of those resources to inform and mobilize the community. In addition to scoring each question in this Section on its own merit, reviewers will be asked to assign an overall score for this Section that will include an evaluation of the overall continuity of the Section. Reviewers will also be asked to focus on the inclusion of cultural competency.

1. What resources exist in your community to target problems addressed in your community assessment? For example:
  - Current financial resources (cash and in-kind)
  - Other community resources (training, knowledge, facilities, volunteers, other coalitions, etc.)
2. How will you manage the resources at your disposal?
  - Describe the structure of the coalition. How are decisions made and communicated?
  - What structure do you incorporate in your coalition to create community involvement and volunteer participation? Please include any committee/subcommittee structures and decision-making processes in your answer.
  - What role do key partners and coalition members play in your coalition? Your answer should include, but not necessarily be limited to, the required 12 key sectors.
3. How will you maintain and strengthen the coalition and prevention effort over the next year?
4. How will your coalition train, encourage, and mobilize your current and future leaders, workers, and volunteers?
5. What are your community's gaps in resources and services, and how do you plan to address these specific challenges?

### **Section C: Strategic and Action Planning (maximum 16 points)**

In this Section, you should address the Coalition’s strategic planning process and propose a 5-year action plan for the DFC grant. Consider this Section your long-range plan on which you will build your one-year plans for each year of your grant. High scorers in the Section will provide a clear vision and identify the priority objectives needed to address problems identified in Section A. In addition to scoring each question in this Section on its own merit, reviewers will be asked to assign an overall score for this Section that will include an evaluation of the overall continuity of the Section. Reviewers will also be asked to focus on the inclusion of cultural competency.

In this Section of the Project Narrative, you must provide evidence that you will address the following goals of the DFC program:

#### **Goal One:**

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.

#### **Goal Two:**

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, including those listed above. When the term “drug use” or “substance abuse” is used in this funding announcement, it is intended to include all of the above.

1. Based on the problem(s) you identified in Section A, please describe your coalition’s vision and mission.
2. Outline your 5 year long-term strategic plan to achieve Goals 1 and 2. Identify your priority objectives based on your discussions in Section A and B.
3. How was your community involved in developing your Strategic Plan?

### **Section D: Implementation (maximum 20 Points)**

This Section serves as the one-year Action Plan that puts into action the components necessary to carry out effective community change strategies. You should include a Logic Model in your response to Section D. (A sample logic model is provided in Attachment 4 to this RFA.) High scorers in this Section will effectively detail specific strategies/activities the coalition will

undertake this year, what outcomes those strategies/activities will generate, how the coalition will measure progress toward achieving those outcomes; identify the persons responsible for each strategy/activity; and detail the resources necessary to achieve the desired outcome. In addition to scoring each question in this Section on its own merit, reviewers will be asked to assign an overall score for this Section that will include an evaluation of the overall continuity of the Section. Reviewers will also be asked to focus on the inclusion of cultural competency. (Please note that reviewers will be asked to consult both your logic model and your narrative response when scoring this section.)

In this Section, you must describe the following:

1. Provide a logic model and an Action Plan for year 1 of the DFC grant. In this Section, include the following:
  - a detailed description of what specific strategies and activities the coalition will undertake
  - what outcome(s) each activity will create
  - how the coalition will measure progress toward achieving the outcome related to each activity and how that ties into the problems identified in Section A
  - who in your coalition and community is responsible for each activity
  - What resources you will need to achieve the desired outcome for each activity.

Strategy	Activity	Outcome	Responsibility	Resource

2. The coalition should develop and carry out a one year plan that is focused on community level change. A community coalition must focus on changing the full environment by identifying and implementing strategies and activities that will affect community norms and beliefs around alcohol and other drugs. Describe what community level changes you expect to come from your activities this year. Please include in your answer any strategies to create environmental change.

**Section E: Evaluation (maximum 20 points)**

In this Section, you should describe your plans for ongoing monitoring and evaluation of the project. This includes both process and outcome measures. DFC coalitions are strongly encouraged to partner with State and local resources around data collection and evaluation (e.g., student and community surveys, local needs assessments). High scorers in this Section will clearly define the methods by which they plan to measure progress toward achieving the outcomes defined in Sections C and D and how achieving those outcomes impact the problems identified in Section A. Reviewers will also be asked to focus on the inclusion of cultural competency. In addition to scoring each question in this Section on its own merit, reviewers will be asked to assign an overall score for this Section that will include an evaluation of the overall continuity of the Section.

In this Section, you should address the following:

1. How will you meet the grant requirement to report on the four core DFC GPRA outcome measures (30-day use, perception of harm, perception of disapproval, age of onset)? Included in this should be evidence of your plan to secure the necessary data so that you are in a position to report to the Federal government on all four measures for alcohol, tobacco, and marijuana, at least every other year (i.e. once every 24 months), and for a minimum of three grade levels. Include in this response, identification of the survey or instrument(s) used, or that you plan to use, and how that/those instruments are a meaningful reflection of the drug use and drug perceptions of the youth of your entire community.
2. Based on your coalition's strategic plan, how will you track your progress over time and make adjustments as needed based on the information contained in the data you collect?
3. How will you use your findings from your evaluation to improve your project throughout the project period and in planning future activities?
4. What is your plan to use information from the evaluation to inform, engage and recruit the target population and the community members?
5. How will the process evaluation of your coalition's operations and administration be used in considering future planning and implementation?
6. Describe the how the coalition has created partnerships in order to collect, analyze, and report data and conduct evaluation activities.

**Section F: Budget (maximum 10 points)**

You do not need to provide a narrative response to this section. In this section, reviewers will determine whether or not items identified in the budget (i.e., information provided in Section H, described below, and on the budget form 424A) match the activities outlined in Section D of the narrative of the application. High scorers in this section will present a budget that effectively and logically supports the activities and outcomes outlined in the narrative of Section D of the application.

Specifically, reviewers will be asked to score you on three questions about your budget. Applicants should not provide a narrative response to these questions in their application. The questions are:

1. Do you (the reviewer) judge that the applicant's budget and budget narrative are focused on the two DFC goals?

**Goal One:**

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.

**Goal Two:**

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.

2. Do you (the reviewer) judge that the applicant's budget and budget narrative support the proposed plan in Section D of the narrative response?

3. Do you (the reviewer) judge that the applicant's budget and budget narrative focuses DFC grant funding on supporting environmentally-based community change? (See Section 1-2.2 – Funding Opportunity Description/Coalition Activities Defined for further information on environmentally-based community change.)

**SUPPORTING DOCUMENTATION**

Applicants may attach appendices to their applications in responding to Sections G-L. Please label the appendices as: Supporting Documentation, Section G, H, etc.

**Section G:** Documentation for Eligibility Requirements: The minimum documentation discussed in Section III, Eligibility Requirements, should be included in Section G.

**Section H:** Budget Justification, Existing Resources, Other Support: Applicants should provide a narrative justification of the items included in the proposed budget, as well as a description of existing resources and other support that the coalition expects to receive for the proposed budget. A sample budget and budget justification are provided in Attachment 1 to this RFA.

**Section I:** Resumes and Job Descriptions: Applicants should include the following information in this section:

- a resume, two pages or less, for the project director and each paid or in-kind position. Please include a position description for each, and if the person has not been hired, include a letter of commitment with a current resume from the individual where possible.
- job descriptions that are no longer than 1 page each for paid and in-kind personnel.

Information on what should be included in resumes and job descriptions can be found 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](http://www.hhs.gov/forms/PHS-5161-1.doc).

**Section J:** Program Abstract: Provide a program abstract, no longer than 35 lines, in this section. *A sample program abstract is provided in Attachment 3 to this RFA.*

**Section K: General Applicant Information:** Please provide the following information in this section.

- Name of fiscal agent, which is the legal name of applicant;
- Mailing address of fiscal agent (including zip code);
- Include: phone #, E-mail address, contact person's name
- Name of the coalition;
- Mailing address of the coalition (including zip code);
- Physical address of the coalition (if different);
- Include: phone #, E-mail address, contact person's name
- Date the coalition was established;
- Indicate whether the applicant coalition is a religious or faith-based organization;
- List drugs addressed by the coalition (including marijuana, alcohol, tobacco, methamphetamine, MDMA [ecstasy], steroids, inhalants, heroin, and any other drugs).
- If applicant has previously received a DFC award, please list each of the fiscal year(s). (name of Fiscal Agent)
- Amount of FY 2007 funds requested.
- List all of the coalition's other Federal and State funding sources.
- List of any other of the coalition's funding sources (including foundations, fundraising drives, corporate support, and any other funding sources).
- A copy of a letter to the Single State Authority in your State, showing that you have informed them that you have applied for a DFC grant.

Other Contact Information – Please provide contact information for the following individuals (include for each the name, phone number, and email address):

- Official authorized to accept funds on behalf of the coalition;
- Coalition board chair/president;
- Proposed project director of the DFC grant; and
- Proposed evaluation contact for the DFC grant.

**Section L: Applicant Demographics:** Please provide the following information to describe the target area served by the coalition.

- Congressional districts(s) served by the coalition.
- Zip code(s) of the target area served by the coalition.
- Geographical boundaries of the target area served by the coalition (i.e., city, county coordinates, street intersections, etc.).
- Total population of the target area served by the coalition.
- Indicate whether the target area served by the coalition is primarily rural, suburban, or urban. Select one based on the following definitions:
  - *Rural* – A rural area is defined as a county with a population of no more than 30,000. If rural, please identify the county(ies) served by the coalition.

- *Suburban* – A suburban area is defined as (a) urban fringe of a large city – any incorporated place, a Census-designated place (CDP), or non-place territory within a consolidated metropolitan statistical area (CMSA) or metropolitan statistical area (MSA) of a large city and defined as urban by the U.S. Bureau of the Census; or (b) urban fringe of a midsize city – any incorporated place, CDP, or non-place within a CMSA or MSA of a midsize central city and defined as urban by the U.S. Bureau of the Census.
- *Urban* – An urban area is defined as (a) large city – a central city of a MSA or CMSA with a population of at least 250,000; or (b) midsize city – central city of an MSA or CMSA with a population of less than 250,000.
- *Economically disadvantaged area* – 20% or more children living in household below the poverty line as defined by the U.S. Census Bureau.
- Indicate whether the coalition serves a federally recognized tribal area.
- Indicate whether the coalition serves an area that is economically disadvantaged (i.e., 20% or more of the children [under 18 years of age] living in the target area live in a household below the poverty line, as defined by the U.S. Census Bureau).

## **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 coalition meets all the eligibility requirements in Section III. Only applications submitted by eligible coalitions that meet all requirements will be evaluated, scored, and rated by a peer review panel according to the evaluation criteria described in Section V of this announcement. All applications that proceed to peer-review will be rated on a 100-point scale. Point values for individual elements of the application are presented in the evaluation criteria section. Peer reviewers' ratings and any resulting recommendations are advisory only. All final grant award decisions will be made by the Director of ONDCP. ONDCP may also give consideration to geographic distribution and regional balance when making awards.

# **VI. AWARD ADMINISTRATION INFORMATION**

## **1. AWARD NOTICES**

Within 30-days of receipt of your application, SAMHSA will provide notification through postal mail indicating that the application has been received. If you submit your application on time and do not receive notification by May 30, 2007, you may contact SAMHSA Peer Review at (240) 276-1199 for additional information.

After your application has been reviewed, you will receive a letter from SAMHSA through postal mail that describes the general results of the review. If you are approved for funding, you will receive an additional notice, the Notice of Grant Award, signed by SAMHSA's Grants Management Officer. The Notice of Grant Award is the sole

obligating document that allows the grantee to receive Federal funding for work on the grant project.

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

- Grantees must comply with all terms and conditions of the grant award. SAMHSA’s standard terms and conditions are available on the SAMHSA web site at: [www.samhsa.gov/grants/generalinfo/useful\\_info.aspx](http://www.samhsa.gov/grants/generalinfo/useful_info.aspx).
- 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.
- 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 program report, an annual classification tool survey, and financial reports.

### **3.2 Publications**

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

## **VII. AGENCY CONTACTS**

For questions regarding program issues, contact:

Jayme S. Marshall  
Center for Substance Abuse Prevention  
Substance Abuse and Mental Health Services Administration  
1 Choke Cherry Rd., Room 4-1059  
Rockville, MD 20857  
240-276-1270  
[dfcnew2007@samhsa.hhs.gov](mailto:dfcnew2007@samhsa.hhs.gov)

For questions on grants management issues, contact:

Kimberly Pendleton  
Office of Program Services, Division of Grants Management  
Substance Abuse and Mental Health Services Administration  
1 Choke Cherry Road  
Room 7-1097  
Rockville, Maryland 20857  
(240) 276-1421  
[kimberly.pendleton@samhsa.hhs.gov](mailto:kimberly.pendleton@samhsa.hhs.gov)

# ATTACHMENT 1: SAMPLE Budget and Budget Justification

## Sample Budget and Budget Justification

### ILLUSTRATION OF A SAMPLE DETAILED BUDGET AND NARRATIVE JUSTIFICATION FOR COMPLETING SF 424A: SECTION B FOR 01 BUDGET PERIOD (Sample for 1<sup>st</sup> year of the funding cycle)

**A. Personnel:** an employee of the applying agency whose work is tied to the application

**FEDERAL REQUEST**

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

**JUSTIFICATION: Describe the role and responsibilities of each position.**

The executive director will provide oversight of grant, including fiscal and personnel management, community relations and project implementation and evaluation. The coordinator will coordinate coalition services and project activities, including training, coalition communication, data collection and dissemination.

**NON-FEDERAL MATCH**

Position	Name	Annual Salary/Rate	Level of Effort	Cost
Executive Director	John Doe	\$64,890	7%	\$4,542
Development Specialist	Sarah Smith	\$26,000	25%	\$6,500
Peer Helper	Ron Jones	\$23,000	40%	\$9,200
Clerical Support	Susan Johnson	\$13.38/hr x 100 hr.		\$1,338
			<b>TOTAL</b>	<b>\$21,580</b>

**JUSTIFICATION: Describe the role and responsibilities of each position.**

The executive director will provide oversight of grant, including fiscal and personnel management, community relations and project implementation and evaluation. The development specialist will provide staffing support to the working council. The peer helper will be responsible for peer recruitment, coordination and support. The clerical support will process paperwork, payroll, and expense reports.

**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) **\$21,580**

**B. Fringe Benefits:** List all components of fringe benefits rate

**FEDERAL REQUEST**

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

**NON-FEDERAL MATCH**

Component	Rate	Wage	Cost
FICA	7.65%	\$21,580	\$1,651
Workers Compensation	2.5%	\$21,580	\$ 540
Insurance	10.5%	\$21,580	\$2,266
		TOTAL	\$4,457

**JUSTIFICATION:** Fringe reflects current rate for agency

**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) **\$4,457**

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

**FEDERAL REQUEST**

Purpose of Travel	Location	Item	Rate	Cost
Grantee Meeting	Washington, DC	Airfare	\$200/flight x 2 persons	\$400
		Hotel	\$180/night x 2 persons x 2 nights	\$720
		Per Diem (meals)	\$46/day x 2 persons x 2 days	\$184
Local travel		Mileage	3,000 miles @ .38/mile	\$1,140
			TOTAL	\$2,444

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

The grant requires travel of two members to attend the grantee meeting in Washington. Airline costs were suggested retail price as of March 8, 2007. Local travel is needed to attend local meetings, project activities, and training events. Local travel rate is based on agency's personally owned vehicle (POV) reimbursement rate.

**NON-FEDERAL MATCH**

Purpose of Travel	Location	Item	Rate	Cost
Regional Training Conference	Chicago, IL	Airfare	\$150/flight x 2 persons	\$300
		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	350 miles x .38/mile	\$133
		TOTAL		\$1,237

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

Coalition agencies will provide funding for two members to attend the regional technical assistance workshop (our closest location is Chicago, IL). Airline costs were suggested retail price as of March 8, 2007. Local travel rate is based on agency's POV reimbursement rate.

**FEDERAL REQUEST** (enter in Section B column 1 line 6c of form SF424A) **\$2,444**  
**NON-FEDERAL MATCH** (enter in Section B column 2 line 6c of form SF424A) **\$1,237**

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

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

Item(s)	Rate	Cost
None		0

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

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

**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
Projector	\$900	\$900
Copies	8000 copies x .10/copy	\$800
	TOTAL	\$3,796

**JUSTIFICATION: Describe need and include explanation of how costs were estimated**

Office supplies, copies and postage are needed for general operation of the project. The laptop computer is needed for both coalition work and presentations. Currently, there are not computers available for the coordinator to use. The projector is needed for presentations and outreach workshops. All costs were based on retail values at the time the application was written.

**NON-FEDERAL MATCH**

Item(s)	Rate	Cost
General office supplies	\$50/mo. x 12 mo.	\$600
Bookcase	\$75	\$75
Digital camera	\$300	\$300
Fax machine	\$150	\$150
Computer	\$500	\$500
Postage	\$37/mo. x 4 mo	\$148
	TOTAL	\$1,773

**JUSTIFICATION: Describe need and include explanation of how costs were estimated.**

The local television station is donating the bookcase, camera, fax machine, and computer. The “applying agency” is donating the additional costs for office supplies and postage.

**FEDERAL REQUEST** – (enter in Section B column 1 line 6e of form SF424A) **\$ 3,796**  
**NON-FEDERAL MATCH** - (enter in Section B column 2 line 6e of form SF424A) **\$ 1,773**

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

**FEDERAL REQUEST (Consultant)**

Name	Service	Rate	Other	Cost
To be selected	Coalition Sustainability	\$150/day	15 days	\$2,250
	Travel	.38/mile	360 miles	\$137
			TOTAL	\$2,387

**JUSTIFICATION: Explain the need for each agreement and how they relate to the overall project.**

This person will advise staff and coalition members of ways to maintain, increase membership, and sustain the local coalition. Neither staff nor coalition members’ possess the skills needed to begin a sustainability plan. The rate is based on the average consulting rate in this area. Consultant is expected to make up to 6 trips (each trip a total of 60 miles) to meet with staff and the coalition. Mileage rate is based on POV reimbursement rate. A request for proposal will be issued to secure a competitive bid before final selection is made.

**FEDERAL REQUEST (Contract)**

Entity	Product/Service	Cost
To be selected	1.5 minute Public Service Announcement (PSA)	\$2,300
To be selected	Evaluation Report	\$4,500
	TOTAL	\$6,800

**JUSTIFICATION: Explain the need for each agreement and how they relate to the overall project.**

A local media outlet will produce a 1.5-minute PSA from the youth drug awareness video for the local television market. Tasks will include cutting and editing the tape, preparing introductory statement, inserting music and/or narrative, and synchronizing the sound track. A local evaluation specialist will be contracted to produce the year-end results of the coalition efforts. A request for proposal will be issued to secure a competitive bid before final selection is made.

**NON-FEDERAL MATCH (Consultant)**

Name	Service	Rate	Other	Cost
Coalition members	Outreach meeting facilitation	\$17.5/hour	6 members x \$17.50 x 20 hr./mo. x 12 mo.	\$25,200
	Travel Expenses	.38/mile	12 members x 148 miles x .38/mile	\$675
			TOTAL	\$25,875

**JUSTIFICATION: Explain the need for each agreement and how they relate to the overall project.**

Twelve (12) coalition members are volunteering their time to facilitate the youth prevention and outreach sessions outlined in the strategic plan. Hourly rate is based on average salaries of the volunteers. Travel is based on average distance between volunteer's location and the meeting sites. Mileage rate is based on POV reimbursement rate.

**NON-FEDERAL MATCH (Contract)**

Entity	Product/Service	Cost
West Bank School District	Student Assistance Program	\$15,000
	TOTAL	\$15,000

**JUSTIFICATION: Explain the need for each agreement and how they relate to the overall project.**

West Bank School District is donating their contracted services to provide drug testing, referral and case management for 50 non-school attending youth. Average cost is \$300/person. (MOU attached to application)

**FEDERAL REQUEST** – (enter in Section B column 1 line 6f of form SF424A) **\$ 9,187**  
(combine the total of consultant and contact)

**NON-FEDERAL MATCH** – (enter in Section B column 2 line 6f of form SF424A) **\$ 40,875**  
(combine the total of consultant and contact)

**G. Construction: NOT ALLOWED** – Leave Section B columns 1&2 line 6g on SF424A blank.

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

1. FEDERAL REQUEST

Item	Rate	Cost
Rent	\$15/sq.ft x 700 sq. feet	\$10,500
Telephone	\$100/mo. x 12 mo.	\$1,200
Student Surveys	\$1/survey x 2784	\$2,784
Brochures	.89/brochure X 1500 brochures	\$1,335
	TOTAL	\$15,819

**JUSTIFICATION: Breakdown costs into cost/unit: i.e. cost/square foot. Explain the use of each item requested.**

Rent and telephone will be used to operate the project. Monthly telephone costs reflect the % of effort for the personnel listed in this application. Survey copyright requires the purchase of the ATOD surveys. Brochures will be used at various community functions (health fairs and exhibits).

**2. NON-FEDERAL MATCH**

Item	Rate	Cost
Space rental	Varies between \$75/event to over \$300/event	\$11,500
Television time	\$250/spot x 50 spots	\$12,500
Internet services	\$26/mo. x 12 mo.	\$312
Student surveys	\$1/survey x 1883 surveys	\$1,883
Printing	\$300/run x 6 runs	\$1,800
	<b>TOTAL</b>	<b>\$27,995</b>

**JUSTIFICATION: Breakdown costs into cost/unit: i.e. cost/square foot. Explain the use of each item requested.**

Various coalition and community organizations donate space for the various activities outlined in the scope of work, such as teen night out, after-school programs, and parent education classes. The prices range from \$75/event for the West Bank School District to over \$300/event for the Holiday Inn. The local ACME market is donating the food for three meetings. The local television station is donating airtime for the PSA (MOU attached to application). The applying agency is donating the internet services for the full-time coordinator. The West Bank School District is donating the cost of 1,883 student surveys. All costs are the value placed on the service at the time of this grant application. A coalition member is donating the printing for the bi-monthly newsletter.

**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) **\$ 27,995**

**Indirect cost rate:** If your organization has no indirect cost rate, indicate if you intend to waive the indirect costs or negotiate and establish an indirect costs rate with DHHS within 90 days of award issuance, if the grant is awarded. For information on applying for the indirect rate go to: samhsa.gov then click on grants – grants management – HHS Division of Cost Allocation – Regional Offices.

**FEDERAL REQUEST** (enter in Section B column 1 line 6j of form SF424A)  
8% of personnel and fringe (.08 x \$63,661) **\$5,093**

**NON-FEDERAL MATCH** (enter in Section B column 2 line 6j of form SF424A)  
8% of personnel and fringe (.08 x \$26,037) **\$2,083**

The indirect costs rate was approved by the Dept. of Health and Human Services in 200X. A copy of the fully executed, negotiated, indirect cost agreement is attached.

**BUDGET SUMMARY:**

Category	Federal Request	Non-Federal Match	Total
Personnel	\$52,765	\$21,580	\$74,345
Fringe	\$10,896	\$4,457	\$15,353
Travel	\$2,444	\$1,237	\$3,681
Equipment	0	0	0
Supplies	\$3,796	\$1,773	\$5,569
Contractual	\$9,187	\$40,875	\$50,062
Other	\$15,819	\$27,995	\$43,814
Total Direct Costs*	\$94,907	\$97,917	\$192,824
Indirect Costs	\$5,093	\$2,083	\$7,176
Total Project Costs	\$100,000	\$100,000	\$200,000

**\* TOTAL DIRECT COSTS:**

**FEDERAL REQUEST** – (enter in Section B column 1 line 6i of form SF424A) **\$94,907**

**NON-FEDERAL MATCH** – (enter in Section B column 2 line 6i of form SF424A) **\$97,917**

Budget definitions:

Direct Costs: Those costs used for salaries, travel, equipment, supplies, contractual arrangements and other costs associated with paying for tangible goods.

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) required negotiated rate (see PHS 5161)

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

**FEDERAL REQUEST** (enter in Section B column 1 line 6k of form SF424A) **\$100,000**

**NON-FEDERAL MATCH** (enter in Section B column 2 line 6k of form SF424A) **\$100,000**

## **CALCULATION OF FUTURE BUDGET PERIODS**

(Based on first 12-month budget period)

(Sample for grants in the first 5-year funding cycle)

Input, review and verify the accuracy of your future year's budget estimates. Increases or decreases in the future years must be explained and justified. Complete the budget for the 2<sup>nd</sup> through the 5<sup>th</sup> project year.

Total federal share is not to exceed \$100,000 in any year.

Category	2 <sup>nd</sup> project year		3 <sup>rd</sup> project year		4 <sup>th</sup> project year		5 <sup>th</sup> project year	
	Federal	Match	Federal	Match	Federal	Match	Federal	Match
<b>Personnel</b>								
- Executive Director	\$6,489	\$4,542	\$6,489	\$4,542	\$6,489	\$4,542	\$6,489	\$4,542
- Coordinator	\$46,276		\$46,276		\$46,276		\$46,276	
- Development Specialist		\$6,240		\$6,240		\$6,240		\$6,240
- Peer Helper		\$9,200		\$9,200		\$9,200		\$9,200
- Clerical Support		\$1,596		\$1,596		\$1,596		\$1,596
<b>TOTAL</b>	<b>\$52,765</b>	<b>\$21,578</b>	<b>\$52,765</b>	<b>\$21,578</b>	<b>\$52,765</b>	<b>\$21,578</b>	<b>\$52,765</b>	<b>\$21,578</b>
<b>Fringe Benefits</b>	<b>\$10,896</b>	<b>\$4,457</b>	<b>\$10,896</b>	<b>\$4,457</b>	<b>\$10,896</b>	<b>\$4,457</b>	<b>\$10,896</b>	<b>\$4,457</b>
<b>Travel</b>	<b>\$2,548</b>	<b>\$1,237</b>	<b>\$2,548</b>		<b>\$2,548</b>		<b>\$2,548</b>	
<b>Equipment</b>								
<b>Supplies</b>	<b>\$4,796</b>	<b>\$1,773</b>	<b>\$4,796</b>	<b>\$1,773</b>	<b>\$4,796</b>	<b>\$1,773</b>	<b>\$4,796</b>	<b>\$1,773</b>
<b>Contract</b>								
- Evaluation	\$4,500		\$4,500		\$4,500		\$4,500	
- Public Awareness	\$2,300		\$2,300	\$2,300	\$2,300	\$2,300	\$2,300	\$2,300
- West Bank School Dist.		\$15,000		\$15,000		\$15,000		\$15,000
- Consultant	\$2,387							
- Coalition members		\$25,875		\$37,800		\$37,800		\$42,000
<b>TOTAL</b>	<b>\$9,187</b>	<b>\$40,875</b>	<b>\$6,800</b>	<b>\$55,100</b>	<b>\$6,800</b>	<b>\$55,100</b>	<b>\$6,800</b>	<b>\$59,300</b>
<b>Other</b>	<b>\$14,715</b>	<b>\$27,997</b>	<b>\$17,102</b>	<b>\$15,009</b>	<b>\$17,102</b>	<b>\$15,009</b>	<b>\$17,102</b>	<b>\$10,809</b>
<b>Total Direct Costs</b>	<b>\$94,907</b>	<b>\$97,917</b>	<b>\$94,907</b>	<b>\$97,917</b>	<b>\$94,907</b>	<b>\$97,917</b>	<b>\$94,907</b>	<b>\$97,917</b>
<b>Total Indirect Costs</b>	<b>\$5,093</b>	<b>\$2,083</b>	<b>\$5,093</b>	<b>\$2,083</b>	<b>\$5,093</b>	<b>\$2,083</b>	<b>\$5,093</b>	<b>\$2,083</b>
<b>Total Costs</b>	<b>\$100,000</b>	<b>\$100,000</b>	<b>\$100,000</b>	<b>\$100,000</b>	<b>\$100,000</b>	<b>\$100,000</b>	<b>\$100,000</b>	<b>\$100,000</b>

Personnel: Percentage of effort to remain the same

Fringe: Based on current rates

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

Supplies: Based on projected needs and retail costs for current year

Contract: Based on current year costs

It is anticipated that the Coalition members serving the youth programs will increase

Other: Rent will increase \$1.00/square foot in 2<sup>nd</sup> year of project per lease. All other costs are based on current expenses.

Indirect Costs: Based on current negotiated rate

The Federal dollars requested for all object class categories for the first 12-month period are entered on Form 424A, Section B, Column 1, line 6a-6i. The total Federal Dollars requested for the second through the fifth 12-month budget periods are entered on Form 424A, Section E, Columns (b) – (e), line 20.

## ATTACHMENT 2: APPLICATION AND SUBMISSION REQUIREMENTS

### 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, budget forms, assurances, certification, and checklist. You must use the PHS 5161-1. **Applications that are not submitted on the required application form will be screened out and will not be reviewed.**
- Request for Applications (RFA) – Provides 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 ([www.samhsa.gov/Grants/apply.aspx](http://www.samhsa.gov/Grants/apply.aspx)) and a synopsis of the RFA is available on the Federal grants web site ([www.Grants.gov](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 the required ten application components (Face Page, Abstract, Table of Contents, Budget Form, Project Narrative and Supporting Documentation, Appendices, Assurances, Certifications, Disclosure of Lobbying Activities, and Checklist).

- **Face Page** – Use Standard Form (SF) 424 v2, which 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 [www.dunandbradstreet.com](http://www.dunandbradstreet.com) or call 1-866-705-5711. To expedite the process, let Dun and Bradstreet know that you are a public/private nonprofit organization getting ready to submit a Federal grant application.]
- **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 3 of this RFA. Your abstract should be provided in Section J of your application.

- **Table of Contents** – Include page numbers for each of the major sections of your application and for each appendix.
- **Budget Form** – Use SF 424A, which is part of the 5161-1. Fill out Sections B, C, and E of the SF 424A. A sample budget and justification is included in Attachment 1 of this funding announcement.
- **Project Narrative and Supporting Documentation** – The Project Narrative describes your project. It consists of Sections A through F. Sections A-F together may not be longer than 22 pages. (For example, remember that if your Project Narrative starts on page 5 and ends on page 27, it is 23 pages long, not 22 pages.) More detailed instructions for completing each section of the Project Narrative are provided in “Section V— Application Review Information” of this document.

The Supporting Documentation provides additional information necessary for the review of your application. This supporting documentation should be provided immediately following your Project Narrative in Sections G through L.

- **Appendices** – Use only the appendices listed below or appendices needed to respond to the Supporting Documentation requirements. If your application includes any appendices not required in this document, they will be disregarded. Do not use appendices to extend or replace any of the sections of the Project Narrative. Reviewers will not consider them if you do.
  - *Appendix 1: Assurance of Compliance with SAMHSA Charitable Choice and Regulations* Form SMA 170. This form is posted on SAMHSA’s website with the RFA and is provided in the application kit available at the SAMHSA Clearinghouse (NCADI).
  - *Appendix 2: Certifications* – Use the “Certifications” form found in PHS-5161-1.
  - *Appendix 3: 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.
  - *Appendix 4: Checklist* – Use the checklist found in PHS 5161. The Checklist ensures that you have obtained the proper signatures, assurances, and certifications. The Checklist is the last page of your application.

## ***APPLICATION FORMATTING REQUIREMENTS***

**Applicants also must comply with the following basic application requirements. Applications that do not comply with these requirements will be screened out and will not be reviewed.**

- ❑ Use the PHS 5161-1 application.
- ❑ Applications must be received by the application deadline or have proof of timely submission, as detailed below.
- ❑ Information provided must be sufficient for review.
- ❑ Text must be legible. For Project Narratives submitted electronically in Microsoft Word, see separate requirements below under “Guidance for Electronic Submission of Applications.”
  - Type size in the Project Narrative cannot exceed an average of 15 characters per inch, as measured on the physical page. (Type size in charts, tables, graphs, and footnotes will not be considered in determining compliance.)
  - Text in the Project Narrative cannot exceed 6 lines per vertical inch.
- ❑ Paper must be white paper and 8.5 inches by 11.0 inches in size.
- ❑ To ensure equity among applications, the amount of space allowed for the Project Narrative cannot be exceeded. For Project Narratives submitted electronically in Microsoft Word, see separate requirements below under “Guidance for Electronic Submission of Applications.”
  - Applications would meet this requirement by using all margins (left, right, top, bottom) of at least one inch each, and adhering to the 22-page limit for the Project Narrative.
  - Should an application not conform to these margin or page limits, SAMHSA will use the following method to determine compliance: The total area of the Project Narrative (excluding margins, but including charts, tables, graphs and footnotes) cannot exceed 58.5 square inches multiplied by 22. This number represents the full page less margins, multiplied by the total number of allowed pages.
  - Space will be measured on the physical page. Space left blank within the Project Narrative (excluding margins) is considered part of the Project Narrative, in determining compliance.

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.
- ❑ Please number pages consecutively from beginning to end so that information can be located easily during review of the application. The cover page should be page 1, the abstract page should be page 2, and the table of contents page should be page 3. Appendices should be labeled and separated from the Project Narrative and budget section, and the pages should be numbered to continue the sequence.
- ❑ Send the original application and two copies to the mailing address on page 40 of this document. Please do not use staples, paper clips, and fasteners. Nothing should be attached, stapled, folded, or pasted. Do not use heavy or lightweight paper or any material that cannot be copied using automatic copying machines. Odd-sized and oversized attachments such as posters will not be copied or sent to reviewers. Do not include videotapes, audiotapes, or CD-ROMs.

### *GUIDANCE FOR ELECTRONIC SUBMISSION OF APPLICATIONS*

SAMHSA offers the opportunity for you to submit your application to us either in electronic or paper format. Register one time, and Grants.gov will generate your information for future applications so you don't have to re-enter it. Built-in error-checking increases the completeness and accuracy of your application. 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 [www.Grants.gov](http://www.Grants.gov) apply site. You will be able to download a copy of the application package from [www.Grants.gov](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.

You may search the Grants.gov site for the downloadable application package, by the funding announcement number (called the opportunity number) or by the Catalogue of Federal Domestic Assistance (CFDA) number. You can find the CFDA number on the first page of the funding announcement.

You must follow the instructions in the User Guide available at the [www.Grants.gov](http://www.Grants.gov) apply site, on the Customer Support tab. In addition to the User Guide, you may wish to use the following sources for help:

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

**If this is the first time you have submitted an application through 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: DUNS Number registration, Central Contractor Registry (CCR) registration, Credential Provider registration, and Grants.gov registration.

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

The Project Narrative must be a separate document in the electronic submission. Formatting requirements for SAMHSA grant applications are described 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 to ensure the accurate transmission and equitable treatment of applications.

- *Text legibility:* Use a font of Times New Roman 12, line spacing of single space, and all margins (left, right, top, bottom) of one inch each. Adhering to these standards will help to ensure the accurate transmission of your document. If the type size in the Project Narrative of an electronic submission exceeds 15 characters per inch, or the text exceeds 6 lines per vertical inch, SAMHSA will reformat the document to Times New Roman 12, with line spacing of single space. Please note that this may alter the formatting of your document, especially for charts, tables, graphs, and footnotes.
- *Amount of space allowed for Project Narrative:* The Project Narrative for an electronic submission may not exceed **11,330** words. Any part of the Project Narrative in excess of the word limit will not be submitted for review. To determine the number of words in your Project Narrative document in Microsoft Word, select file/properties/statistics.

While keeping the Project Narrative as a separate document, please consolidate all other materials in your application to ensure the fewest possible number of appendices. Ensure all pages in your application are numbered consecutively, with the exception of the standard forms in the PHS-5161 application package. Please name and number your appendices, indicating the order in which they should be assembled. Failure to comply with these requirements may affect the successful transmission and consideration of your application.

Applicants are strongly encouraged to submit their applications to Grants.gov early enough to resolve any unanticipated difficulties prior to the deadline. You may also submit a back-up paper submission of your application. Any such paper submission must be received in accordance with the requirements for timely submission detailed below in this announcement. 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. It is important that you retain this number. **Include the Grants.gov tracking number in the top right corner of the face page 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 may want to contact the Grants.gov help desk for assistance.**

The Grants.gov Web site does not accept electronic signatures at this time. Therefore, you must submit a signed paper original of the face page (SF 424), the assurances (SF 424B), and the certifications, 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 score your application receives or the ability of your application to be funded.

**For United States Postal Service:**

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

**For other delivery service (DHL, Federal Express, United Parcel 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 **20850**  
ATTN: Electronic Applications  
If you require a phone number for delivery, you may use (240) 276-1199.

***SUBMISSION DATES AND TIMES***

Applications are due by close of business on April 17, 2007. **Hand carried applications will not be accepted. Applications may be shipped using only DHL, Federal Express (FedEx), United Parcel Service (UPS), or the United States Postal Service (USPS).**

Your application must be received by the application deadline, or you must have proof of its timely submission as specified below.

- For packages submitted via DHL, Federal Express (FedEx), or United Parcel Service (UPS), proof of timely submission shall be the date on the tracking label affixed to the package by the carrier upon receipt by the carrier. That date must be at least 24 hours prior to the application deadline. The date affixed to the package by the applicant will not be sufficient evidence of timely submission.
- For packages submitted via the United States Postal Service (USPS), proof of timely submission shall be a postmark not later than 1 week prior to the application deadline, and the following upon request by SAMHSA:
  - proof of mailing using USPS Form 3817 (Certificate of Mailing), or
  - a receipt from the Post Office containing the post office name, location, and date and time of mailing.

You will be notified by postal mail that your application has been received.

**Applications not meeting the timely submission requirements above will not be considered for review.** Please remember that mail sent to Federal facilities undergoes a security screening prior to delivery. Allow sufficient time for your package to be delivered.

If an application is mailed to a location or office (including room number) that is not designated for receipt of the application, and that results in the designated office not receiving your application in accordance with the requirements for timely submission, it will cause the application to be considered late and ineligible for review.

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

SAMHSA is collaborating with [www.Grants.gov](http://www.Grants.gov) to accept electronic submission of applications. Please refer to the information above for “Guidance for Electronic Submission of Applications.”

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

Executive Order 12372, as implemented through Department of Health and Human Services (DHHS) regulation at 45 CFR Part 100, 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 [www.whitehouse.gov/omb/grants/spoc.html](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 a federally recognized Indian tribal government.
- 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-07-001**

**For other delivery 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 **20850**  
 ATTN: SPOC – Funding Announcement No. **SP-07-001**

In addition, community-based, non-governmental service providers who are not transmitting their applications through the State must submit a Public Health System Impact Statement (PHSIS) (approved by OMB under control no. 0920-0428; see burden statement below) to the head(s) of appropriate State or local health agencies in the area(s) to be affected no later than the pertinent receipt date for applications. 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. State and local governments and federally Indian tribal government applicants are not subject to these requirements.

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 [www.samhsa.gov](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 “**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 **20857**  
ATTN: SSA – Funding Announcement No. **SP-07-001**

**For other delivery 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 **20850**  
ATTN: SSA – Funding Announcement No. **SP-07-001**

In addition:

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

*[Public reporting burden for the Public Health System Reporting Requirement is estimated to average 10 minutes per response, including the time for copying the face page of SF 424 and the abstract and preparing the letter for mailing. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. The OMB control number for this project is 0920-0428. Send comments regarding this burden to CDC Clearance Officer, 1600 Clifton Road, MS D-24, Atlanta, GA 30333, ATTN: PRA (0920-0428).]*

**FUNDING LIMITATIONS/RESTRICTIONS**

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

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

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

- DFC grant funds must be used for purposes supported by the program.
- DFC grant funds may not be used to pay for the purchase or construction of any building or structure to house any part of the grant project. (Applicants may request up to \$75,000 for renovations and alterations of existing facilities, if necessary and appropriate to the project.)
- SAMHSA will not accept a “research” indirect cost rate. The grantee must use the “other sponsored program rate” or the lowest rate available.

***OTHER SUBMISSION REQUIREMENTS***

**Where to Send Applications**

Guidance for Electronic Submission of Applications is included above. Following are instructions for submission of paper applications.

Send 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 **20857**

**For other delivery 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 **20850**

Do not send applications to other agency contacts, as this could delay receipt. **Be sure to include the funding announcement number (SP-07-001) in item number 12 on the face page any paper applications.** If you require a phone number for delivery, you may use (240) 276-1199.

### **How to Send Applications**

SAMHSA is collaborating with [www.Grants.gov](http://www.Grants.gov) to accept electronic submission of applications. Please refer to the information above for “Guidance for Electronic Submission of Applications.” Following are instructions for submission of paper applications.

Mail or deliver an original application and 2 copies (including appendices) to the mailing address provided above, according to the instructions in Attachment 2. The original and copies must not be bound. Do not use staples, paper clips, or fasteners. Nothing should be attached, stapled, folded, or pasted.

**Hand carried applications will not be accepted. Applications may be shipped using only DHL, 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.**

Applicants are requested to submit a courtesy copy of portions of their application to SAMHSA’s Center for Substance Abuse Prevention (CSAP) for the purpose of creating electronic database information for processing the final grant awards and post award program management. Non-submission of this request will not affect the application eligibility.

**This is not an application requirement** and this submission does not substitute for the prescribed procedures for submitting electronic applications through Grants.gov or paper submissions sent to the Director of Grants Review. **This information will not be used for application submission purposes.**

For the purposes of providing electronic information for creating database information, submit a courtesy copy of the following sections as an attachment to email directed to [dfcnew2007@samhsa.hhs.gov](mailto:dfcnew2007@samhsa.hhs.gov).

Section J, Program Abstract  
Section K, General Application Information  
Section L, Applicant Demographics

## **ATTACHMENT 3: SAMPLE PROGRAM ABSTRACT**

Applicants are required to include a program abstract in their applications. The abstract must not exceed 35 lines and should provide basic information about the proposed project. 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:  
Fiscal Agent Name:  
Coalition Community:  
Contact Name:  
Contact Mailing Address:  
Contact E-Mail Address:  
Contact Phone/Fax Number:

The ABC Coalition serves Eastern County, VT, a rural area with a population of 22,000, which is 7 percent Native American. The goals of the program are to: 1) reduce substance abuse among youth in Eastern County, VT, and, over time, among adults by addressing the factors in our community that increase the risk of substance abuse and promoting the factors that minimize the risk of substance abuse; 2) establish and strengthen collaboration among Eastern County's 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. To achieve these goals, the coalition will implement the following strategies: 1) develop a 2-year countywide youth risk prevention action plan for interagency collaboration and community action; 2) establish a media campaign to increase awareness of youth drug problems; and 3) sponsor training for law enforcement officers who respond to underage drinking parties.

## ATTACHMENT 4: SAMPLE LOGIC MODEL

<b>Sample Logic Model</b>							
<b>Theory of Change</b>							
When a community comes together and implements multiple strategies to address youth use of methamphetamines in a comprehensive way, youth will be more likely to use later and use less.							
<b>Problem Statement</b>			<b>Strategies</b>	<b>Activities</b>	<b>Outcomes</b>		
<b>Problem</b>	<b>But why?</b>	<b>But why here?</b>			<b>Short Term</b>	<b>Intermediate</b>	<b>Long-Term<sup>1</sup></b>
Too many youth are using meth-amphetamine 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	80% of high school seniors never try meth  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 and 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	75% of youth 12-18 report that meth use is risky or harmful
	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	80% of youth 12-18 report disapproval of use by peers and adults
	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	

<sup>1</sup> The long-term outcomes are affected not by any single strategy but by ALL of the strategies and activities.

## Attachment 5: Glossary of Terms

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

Activity: Things that you do—activities you plan to conduct in your program.

Community Assessment: A comprehensive description of your target community (however your coalition defines community). The assessment process is a systematic gathering and analysis of data about your community.

Capacity: The various types and levels of resources that an organization or collaborative has at its disposal to meet the implementation demands of specific interventions.

Community Level Change: This is change that occurs within the target population in your target area.

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 enable coalitions to have positive interactions in culturally diverse environments.

Goal: A goal states intent and purpose, and supports the vision and mission statements. For example: “To create a healthy community where drugs and alcohol are not abused by adults or used by underage youth.”

Objective: Objectives are the specific, measurable results a coalition plans to accomplish and serve as the basis by which to evaluate the work of the coalition.

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 in 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.

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

## Attachment 6: Scoring Sheets

### Assessment (22 Points)

#	Question	Point Value	Score:	Comments:	
A.1	Describe and identify substance abuse problems in your community. Please include the following elements in your description:		N/A		
A.1. a	a. Did you collect your own data or use existing data, or both? Identify your data sources (e.g. school surveys, focus groups, reviewing existing data sources, etc) and how the data support your findings.	0-3			
A.1. b	b. Specifically describe how you gathered your data.	0-3			
A.2	If you have them, please include baseline data on the four GPRA measures discussed in Section I, Expectations, 2.5, "Data and Performance Measurements Requirements." Identify your data sources (e.g. school surveys, focus groups, reviewing existing data sources, etc) and how the data support your findings.	0-3			
A.3	Clearly articulate the substance abuse problems you plan to address in your target community as the result of your findings.	0-3			
A.4	Identify the findings from your community assessment to support your decision to target the problems you plan to address. Cite your specific data and method used to collect that data. Include any details related to risk and protective factors in your community, or developmental asset issues you identified in your assessment.	0-3			
A.5	How do you plan to continually check for changes in data trends and the accuracy of data developed in your original community assessment?	0-3			
A.6	Please rate the overall continuity of the applicant's responses in this section	0-3			
				Weighting Factor	
Raw Section Total		(0-21)	x	1.05 =	= Actual Section Score
Total Possible:			x	1.05 =	22.0 =Total Possible

Overall Section Comments (Required)

Capacity (12 Points)

#	Question	Point Value	Score:	Comments:
B.1	What resources exist in your community to target problems addressed in your community assessment? For example: • Current financial resources (cash and in-kind)? • Other community resources (training, knowledge, facilities, volunteers, other coalitions, etc.)	0-3		
B.2	How will you manage the resources at your disposal?	N/A	N/A	
B.2.a	• Describe the structure of the coalition. How are decisions made and communicated?	0-3		
B.2.b	• What structure do you incorporate in your coalition to create community involvement and volunteer participation? Please include any committee/subcommittee structures and decision-making processes in your answer.	0-3		
B.2.c	• What role do key partners and coalition members play in your coalition? Your answer should include, but not necessarily be limited to, the required 12 key sectors.	0-3		
B.3	How will you maintain and strengthen the coalition and prevention effort over the next year?	0-3		
B.4	How will your coalition train, encourage, and mobilize your current and future leaders, workers, and volunteers?	0-3		
B.5	What are your community's gaps in resources and services and how do you plan to address these specific challenges?	0-3		
B.6	Please rate the overall continuity of the applicant's responses in this section	0-3		

				Weighting Factor			
Raw Section Total		(0-24)	x	0.5	=	10.0	= Actual Section Score
Total Possible:			24	x	0.5	=	12.0 =Total Possible

Overall Section Comments (Required)

Planning (16 Points)

#	Question	Point Value	Score:	Comments:
C.1	Based on the problem(s) you identified in Section A, please describe your coalition's vision and mission.	0-3		
C.2	Outline your 5 year long-term strategic plan to achieve Goals 1 and 2. Identify your priority objectives based on your discussions in Section A and B.	0-3		
C.3	How was your community involved in developing your Strategic Plan?	0-3		
C.4	Please rate the overall continuity of the applicant's responses in this section	0-3		

		Weighting Factor					
Raw Section Total		(0-12)	x	1.33	=		= Actual Section Score
Total Possible:			12	x	1.33	=	16.0 =Total Possible

Overall Section Comments (Required)

Implementation (20 Points)

#	Question	Point Value	Score:	Comments:		
D.1	Provide a logic model and an Action Plan for year 1 of the DFC grant. In this section, please include the following (Please note that reviewers will be asked to consult both your logic model and your narrative response when scoring this question):	NA	NA			
D.1 .a	• detailed description of what specific activities the coalition will undertake	0-3				
D.1 .b	• what outcome(s) each activity will create	0-3				
D.1 .c	• how the coalition will measure progress toward achieving the outcome related to each activity and how that ties into the problems identified in Section A	0-3				
D.1 .d	• who in your coalition and community is responsible for each activity	0-3				
D.1 .e	• what resources you will need to achieve the desired outcome for each activity	0-3				
D.2	The coalition should develop and carry out a plan that is focused on community level change. A community coalition must focus on changing the full environment by identifying and implementing strategies that will affect community norms and beliefs around alcohol and other drugs. Describe what community-level changes you expect to come from your activities this year. Please include in your answer any strategies to create environmental change.	0-3				
D.3	Please rate the overall continuity of the applicant's responses in this section	0-3				
				Weighting Factor		
	Raw Section Total	(0-21)	x	0.95	=	= Actual Section Score
	Total Possible:		21	0.95	=	20.0 =Total Possible

x

Overall Section Comments (Required)

Evaluation (20 Points)

#	Question	Point Value	Score:	Comments:
E.1	How will you meet the grant requirement to report on the four core DFC GPRA outcome measures (30-day use, perception of harm, perception of disapproval, age of onset)? Included in this should be evidence of your plan to secure the necessary data so that you are in a position to report to the Federal government on all four measures for alcohol, tobacco, and marijuana, at least every other year (i.e. once every 24 months) and for a minimum of three grade levels. Include in this response, identification of the survey or instrument(s) used, or that you plan to use, and how that/those instruments are a meaningful reflection of the drug use and drug perceptions of the youth of your entire community.	0-3		
E.2	Based on your coalition's strategic plan, how will you track your progress over time and make adjustments as needed based on the information contained in the data you collect?	0-3		
E.3	How will you use your findings from your evaluation to improve your project throughout the project period and in planning future activities?	0-3		
E.4	What is your plan to use information from the evaluation to inform, engage and recruit the target population and the community members?	0-3		
E.5	How will the process evaluation of your coalition's operations and administration be used in considering future planning and implementation?	0-3		
E.6	Describe the how the coalition has created partnerships in order to collect, analyze, and report data and conduct evaluation activities.	0-3		
E.7	Please rate the overall continuity of the applicant's responses in this section	0-3		

				Weighting Factor		
	Raw Section Total	(0-21)		x	0.95	= [ ] = Actual Section Score
	Total Possible:		21	x	0.95	= 20.0 =Total Possible

Overall Section Comments (Required)

**Budget (10 Points)**

#	Question	Point Value	Score:	Comments:
F.1	<p>Do you (the reviewer) judge that the applicant’s budget and budget narrative support the two goals?</p> <p><b>Goal One:</b></p> <p>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.</p> <p><b>Goal Two:</b></p> <p>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.</p>	0-3		
F.2	Do you (the reviewer) judge that the applicant's budget and budget narrative support the proposed plan in Section D of the narrative response?	0-3		
F.3	Do you (the reviewer) judge that the applicant’s budget and budget narrative focuses DFC grant funding on support for environmentally-based community change? (See Section 1-2.2 – Funding Opportunity Description/Coalition Activities Defined for further information on environmentally-based community change.)	0-3		

				Weighting Factor		
	Raw Section Total	(0-9)	x	1.11	=	
	Total Possible:		9	x	1.11	= 10.0

= Actual Section Score  
=Total Possible

Other Section Comments (required):