Department of Health and Human Services

Substance Abuse and Mental Health Services Administration

Drug-Free Communities (DFC) Support Program-New

(Use this template if you are a DFC applicant that has never received a DFC grant)

(Initial Announcement)

Funding Opportunity Announcement (FOA) No. SP-18-002

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

Key Dates:

Application Deadline	**Applications are due by March 29, 2018.**
Intergovernmental Review **(E.O. 12372)**	**Applicants must comply with E.O. 12372 if their state(s) participates. Review process recommendations from the State Single Point of Contact (SPOC) are due no later than 60 days after application deadline.**
Public Health System Impact Statement (PHSIS)/Single State Agency Coordination	**Applicants must send the PHSIS to appropriate state and local health agencies by the application deadline. Comments from the Single State Agency are due no later than 60 days after the application deadline.**

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EXECUTIVE SUMMARY

The Executive Office of the President, Office of National Drug Control Policy (ONDCP), and the Department of Health and Human Services (HHS), Substance Abuse and Mental Health Services Administration (SAMHSA), Center for Substance Abuse Prevention (CSAP) are accepting applications for Fiscal Year (FY) 2018 Drug-Free Communities (DFC) Support Program grants. The purpose of the DFC Support Program is to establish and strengthen collaboration to support the efforts of community coalitions working to prevent youth substance use.

Funding Opportunity Title:	Drug-Free Communities (DFC) Support Program
Funding Opportunity Number:	SP-18-002
Due Date for Applications:	March 29, 2018
Anticipated Total Available Funding:	$15,000,000
Estimated Number of Awards:	Approximately 120 grant awards.
Estimated Award Amount:	Up to $**125,000** per year
Cost Sharing/Match Required	Cash or In-Kind match is required [See Section III-2 of this FOA for cost sharing/match requirements.]
Length of Project Period:	Up to 5 years
Eligible Applicants:	Eligible applicants are community-based coalitions addressing youth substance use that have never received a DFC grant. Applicants **must** meet all Statutory Eligibility Requirements. [See Section III-1 of this FOA for complete eligibility information.]

Be sure to check the SAMHSA website periodically for any updates on this program.

IMPORTANT APPLICATION INFORMATION: SAMHSA's application procedures have changed. **All applicants must register with NIH's eRA Commons in order to submit an application. This process takes up to six weeks. If you believe you are interested in applying for this opportunity, you MUST start the registration process immediately. Do not wait to start this process. <u>If your organization is not registered and you do not have an active eRA Commons Program Director/Principal Investigator (PD/PI) account by the deadline, the application will not be accepted.</u> No exceptions will be made.**

Applicants also must register with the System for Award Management (SAM) and Grants.gov (see Appendix A for all registration requirements).

I. FUNDING OPPORTUNITY DESCRIPTION

1. PURPOSE

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), Center for Substance Abuse Prevention (CSAP) are accepting applications for Fiscal Year (FY) 2018 Drug-Free Communities (DFC) Support Program grants. By statute, the DFC Support Program has two goals:

1. Establish and strengthen collaboration among communities, public and private non-profit agencies, as well as federal, state, local, and tribal governments to support the efforts of community coalitions working to prevent and reduce substance abuse among youth*.

2. Reduce substance abuse among youth and, over time, reduce substance abuse among adults by addressing the factors in a community that increase the risk of substance abuse and promoting the factors that minimize the risk of substance abuse.

*For the purposes of this FOA, "youth" is defined as individuals 18 years of age and younger.

The DFC Support Program was created by the Drug-Free Communities Act of 1997 (Public Law 105-20). This announcement addresses Healthy People 2020 Substance Abuse Topic Area HP 2020-SA.

<u>Failure to use the correct FOA will result in an application being screened out and not proceeding to peer review.</u>

2. EXPECTATIONS

Grants awarded through the DFC Support Program are intended to support established community-based youth substance use prevention coalitions capable of effecting community-level change. For the purposes of this FOA and the DFC Support Program, a coalition is defined as a community-based formal arrangement for cooperation and collaboration among groups or sectors of a community in which each group retains its identity, but all agree to work together toward a common goal of building a safe, healthy, and drug-free community. DFC grant award recipients, also referred to as 'recipients', are expected to conduct the day-to-day operations of the grant program. DFC recipients are not permitted to serve as a conduit for DFC funds passing through them or to another agency.

Coalitions receiving DFC funds are expected to work with leaders in their communities to identify and address local youth substance use problems and create sustainable community-level change through the use of the Seven Strategies for Community Level Change. For more information on these strategies, please refer to page eight of this FOA.

NOTE: SAMHSA requires electronic submission of grant applications through Grants.gov. Grants.gov will reject applications submitted after **11:59 PM Eastern Time on March 29, 2018.** Due to the new registration and application requirements, it is strongly recommended that applicants start the registration process **six weeks in advance** of the application due date.

Some applicants living in remote and rural areas may be unable to submit electronically through the Grants.gov portal because their physical location does not have adequate access to the internet. Inadequate internet access is defined as persistent and unavoidable access problems/issues that would make compliance with the electronic submission requirement a hardship. In these cases, applicants may apply for a waiver of the electronic submission. The waiver **must** be submitted at least 30 days prior to the application receipt date. If the waiver is approved, the applicant will be permitted to submit a paper application. The process for applying for a waiver is described in Appendix A.

The waiver is only considered for applicants with persistent lack of access to the internet. No other exceptions will be made.

2.1 Strategic Prevention Framework

DFC funded coalitions are expected to utilize SAMHSA's Strategic Prevention Framework (SPF) as the planning model to develop long-range plans. The SPF is a five-step evidence-based process for community planning and decision-making. Cultural competence and sustainability should be considered throughout all five steps of the process, which includes:

1. **Assessment**: Identify local youth substance use problems and the community conditions that contribute to the specific identified issues.
2. **Capacity**: Mobilize/build capacity to change the conditions and address the youth substance use problems.

3. **Planning**: Develop a logic model, comprehensive 12-month Action Plan, and multi-year Strategic Plan.
4. **Implementation**: Implement action and strategic plans with multiple objectives, strategies, and activities.
5. **Evaluation**: Monitor, sustain, improve, or replace prevention activities, efforts, and strategies.

For more information on the SPF, visit https://www.samhsa.gov/capt/applying-strategic-prevention-framework.

2.2 Community Definition

Applicants are expected to define the communities they propose to serve. The DFC Support Program does not prescribe the demographics or geographic location of DFC-funded community coalitions. DFC grant recipients may use various geographic boundaries including neighborhoods, census tracts, zip codes, and school districts, as well as townships, counties, or parish lines, among others, to define their community. Applicants should be realistic about the size and population of the area in which the coalition will have the ability to create change. For example, choosing a community that is too large may be problematic due to inclusion of neighborhoods that have significantly different problems to be addressed.

The DFC Support Program **does not** make funding decisions based on geographic boundaries (e.g., number of grants within states/towns/cities). Applicants should consider that adjacent neighborhoods/towns/cities with DFC-funded community coalitions operating in different areas are encouraged. However, multiple DFC recipients **may not** serve the same zip code(s) unless there is written evidence of cooperation between the overlapping coalitions. **See Section III-1, Table 1, Requirement 9** of this FOA for information on written evidence of cooperation.

2.3 Community Level Change

Applicants are expected to choose strategies that will lead to community level change. Such strategies seek to: (1) limit access to substances; (2) change the culture and context within which decisions about substance use are made; and/or (3) shift the consequences associated with youth substance use. Evidence exists that well-conceived and implemented policies at the local, state, and national levels can reduce community level alcohol, tobacco, and other drug problems.

The DFC Support Program requires that coalitions develop and implement a comprehensive 12-Month Action Plan to prevent youth substance use. **A comprehensive 12-Month Action Plan will include an appropriate mixture of all seven strategies listed below.** Applicants are not required to name the seven strategies, identified below, in their 12-Month Action Plan but should use them as a framework for ensuring a comprehensive plan.

The Seven Strategies for Community Level Change, a conceptual understanding of strategies a coalition may employ, include efforts that affect individuals as well as an entire community.

Seven Strategies for Community Level Change

1. **Provide Information**: Educational presentations, workshops or seminars, and data or media presentations (e.g., Public Service Announcements (PSAs), brochures, town halls, forums, web communications).

2. **Enhance Skills:** Workshops, seminars, or activities designed to increase the skills of participants, members, and staff (e.g., training and technical assistance, parenting classes, strategic planning retreats, model programs in schools).

3. **Provide Support:** Creating opportunities for participation in activities that reduce risk or enhance protection (e.g., alternative activities, mentoring, referrals for service, support groups, youth clubs).

4. **Enhance Access/Reduce Barriers:** Improving systems/processes to increase the ease, ability, and opportunity to utilize those systems and services (e.g., assuring transportation, housing, education, safety, and cultural sensitivity) in prevention initiatives. Reduce Access/Enhance Barriers: Improving systems/processes to decrease the ease, ability, and opportunity for youth to access substances (e.g., raising the price of single-serve cans of alcohol, implementing retail alcohol/tobacco compliance checks).

5. **Change Consequences:** Increasing or decreasing the probability of a behavior (incentives/disincentives) by altering the consequences for performing that behavior (e.g., increasing taxes, citations, and fines; revocation/loss of driver's license).

6. **Change Physical Design:** Changing the physical design of the environment to reduce risk or enhance protection (e.g., re-routing foot/car traffic, adjusting park hours, alcohol/tobacco outlet density). **NOTE:** DFC federal funds cannot support landscape and lighting projects. As such, costs for these projects cannot be used as match.

7. **Modify/Change Policies:** Formal change in written procedures, by-laws, proclamations, rules, or laws (e.g., workplace initiatives, law enforcement procedures and practices, public policy actions, systems change). **NOTE:** As per both HHS/SAMHSA and ONDCP guidelines, lobbying with federal dollars is not permitted. As such, costs for lobbying cannot be used as match.

For more information on the Seven Strategies for Community Change, visit http://www.cadca.org/resources/coalition-impact-environmental-prevention-strategies.

NOTE: Applications funded by the DFC Program are required to comply with the following Term and Condition regarding DFC recipient restrictions on lobbying:

(c) Title 18 > Part I > Chapter 93 > Section 1913 – Lobbying with Appropriated Moneys

No part of the money appropriated by any enactment of Congress shall, in the absence of express authorization by Congress, **be used directly or indirectly to pay for** any personal service, advertisement, telegram, telephone, letter, printed or written matter, or other device, **intended or designed to influence** in any manner a **Member of Congress, a jurisdiction, or any official of any government, to favor, adopt, or oppose, by vote or otherwise, any legislation, law, ratification, policy, or appropriation,** whether before or after the introduction of any bill, measure, or resolution proposing such legislation, law, ratification, policy, or appropriation.

2.4 DFC National Cross-Site Evaluation

DFC grant award recipients are required to participate in the DFC National Cross-Site Evaluation, intended to measure the effectiveness of the DFC Support Program in reducing youth substance use. DFC recipients are required to provide data every two years on the following core measures for alcohol, tobacco, marijuana, and prescription drugs for three grades (6th-12th):

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

* It is recommended that data be collected for at least one middle school and one high school grade.

Applicants are not required at the time of application to be in compliance with the DFC National Cross-Site Evaluation Requirements. However, recipients will be required to comply with the DFC National Cross-Site Evaluation Requirements once awarded a DFC grant. Prior to submitting core measures data, coalitions are required to submit any survey(s) used to collect these data for review and approval through the DFC *Me* (Management and Evaluation) system. The coalition will have two years from the time of award to report its first complete set of core measure data.

It will be the responsibility of the coalition to know the National Cross-Site Evaluation reporting schedule. An inability to supply the previously mentioned core measures in the specific increment (every two years) for the substances named from the grades required means a coalition is out of compliance with the grant's Terms and Conditions. **Failure to comply with the Terms and Conditions of the DFC grant award may result in suspension or termination of the award.**

2.5 New Grant Award Recipient Virtual Training Requirement

All new DFC Grant Award Recipients **must** participate in the **New Grant Award Recipient Virtual Training.** The Program Director/Principal Investigator (PD/PI), Project Coordinator, and the Grant Award Recipient (fiscal agent) **must** participate in all the training sessions. The New Grant Award Recipient Virtual Training usually takes place in mid-November or early December. Training dates and topics will be shared with all new DFC Grant Award Recipients 60 to 90 days post award.

2.6 National Coalition Academy Requirement

The National Coalition Academy (NCA) is a three-week training program spread out over the course of several months. It is designed to train coalitions in the SPF process and guide the creation of the products necessary for successful coalition functioning and management. Costs associated with the NCA are generally limited to travel (e.g., flight, car rental, per diem). Lodging, dependent upon location, may be provided. There are several locations across the United States where the NCA is held.

All Year One grant award recipients **must** send two people to the NCA. Specifically, key personnel in charge of the coalition's daily operations (Program Director/Principal Investigator (PD/PI) or Project Coordinator) **must** attend all three weeks of the NCA and graduate. The second mandatory person to attend can vary each week; for example, a coalition may choose to send a coalition staff member or a community member to the NCA if awarded the DFC grant.

Successful applicants are required to contact the National Coalition Institute immediately after being awarded the DFC grant to register for the NCA location of their choice. More information on the NCA can be found at http://www.cadca.org/nca.

2.7 Pre-Application Workshop

All applicants applying to the DFC Program are encouraged to attend one of the following pre-application workshops. To register for a workshop listed below, go to: https://www.cmpinc.net/dfc.

- January 23, 2018 Amarillo, Texas
- January 25, 2018 Henderson, Nevada
- January 31, 2018 Jackson, Mississippi
- February 9, 2018 National Harbor, MD

These workshops **are not** mandatory in order to apply for this grant. The workshops provide technical assistance to help applicants complete the application. Please read this FOA in advance so you are prepared to ask questions related to the completion of an application.

If an applicant is unable to travel to a workshop, a recorded version will be posted to the DFC website by mid-January 2018. The workshop registration link and the link for the online videos can be found at https://www.whitehouse.gov/ondcp/grants-programs.

II. AWARD INFORMATION

Funding Mechanism: Grant

Anticipated Total Available Funding: $15,000,000

Estimated Number of Awards: Approximately 120 grant awards

Estimated Award Amount: Up to $125,000

Length of Project Period: Up to 5 years

Proposed budgets must not exceed $125,000 in total costs (direct and indirect) in any year of the proposed project. Annual continuation awards will depend on the availability of funds, recipient progress in meeting project goals and objectives, timely submission of the required data and reports, and compliance with all grant award Terms and Conditions. Failure to comply with the Terms and Conditions of the award may result in suspension or termination of the award.

Applicants should be aware that award amounts are subject to the availability of funds.

To apply for a DFC grant under this FOA, a coalition **must** have never received a DFC grant.

Recipients will be awarded funds for one year beginning on September 29, 2018. Funds for subsequent years within a grant cycle are distributed on an annual basis as non-competing continuation awards. Each year, recipients **must** demonstrate compliance with the DFC Statutory Eligibility Requirements.

III. ELIGIBILITY INFORMATION

1. ELIGIBLE APPLICANTS

Eligible applicants are community-based coalitions addressing youth substance use that have never received a DFC grant. **Statutory Eligibility Requirements, written into the DFC Act, are inherent in the language of the DFC Support Program.** Applicants should refer to **Table 1: Statutory Eligibility Requirements,** which contains a summary of the minimum documentation applicants **must** provide to meet these criteria. The table also specifies evidence required and where to place it in the application (e.g., as an attachment, in the Project Narrative, or in the Budget Narrative).

Failure to meet any single statutory eligibility requirement will cause the application to be deemed ineligible; in such case it will not move forward to peer review. Should your application fail to meet the eligibility requirements, the person listed as the Business Official on the Application for Federal Assistance (SF-424) will receive a letter stating why the application was deemed ineligible. **No additional information may be added to an application after the application deadline.** Final authority lies with the DFC Administrator to determine the eligibility of an application.

NOTE: Coalitions that have already received 10 years of DFC funding are not eligible to apply for this grant.

All DFC applications will be jointly screened by ONDCP and SAMHSA to determine whether an applicant meets all the DFC Support Program Statutory Eligibility Requirements identified in Table 1.

In addition, the non-profit status of the legal applicant (if applicable) will be verified along with its ability to fiscally manage federal funds. Applications submitted by eligible coalitions that demonstrate they meet all requirements will then be scored through a peer review process according to the evaluation criteria described in the Application Review Information of this FOA. Each year, DFC recipients **must** demonstrate compliance with all of the Statutory Eligibility Requirements to be considered for continuation funding.

A DFC legal applicant (an organization applying on behalf of a coalition, the coalition, or the applicant coalition) **must** reside within the United States and/or the U.S. Territories. The intent of the DFC Support Program is to fund coalition activities in the United States and does not authorize the funding of organizations or activities outside the United States.

Table 1: Statutory Eligibility Requirements

Eligibility Requirement Item:	**Evidence Required and Where to Document:**
Requirement 1: 12 Sectors	**Evidence Required:**
The coalition **must** consist of one or more representatives from each of the following required 12 sectors: • Youth (18 or younger) • Parent • Business • Media • School • Youth-serving organization • Law enforcement • Religious/Fraternal organization • Civic/Volunteer groups (i.e., local organizations committed to volunteering, not a coalition member designated as a "volunteer") • Healthcare professional or organization (i.e., primary care, hospitals, etc.) • State, local, or tribal governmental agency with expertise in the field of substance abuse (including, if applicable, the state agency with primary authority for substance abuse) • Other organization involved in reducing substance abuse (21 USC 1531 §1032 (a)(2)(A)) An individual who is a member of the coalition may	A Coalition Involvement Agreement (CIA) for each of the 12 sector members. Where to Document: **Attachment 1: 12 CIAs** **For Additional information, please refer to Section V-5.5 and** Appendix G **Note**: Coalition members **cannot** represent more than one sector category and paid staff (i.e. Program Director/Principal Investigator (PD/PI) and Project Coordinator) **cannot** serve as sector representatives. Doing so will deem an application ineligible and the application **will not** proceed to peer review.

serve on the coalition as a representative of **not more than one sector category.** (21 USC 1531 §1032 (a)(2)(C))	
Requirement 2: Six Month Existence	**Evidence Required:**
The coalition **must** demonstrate that members have worked together on substance abuse reduction initiatives for a period of not less than 6 months at the time of submission of the application, acting through entities such as task forces, subcommittees, or community boards. (21 USC 1531 §1032 (a)(3)(A)) The coalition **must** also demonstrate substantial participation from volunteer leaders in the community. (21 USC 1531 §1032 (a)(3)(B))	Where to Document: - **Attachment 2** – Coalition minutes from one meeting that took place between March 2017 and the deadline for submission of this application. **For Additional information, please refer to Section V-5.5**
Requirement 3: Mission Statement	**Evidence Required:**
The coalition **must** have as its principal mission the reduction of youth substance use, which, at a minimum, includes the use and abuse of drugs in a comprehensive and long-term manner, with a primary focus on youth in the community. (21 USC 1531 §1032 (a)(3)(B)(4)(A)	Where to Document: - **Project Narrative, Question 1** **For Additional information, please refer to Section V-5.5**
Requirement 4: Multiple Drugs of Abuse	**Evidence Required:**
The coalition **must** have developed a 12-Month Action Plan to reduce substance use among youth which **targets** multiple drugs of abuse. Substances may include, but are not limited to, narcotics, depressants, stimulants, hallucinogens, inhalants, marijuana, alcohol, and tobacco, where youth use is prohibited by federal, state, or local law. (21 USC 1531 §1032 (a)(4)(D))	12-Month Action Plan that identifies **two drugs of use to be addressed** by the coalition. Where to Document: - **Project Narrative, Question 3**
Requirement 5: DFC National Evaluation Requirement	**Evidence Required:**
The coalition **must** establish a system to measure and report outcomes, established and approved by the DFC Administrator, to the federal government. (21 USC 1531 §1032 (a)(5)(A))	Applicants are not required at the time of application to be in compliance with the DFC National Cross-Site Evaluation Requirements. If awarded a grant, the coalition will have two years from the time of award

	to report **its first complete set** of core measure data. Where to Document: - **Project Narrative, Question 4** **For Additional information, please refer to Section I-2.4, Section V-5.5**
Requirement 6: Entity Eligible to Receive Federal Grants	**Evidence Required:**
The applicant **must** demonstrate that the coalition is an ongoing concern by demonstrating **that the coalition is a non-profit organization or has made arrangements with a legal entity that is** eligible to receive federal grants. (21 USC 1531 §1032 (a)(5)(A)) Organizations eligible to receive federal funds as DFC grant recipients **must** be legally recognized domestic public or private nonprofit entities. For example, state and local governments, federally recognized tribes, state recognized tribes, urban Indian organizations (as defined in P.L. 94-437, as amended), public or private universities and colleges, professional associations, voluntary organizations, self-help groups, consumer and provider services-oriented constituency groups, community- and faith-based organizations, and tribal organizations. DFC grant recipient Financial management Requirements: Federal regulations governing SAMHSA grants (45 CFR Part 75) provide standards for financial management systems of grant award recipient organizations. To determine whether grant recipients have financial management systems that conform to those standards, SAMHSA's Office of Financial Advisory Services (OFAS) perform Financial Capability Reviews of new or prospective grant recipients. If needed, OFAS	Statement of Legal Eligibility. Where to Document: - **Attachment 3 –Signed Assurance of Legal Eligibility or Memorandum of Understanding (MOU)** between the applicant coalition and recipient/legal applicant. **For Additional information, please refer to Section V-5.5,** Appendix H **and** Appendix I.

will request that the grant recipient take necessary corrective action to conform to the financial management standards. For more information, go to http://www.samhsa.gov/grants/grants-management/policies-regulations/financial-management-requirements	
Requirement 7: Substantial Support from Non-Federal Sources	**Evidence Required:**
The coalition **must** have a strategy to solicit **substantial financial support from non-federal sources to ensure that the coalition is self-sustaining**. (21 USC 1531 §1032 (a)(5)(C)) & (21 USC 1531 §1032 (b)(1)(A)(i))	Budget narrative which describes matching funds. **Where to Document:** - SF-424, Section 18 - SF-424A - Budget Narrative **For Additional information, please refer to Section III-2 and Appendix F.**
Requirement 8: Federal Request	**Evidence Required:**
The applicant **must** not request more than $125,000 in federal funds per year. (PL 109-469 §803)	The budget may not exceed $125,000/year. **Where to Document:** - SF-424, Section 18 - SF-424A - Budget Narrative **For Additional information, please refer to Section II and Appendix F.**
Requirement 9: Zip Code Overlap	**Evidence Required:**
Two DFC-funded coalitions **may not** serve the same zip code(s) unless both coalitions have clearly described their plan for collaboration in their application and each coalition has independently met the eligibility requirements. (21 USC 1531 §1032 (a)(5)(C))	An applicant that proposes to serve a geographical area which overlaps with a community served by other applicant coalitions or existing DFC coalitions **must** provide a Letter of Mutual Cooperation between these coalitions acknowledging the geographical overlap and their efforts to collaborate. **Where to Document:** - **Attachment 4** – Letter(s) of

	Mutual Cooperation, signed by both coalitions, **or** statement that there is no overlap between the applicant and other coalitions. - **Attachment 8** – General Applicant Information Table (Appendix M). **For Additional information, please refer to Section V-5.5.**
Requirement 10: One grant at a time	**Evidence Required:**
Grant recipients may be awarded only one grant at a time through the DFC Support Program.	Applicants **must** sign and submit the Assurance of One DFC Grant at a Time. Where to Document: - **Attachment 5** –Assurance of One DFC Grant at a Time (Appendix J). **For Additional information, please refer to Section V-5.5.**
Requirement 11: No more than 10 years of DFC funding	**Evidence Required:**
In order to receive a DFC grant, coalitions may not have received 10 years of DFC funding.	Applicants **must** sign the Assurance of DFC 10-Year Funding Limit in Appendix K Where to Document: - **Attachment 6** – Assurance of DFC 10- Year Funding Limit **For Additional information, please refer to Section V-5.5.**

2. COST SHARING and MATCH REQUIREMENTS

The DFC authorizing legislation requires recipients to demonstrate that they have matching funds ("match") from non-federal sources equivalent to or greater than federal funds requested from the DFC Support Program. Applicants **must** itemize the match separately in the budget and explain the match separately in the Budget Narrative. A sample Budget Narrative is provided in Appendix F of this FOA. Applicants in their first cycle of DFC funding (Year One - Year Five), and those in Year Six, are

required to have 100 percent match (1:1) from non-federal sources. Beginning in Year Seven, the percentage increases. The table below indicates the percentage of match required for DFC grant recipients in each year of the grant.

Table 2: Percentage of Match

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

Cash or in-kind support may be used for the match requirement. In-kind support includes the value of goods and services donated to the operation of the DFC coalition, including but not limited to office space, volunteer secretarial services, pro bono accounting services, and other volunteer services to support the coalition's work. All match **must** follow federal cost principles (see Section IV-3). Applicants cannot submit match that would not be an allowable expense of DFC funds. A match level over the required amount **will not** result in a higher peer review score. All proposed match is an obligation on the part of the applicant.

Federal funds, including those passed through a state or local government cannot be used toward the required match. The only exception in the DFC Support Program is in the case of a coalition that includes a representative of the Bureau of Indian Affairs, the Indian Health Service, or a tribal government agency with expertise in the field of substance abuse and serving a tribal community.

IV. APPLICATION AND SUBMISSION INFORMATION

1. REQUIRED APPLICATION COMPONENTS

Applications must include all required application components. These components must be submitted in the order detailed below. Please refer to Appendix A and Appendix B for additional formatting and submission requirements (e.g., font size, page margins, Grants.gov instructions, etc.) and resources for obtaining assistance.

- **Application for Federal Assistance (SF-424):** This form **must** be completed by applicants for all SAMHSA grants. In addition, all applicants **must** provide a Dun and Bradstreet (DUNS) number and register in the System for Award Management (SAM). See Appendix A for information on how to obtain a DUNS number and register in SAM.

  NOTE: If an applicant's SAM account expires, the renewal process requires the same validation with IRS and DoD (Cage Code) as a new account requires. This can take up to one month. It is highly recommended that applicants renew their accounts prior to the expiration date. The account update process takes only 24-48 hours.

- **Budget Information Form: Use SF-424A.** Fill out Sections B, C, and E of the SF- 424A. A sample budget and justification is included in Appendix F of this document. Your completed SF-424A should reflect the final numbers as they appear in your Budget Narrative.

- **Table of Contents: The bottom right corner of every page in the application must be numbered,** including the Attachments, beginning with the Table of Contents as page one. In the Table of Contents, include the page numbers for each of the major sections of the application and each attachment. Hand numbering of pages is allowable.

- **Community Overview:** The Community Overview describes the key features of the community. It should be no longer than 1 page in length.

- **Project Narrative:** The Project Narrative (Section V-5.3 of this FOA) describes the efforts the coalition will undertake to address youth substance use. It consists of five questions, and **must** be **at a minimum 10 pages and no longer than 15 pages.**

- **Budget Narrative:** The Budget Narrative (Appendix F) provides an itemized line item breakdown and narrative detail about both the federal request and the non-federal match.

- **Attachments 1 through 11:** Please clearly label each attachment provided. Applications with additional attachments **will not** receive a higher score. All attachments **must** be labeled and identified with a page number.

- **Assurances:** Non-Construction Programs. Applicants must read the list of assurances provided on the SAMHSA website at http://www.samhsa.gov/grants/applying/forms- resources and check the box marked 'I Agree' before signing the face page (SF-424) of the application. **Do not include the list of assurances with your application.**

- **Certifications:** Applicants must read the list of certifications provided on the SAMHSA website and check the box marked 'I Agree' before signing the face page (SF-424) of the application. Do not include the list of certifications with your application.

- **Project Performance Site Location(s) Form:** The purpose of this form is to collect location information on the site(s) where work funded under this grant announcement will be performed. This form is included with the application package found on the Grants.gov website.

- **Disclosure of Lobbying Activities:** Federal law prohibits the use of appropriated funds for publicity or propaganda purposes or for the preparation, distribution, or use of the information designed to support or defeat legislation pending before the Congress or state legislatures. This includes "grassroots" 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 referendums/initiatives to urge those representatives to vote in a particular

way. This form is included in the application package and **must** be submitted by all applicants applying for a DFC grant. If not applicable please indicate on form.

- **Checklist:** The Checklist ensures that you have obtained the proper signatures, assurances, and certifications. **You must complete the entire form** including the top portion "Type of Application," indicating this DFC application is a New (Year 1 or Year 6), and not a Non-Competing Continuation, Competing Continuation or Supplemental application, as well as Parts A through D. This checklist is included in the Grants.gov application packet.

- **Documentation of non-profit status** as required in the Checklist.

- **Pre-Submission Verification Checklist:** Use the checklist found in Appendix Q. This verification ensures that you have accurately documented the eligibility requirements and included all major components of the application. Not required to be submitted with the application.

2. APPLICATION SUBMISSION REQUIREMENTS

Applications are due by **11:59 PM** (Eastern Time) on **March 29, 2018**.

IMPORTANT APPLICATION INFORMATION: SAMHSA's application procedures have changed. **All applicants must register with NIH's eRA Commons in order to submit an application. This process takes up to six weeks. If you believe you are interested in applying for this opportunity, you MUST start the registration process immediately. Do not wait to start this process. If your organization is not registered and you do not have an active eRA Commons Program Director/Principal Investigator (PD/PI) account by the deadline, the application will not be accepted. No exceptions will be made.**

Applicants also must register with the System for Award Management (SAM) and Grants.gov (see Appendix A for all registration requirements).

3. FUNDING LIMITATIONS/RESTRICTIONS

Applicants responding to this announcement may request funding for a project period of up to 5 years, at no more than $125,000 per year. Awards to support projects beyond the first budget year will be contingent upon Congressional appropriation, satisfactory progress in meeting the project's objectives, and a determination that continued funding would be in the best interest of the Federal Government.

The funding restrictions for this project are as follows:

- Food is **generally unallowable.** Exceptions within the DFC Support Program may include food used as a small incentive (not to exceed $3.00 per person) to encourage participation in a

community-wide event. Food costs are not allowable for general coalition or subcommittee meetings.

- No more than **10 percent** of the total federal grant award may be used for **data collection and evaluation** purposes unless approved by a SAMHSA Government Project Officer and Grants Management Specialist.
- DFC grant funds **may not** be passed through by contract or any other method to another entity to conduct the programmatic work on the DFC Program. The funded grant recipient and coalition are expected to perform the substantive role and manage the efforts carried out by this grant.
- The Authorized Representative or Business Official charged with financial oversight responsibilities for the DFC grant award **must** be an employee of the recipient organization and identified in the 'Personnel' budget category. **NOTE:** The Program Director/Principal Investigator (PD/PI) and Business Official **cannot** be the same individual.
- The Program Director/Principal Investigator (PD/PI) **must** be an employee of the recipient organization, overseeing the day to day operations of the grant, and **must** be identified in the 'Personnel' budget category as either Federal or Non-Federal.
- DFC grant funds **may not** be used to provide funding to community organizations through mini-grants, including one coalition funding another coalition.
- DFC grant funds **may not** be utilized for the following: law enforcement equipment, drug search detection canines or related training, drug courts, lighting, or community gardening efforts.
- DFC grant funds **may not** be used for stipends, as defined in the HHS Grants Policy Statement (GPS).
- Cost of Promotional items are **generally unallowable**. However, the exception would be for program outreach, and other specific purposes necessary to meet the requirements, goals, and objectives of the Federal grant award.

SAMHSA recipients must also comply with SAMHSA's standard funding restrictions, which are included in Appendix D **Standard Funding Restrictions.**

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

All SAMHSA grant programs are covered under Executive Order (EO) 12372, as implemented through Department of Health and Human Services (HHS) regulation at 45 CFR Part 100. Under this Order, states may design their own processes for reviewing and commenting on proposed federal assistance under covered programs. See Appendix N for additional information on these requirements as well as requirements for the Public Health System Impact Statement.

V. APPLICATION REVIEW INFORMATION

1. EVALUATION CRITERIA

For FY 2018, there are five questions in the Project Narrative (Section A) and only these questions may be used when applying for FY 2018 DFC funding.

Failure to use the correct FOA will result in an application being screened out and not proceeding to peer review.

The DFC Support Program's peer review process utilizes current or former DFC grant award recipients and experienced substance abuse prevention specialists to serve as peer reviewers. Each application is assigned to a panel of three peer reviewers for scoring, and the composite of the three scores becomes the application's final score. Upon full completion of the statutory eligibility review process and review of final scores, ONDCP begins funding with the highest scoring grant until all funds are exhausted. DFC grants **are not** awarded based on how many DFC-funded coalitions are within a geographic boundary (e.g., state, county, or city).

NOTE: The DFC Act **requires that all** applications be considered and reviewed equally. A Year Six applicant's past DFC funding is **not** a factor in funding decisions.

2. APPLICATION SCORING INSTRUCTIONS

Peer reviewers will score the five questions that comprise the Project Narrative by totaling the points for each question to create a cumulative score (scores will range from 0 to 100 points). The scoring criteria can be found in Appendix R of this application.

3. PROJECT NARRATIVE SCORING

Applications that meet all of the DFC statutory eligibility requirements will go to peer review to be scored on a 100-point scale. The primary funding decision criterion is the application's final peer review score. All final grant award decisions will be made by ONDCP's DFC Administrator, consistent with the DFC Act of 1997. ONDCP may also take into consideration factors relating to rural, American Indian/Alaska Native, and economically disadvantaged communities.

4. REVIEW AND SELECTION PROCESS

Applications will be screened jointly by ONDCP and SAMHSA to determine whether applicants meet all Statutory Eligibility Requirements as outlined in Table 1. Applications submitted by coalitions that meet all Statutory Eligibility Requirements will then be scored by a peer review panel.

5. RESPONDING TO THE FOA

5.1 Community Overview (Not Scored)

The Community Overview should be placed after the Table of Contents. Type the heading **Community Overview**, then describe the community the applicant coalition intends to serve. This is the applicant's opportunity to educate the peer reviewers about the community, enabling them to understand the context in which the coalition will operate. The Community Overview is **not** scored, does **not** count toward the **15 page limit**, can be **no more than** one page in length, and should include the following information:

- Describe the community, including demographics and aspects of diversity such as age, race, ethnicity, gender, socioeconomic status, culture, religion, sexual orientation, and gender identity.
- Provide a historical perspective focusing on shifts or events that have had an impact on youth substance use.

5.2 SECTION A: PROJECT NARRATIVE (SCORED: MAXIMUM OF 100 POINTS)

In writing the Project Narrative use the instructions below that have been tailored to the DFC Support Program.

- The Project Narrative **must** be **at a minimum 10 pages and no longer than 15 pages**. Applications with a Project Narrative that exceeds the **15 page limit** will be deemed ineligible and **will not** go to peer review.
- Restrictions related to font size and page margins found in Appendix B **must** be followed or the application will be deemed ineligible and **will not** proceed to peer review.
- Respond to each question individually, building upon previous responses so all answers together tell a cohesive story of the community, the coalition, and their efforts to prevent and reduce youth substance use.
- Write all responses and required information under the correct question. Answer each question completely. In the event an applicant cannot respond to a specific element, the applicant **must** explain why they are unable to respond and offer a possible solution. The Project Narrative will be scored by how well each of the elements is answered.
- **Do not** direct peer reviewers to a previous answer in response to another question.
- **Do not** direct peer reviewers to documents in the Attachments.

5.3 Section A: Project Narrative Questions

The following **five questions** enable applicants to tell the story of their current and planned efforts to prevent youth substance use in their community. Bolded questions are followed by lettered items outlining the **required** components of each response. Applicants are required to type the question number followed by the **bolded** question. Applicants are **required to retype the letter** and not the entire bullet. Responses **must** follow each question and address all letters.

COALITION HISTORY AND COALITION SECTOR MEMBER INVOLVEMENT

1. **What is the history of the coalition and how does it currently operate to prevent youth substance use in the community? (10 points)**

   A. Describe the history of the coalition to include information on what events led to the formation of the coalition, the challenges it has experienced in becoming a viable coalition, and the impact it has had on addressing youth substance use in the community.

B. Provide your coalition's mission statement. Describe how the coalition's mission statement is reflective of the work the coalition intends to accomplish in the community.
C. Describe the organizational structure and operations of the coalition to include information on the leadership of the coalition, decision-making processes, by-laws, workgroups, and financial management.
D. Describe the qualifications of each of the 12 sector representatives and their role in the coalition to prevent and reduce youth substance use.

STATEMENT OF THE PROBLEM

2. What are the current youth substance use problems in your community and the methods of assessment and data collection? (25 points)

A. Describe the youth substance use problems in your community.
B. Describe the unique local conditions that contribute to problems, such as environmental conditions and/or policies and practices, community norms, geographic variables or economic conditions.
C. Describe your coalition's community assessment efforts. Information should include data used to identify substance use problems in your area as well as specific issues that contribute to youth substance use.
D. Provide current data and discuss how youth substance use has contributed to problems among youth in the community, such as school dropout rates, school suspensions, juvenile court data, Emergency Room admissions, or treatment admission data.
E. Using needs assessment data, provide current quantitative (statistical survey data) and qualitative data (focus groups, town hall meetings, informal surveys) on youth substance use for alcohol, tobacco, marijuana, and prescription drugs for the following four measures: past 30-day use, perception of risk/harm of use, perception of parental disapproval of use, and perception of peer disapproval of use.
F. Based on the above, describe the nature and extent of the youth substance use problems that your coalition intends to address. In your response, be as specific as possible about the two substances on which your coalition plans to focus and the demographics of the youth who are using these substances.

12 – MONTH COALITION ACTION PLAN

3. What is the coalition's 12-Month Action Plan for addressing youth substance use in the community? (30 points)

This question is answered by developing a detailed 12-Month Action Plan using **Table 3**. The Action Plan should foster community level change by including a combination of goals, strategies, and activities. Applicants must use an appropriate prevention planning framework for ensuring a comprehensive 12-Month Action Plan (i.e., SPF, Seven Strategies for Community

Level Change, etc.). Refer to sections 2.1 and 2.3 for more information on prevention planning frameworks.

Under **DFC Goal One**, include measurable objectives, strategies, and activities to ensure collaboration, coordination, and community-based networking to prevent youth substance abuse.

Under **DFC Goal Two,** include measurable objectives, strategies, and activities to prevent and reduce youth substance abuse.

If additional goals are included in the 12-Month Action Plan, they **must** also include measureable objectives, strategies, and activities.

- Applicants **must** use the Action Plan template provided in Table 3.
- The 12-Month Action Plan **must** fall within the text of the Project Narrative and will count towards the 15 page limit.
- The 12-Month Action Plan **must** be in Times New Roman, 12-point font, and adhere to all instructions provided in Appendix B, Overview of Application and Submission Requirements.
- The 12-Month Action Plan **must** cover the period of September 30, 2018 to September 29, 2019.
- The 12-Month Action Plan **must** include at least the two DFC goals provided in Table 3.
- The 12-Month Action Plan **must** include an appropriate prevention planning framework for ensuring a comprehensive 12-Month Action Plan (i.e., SPF, Seven Strategies for Community Level Change, etc.).
- The 12-Month Action Plan **must** address at least two named substances. The strategies and activities **must** be specific to the substances that your coalition will be addressing.
- Each substance the coalition is addressing **must** have a separate objective.
- The objectives must be measurable and include the following (Appendix C):
    - Objectives **must** indicate type of change
    - Objectives **must** indicate how much change will occur including the specific amount of increase or decrease
    - Objectives **must** include the specific population to be addressed. If the population is youth, then ages of youth or grade level must be identified
    - Objectives **must** include a specific date (Month/Year) by when change will be accomplished
    - Objectives **must** indicate how change will be measured

Table 3: 12 – Month Action Plan

DFC Goal One: Increase community collaboration
Objective 1: Provide measurable objective(s)
Strategy 1: Provide specific strategy

Activity	Who is responsible?	By when?

Strategy 2: Provide specific strategy

Activity	Who is responsible?	By when?

DFC Goal Two: Reduce youth substance abuse
Objective 1: Provide measurable objective
Strategy 1: Provide specific strategy

Activity	Who is responsible?	By when?

Strategy 2: Provide specific strategy

Activity	Who is responsible?	By when?

EVALUATING THE EFFECTIVENESS OF THE 12 – MONTH ACTION PLAN

4. **How will the coalition monitor and evaluate the effectiveness of the 12 – Month Action Plan? (20 points)**

   A. Describe the processes that will be implemented to collect the data needed to measure the effectiveness of the 12-Month Action Plan.
   B. Describe how the data will be analyzed and monitored to include the role of key staff and sector members in these processes.
   C. Describe how the coalition will make a determination that modifications need to be made to the 12-Month Action Plan to more effectively achieve the goals and objectives in the 12-Month Action Plan.
   D. Describe how the coalition plans to disseminate the data outcomes to the community and how it will ensure that all segments of the community receive the information.

YOUTH ENGAGEMENT IN THE DFC GRANT

5. **How will the coalition engage youth in its efforts to prevent youth substance use? (15 points)**

A. Describe how the coalition recruits and retains youth members and ensures youth membership is representative of the community it serves.
B. Describe the coalition's current efforts to engage youth in the development and implementation of substance use prevention strategies and activities.
C. Describe the coalition's efforts to train youth about substance use prevention.
D. Describe how the coalition will evaluate the effectiveness of youth enagement.
E. Describe how youth will be engaged in communicating the coalition's efforts to the community.

****From this point forward, the information submitted does not count against your 10 - 15 page limit.****

5.4 SECTION B: BUDGET NARRATIVE (NOT SCORED)

In this section, applicants **must** provide a 12-month Budget Narrative to include budget details and justification for expenditures. The Budget Narrative **must** include a description of matching resources and other support that the coalition will receive. **No more than 10 percent of the total grant award may be used for data collection and evaluation purposes.** Applicants **must** use the template provided in Appendix F, including providing a narrative description for each budget category for both federal requests and non-federal match. **There is no page limit for the Budget Narrative.** When submitting your application through Grants.gov, the Budget Narrative **must** be submitted as file Budget Narrative File (BNF). See Appendix A, within the Required and Standard Application Components Table.

5.5 SECTION C: REQUIRED ATTACHMENTS (NOT SCORED)

Attachment 1 - Coalition Involvement Agreements: Applicants **must** include one Coalition Involvement Agreement (CIA) for each of the 12 sectors. Two separate signatures **are required** on each CIA. One signature **must** be that of the individual listed as the coalition sector representative, and the other **must** be the signature from a coalition chair, paid staff, or any other individual who officially represents the coalition. Neither paid staff (current or proposed), such as the Program Director/Principal Investigator (PD/PI) and Project Coordinator, nor the person signing the CIA on behalf of the coalition (chairperson or any other individual who officially represents the coalition) may serve as one of the 12 sector representatives.

All signatures must be hand-written and hand-dated. **Electronic signatures will not be accepted.** CIAs **cannot** be more than 12 months old at the time of application submission. See Appendix G.

Attachment 2 - One Set of Coalition Meeting Minutes: Applicants **must** include coalition minutes from one meeting that took place between March 2017 and the deadline for submission of this application. Meeting minutes **must** include month, date, and year; demonstrate coalition membership involvement; and include attendees, noting the sector that each attendee represents. All 12 sectors are not expected to be listed in the meeting minutes provided.

Attachment 3 - Assurance of Legal Eligibility or Memorandum of Understanding between Legal Applicant (Grant Award Recipient) and Coalition: An applicant coalition that is eligible to receive federal grant funds and is applying for this grant on its own **must** complete Appendix H. If a coalition is not eligible to receive federal grant funds on its own, the coalition **must** make arrangements with an entity eligible to apply for the grant on behalf of the coalition. If applicable applicants **must** submit a Memorandum of Understanding (MOU) between the two parties, i.e., the coalition and the legal applicant. The MOU must not be more than 12 months old at the time of application. Refer to Appendix I. **NOTE**: One individual cannot sign as both the legal applicant and as the coalition representative. The MOU **must** be hand-signed and hand-dated by the authorized coalition official and the business official for the fiscal agent.

Attachment 4 - Letter of Mutual Cooperation: Each applicant that proposes to serve a community that overlaps an existing DFC coalition's zip code area **must** provide a Letter of Mutual Cooperation between the coalitions outlining their efforts to collaborate. If there are no zip code overlaps identified, simply state this and include it as Attachment 4.

Attachment 5 - Assurance of One DFC Grant at a Time: Applicants **must** sign and submit the Assurance of One DFC Grant at a Time document found in Appendix J.

Attachment 6 - Assurance of DFC 10-Year Funding Limit: Applicants **must** sign and submit the Assurance of DFC 10-Year Funding Limit document found in Appendix K.

Attachment 7 – Key Personnel, Resumes, CV's and Position Descriptions: Applicants **must** include a resume (no longer than two pages) and a position description (no longer than one page) for the Program Director/Principal Investigator (PD/PI) and Project Coordinator, and each additional key paid or in-kind position. Information on what should be included in resumes and position descriptions can be found in Appendix L.

Attachment 8 - General Applicant Information: Applicants **must** complete each item (numbers 1-30) in the table provided in Appendix M.

Attachment 9 - Intergovernmental Review (E.O. 12372) Requirements: If applicable, include a copy of the letter to the Single State Agency (SSA) showing that the applicant has informed the SSA contact person that an application has been submitted for a DFC grant. Information related to this attachment is found in Appendix N. If not applicable, applicants should provide a statement to that effect and include it as Attachment 9.

Attachment 10 - Disclosure of All Prior DFC Funding: Applicants **must** complete the information requested in Appendix O related to prior DFC funding for the legal applicant/grant award recipient and applicant coalition for this FOA. Applicants **must** also indicate the year of funding for which they are applying.

Attachment 11 - **Congressional Notification:** All applicants **must** include a Congressional Notification. This information will be utilized to provide 48-hours' notice to your Congressional Members should you receive DFC funding. Using the template provided in Appendix P, complete all the information exactly as provided in the template.

Forms and Assurances - HHS 690 form: Applicants **must** complete and submit the HHS 690 form to the Office of Civil Rights. Reference detailed address on the form. Every grant applicant must have a completed HHS 690 form (PDF | 291 KB) on file with the Department of Health and Human Services. Your signature acknowledges that you agree to comply with Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, Title IX of the Education Amendments of 1972, and the Age Discrimination Act of 1975. This form is available on the SAMHSA website via: http://www.samhsa.gov/grants/applying/forms-resources.

Charitable Choice Form - SMA-170 – Applicants **must** submit an Assurance of Compliance with SAMHSA Charitable Choice Statutes and Regulations form SMA 170. **This form is available on the SAMHSA website via:** http://www.samhsa.gov/grants/applying/forms- resources.

VI. FEDERAL AWARD ADMINISTRATION INFORMATION

1. REPORTING REQUIREMENTS

Program Specific:

Recipients **must** comply with the data reporting requirements listed in Section I-2.4 Data Collection:

- Each year, DFC grant award recipients are required to submit two DFC Program progress reports, submitted in February and August, an annual Coalition Classification Tool (CCT) survey submitted in August. Full details regarding specific due dates will be provided in the Terms and Conditions of the DFC grants award.

Grants Management:

Successful applicants must also comply with the following standard grants management reporting and schedules at https://www.samhsa.gov/grants/grants-management/reporting-requirements, unless otherwise noted in the FOA or Notice of Award.

2. FEDERAL AWARD NOTICES

Prior to the end of **September 2018**, the list of awardees will be posted on the DFC website at https://www.whitehouse.gov/ondcp/grants-programs. For all awardees, a Notice of Award (NoA) will then be sent electronically to the individual listed as the Business Official on the Application for Federal Assistance. The NoA is the sole obligating document that allows the grant recipient to receive federal funding for work on the grant project.

If you are approved for funding, a Notice of Award (NoA) will be emailed to the Business Official's (BO) and Project Director/Principal Investigator's (PD/PI) email address identified on the HHS Checklist form submitted with the application. Hard copies of the NoA will no longer be mailed via postal service. Information about what is included in the NoA can be found at: https://www.samhsa.gov/grants/grants-management/notice-award-noa.

If you are not funded, you will receive a notification from SAMHSA, via NIH's eRA Commons, that will describe the process for how you can view the general results of the review of your application, including the peer reviewers comments and the score that your application received.

VII. AGENCY CONTACTS

For questions about program issues contact:
DFC FOA Helpline Team
Division of Community Programs
(240) 276-1270
dfcnew@samhsa.hhs.gov

For questions on grants management and budget issues contact:
Odessa Crocker
Office of Financial Resources
Division of Grants Management
Substance Abuse and Mental Health Services Administration
5600 Fishers Lane
Rockville, Maryland 20857
(240) 276-1400
DGMSAMHSA@samhsa.hhs.gov

Appendix A – Application and Submission Requirements

IMPORTANT APPLICATION INFORMATION: SAMHSA's application procedures have changed. **All applicants must register with NIH's eRA Commons in order to submit an application. This process takes up to six weeks. If you believe you are interested in applying for this opportunity, you MUST start the registration process immediately. Do not wait to start this process. <u>If your organization is not registered and you do not have an active eRA Commons PI account by the deadline, the application will not be accepted.</u> No exceptions will be made.**

Applicants also must register with the System for Award Management (SAM) and Grants.gov (see below for all registration requirements).

1. GET REGISTERED

You are required to complete **four registration processes:**

1. Dun & Bradstreet Data Universal Numbering System (to obtain a DUNS number);
2. System for Award Management (SAM);
3. Grants.gov; and
4. eRA Commons.

If this is your first time submitting an application, you must complete all four registration processes. If you have already completed registrations for DUNS, SAM, and Grants.gov, you need to ensure that your accounts are still active, and then register in **eRA Commons**. If you have not registered in Grants.gov, the registration for Grants.gov and eRA Commons can be done concurrently. You must register in eRA Commons and receive a Commons Username in order to have access to electronic submission, receive notifications on the status of your application, and retrieve grant information. **If your organization is not registered and does not have an active eRA Commons PI account by the deadline, the application will not be accepted.**

The organization must maintain an active and up-to-date SAM and DUNS registrations in order for SAMHSA to make an award. If your organization is not compliant when SAMHSA is ready to make an award, SAMHSA may determine that your organization is not qualified to receive an award and use that determination as the basis for making an award to another applicant.

1.1 Dun & Bradstreet Data Universal Numbering System (DUNS) Registration

SAMHSA applicants are required to obtain a valid DUNS Number, also known as the Unique Entity Identifier, and provide that number in the application. Obtaining a DUNS number is easy and there is no charge.

To obtain a DUNS number, access the Dun and Bradstreet website at: http://www.dnb.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. **The DUNS number you use on your application must be registered and active in the System for Award Management (SAM).**

1.2 System for Award Management (SAM) Registration

You must also register with the System for Award Management (SAM) and continue to maintain active SAM registration with current information during the period of time your organization has an active federal award or an application under consideration by an agency (unless you are an individual or federal agency that is exempted from those requirements under 2 CFR § 25.110(b) or (c), has an exception approved by the agency under 2 CFR § 25.110(d)). To create a SAM user account, Register/Update your account, and/or Search Records, go to https://www.sam.gov.

It is also highly recommended that you renew your account prior to the expiration date. **SAM information must be active and up-to-date, and should be updated at least every 12 months to remain active (for both recipients and sub-recipients).** Once you update your record in SAM, it will take 48 to 72 hours to complete the validation processes. Grants.gov rejects electronic submissions from applicants with expired registrations.

If your SAM account expires, the renewal process requires the same validation with IRS and DoD (Cage Code) as a new account requires. The renewal process can take up to one month.

1.3 Grants.gov Registration

Grants.gov is an online portal for submitting federal grant applications. It requires a one-time registration in order to submit applications. While Grants.gov registration is a one-time only registration process, it consists of multiple sub-registration processes (i.e., DUNS number and SAM registrations) before you can submit your application. [Note: eRA Commons registration is separate].

You can register to obtain a Grants.gov username and password at http://www.grants.gov/web/grants/register.html.

If you have already completed Grants.gov registration and ensured your **Grants.gov and SAM accounts are up-to-date and/or renewed**, please skip this section and focus on the eRA Commons registration steps noted below. If this is your first time submitting an application through Grants.gov, registration information can be found at the Grants.gov "Applicants" tab.

The person submitting your application must be properly registered with Grants.gov as the Authorized Organization Representative (AOR) for the specific DUNS number cited on the SF-424 (first page). See the Organization Registration User Guide for details at the following Grants.gov link: http://www.grants.gov/web/grants/applicants/organization-registration.html.

1.4 eRA Commons Registration

eRA Commons is an online interface managed by NIH that allows applicants, recipients, and federal staff to securely share, manage, and process grant-related information. Organizations applying for SAMHSA funding must register in eRA Commons. This is a one-time registration, separate from Grants.gov registration. In addition to the organization registration, Business Officials and Program

Director/Principal Investigator (PD/PI) listed as key personnel on SAMHSA applications must also register in eRA Commons and receive a Commons ID in order to have access to electronic submission and retrieval of application/grant information. It is strongly recommended that you start the eRA Commons registration process **at least six (6) weeks** prior to the application due date. **If your organization is not registered and does not have an active eRA Commons PI account by the deadline, the application will not be accepted.**

For organizations registering with eRA Commons for the first time, either the Authorized Organization Representative (AOR) from the SF-424 or the Business Official (BO) from the HHS Checklist must complete the online Institution Registration Form. Instructions on how to complete the online Institution Registration Form is provided on the eRA Commons Online Registration Page.

[Note: You must have a valid and verifiable DUNS number to complete the eRA Commons registration.]

After the organization's representative (AOR or BO) completes the online Institution Registration Form and clicks Submit, the eRA Commons will send an e-mail notification from era-notify@mail.nih.gov with the link to confirm the email address. Once the e-mail address is verified, the registration request will be reviewed and confirmed via email. If your request is denied, the representative will receive an email detailing the reason for the denial. If the request is approved, the representative will receive an email with a Commons User ID (with the Signing Official 'SO' role) and temporary password. The representative will need to log into Commons with the temporary password, at which time the system will provide prompts to change the temporary password to one of their choosing. Once the designated contact Signing Official (SO) signs the registration request, the organization will be active in Commons and any user with the SO role will be able to create and maintain additional accounts for the organization's staff, including accounts for those designated as Program Director/Principal Investigator (PD/PI).

Important: The eRA Commons requires organizations to identify at least one SO, who can be either the AOR from the SF-424 or the BO from the HHS Checklist, and at least one Program Director/Principal Investigator (PD/PI) account in order to submit an application. The primary SO must create the account for the PD/PI listed as the PD/PI role on the HHS Checklist assigning that person the 'PI' role in Commons. Note that you must enter the PD/PI's Commons Username into the 'Applicant Identifier' field of the SF-424 document.

You can find additional information about the eRA Commons registration process at https://era.nih.gov/reg_accounts/register_commons.cfm.

2. APPLICATION COMPONENTS

You must complete your application using eRA ASSIST, Grants.gov Workspace or another system to system provider. You will also need to go to the SAMHSA website to download the required documents you will need to apply for a SAMHSA grant or cooperative agreement. (**PDF application packages used in previous years will not be supported by Grants.gov after December 31, 2017.)**

2.1 How to Download the Application Package (Grants.gov)

On the Grants.gov site (http://www.Grants.gov), select the 'Apply for Grants' option from the 'Applicants' Tab at the top of the screen. You will be directed to the 'Apply for Grants' page. Click on the 'Get Application Package' tab located on the right of the Grants.gov 'Apply for Grants' page. You will be directed to the 'Get Application Package' page where you will search for the appropriate funding announcement number (called the funding opportunity number) or the Catalogue of Federal Domestic Assistance (CFDA) number. You can find the funding announcement number and CFDA number on the cover page of the FOA.

For more information on the application download process, go to the Grants.gov 'Apply for Grants' page. Download both the Application Instruction and Application Package on the 'Apply for Grants' page. You can view, print, or save all the forms in the Application Package and then complete them for electronic submission to Grants.gov. Completed forms can also be saved and printed for your records.

2.2 Additional Documents for Submission (SAMHSA Website)

You will find additional materials you will need to complete your application on the SAMHSA website at http://www.samhsa.gov/grants/applying/forms-resources.

For a **full list of required application components**, refer to Section II-3.1, Required Application Components.

3. WRITE AND COMPLETE APPLICATION

After downloading and retrieving the required application components and completing the registration processes, it is time to write and complete your application. With SAMHSA's transition to NIH's eRA grants system, there are **new application formatting requirements and validations.** All files uploaded with the Grants.gov application **MUST** be in **Adobe PDF** file format. Directions for creating PDF files can be found on the Grants.gov website. Please see **Appendix B for all** application formatting and validation requirements**. Applications that do not comply with these requirements will be screened out and will not be reviewed.**

SAMHSA strongly encourages you to sign up for Grants.gov email notifications regarding this FOA. If the FOA is cancelled or modified, individuals who sign up with Grants.gov for updates will be automatically notified.

3.1 Required Application Components

Standard Application Components

Applications must include the following required application components listed in the table below. This table consists of a full list of standard application components, a description of each required component, and its source for application submission.

#	Standard Application Components	Description	Source
1	SF-424 (Application for Federal Assistance) Form	This form must be completed by applicants for all SAMHSA grants and cooperative agreements.	Grants.gov
2	SF-424 A (Budget Information – Non-Construction Programs) Form	Use SF-424A. Fill out Sections A, B, D and E of the SF-424A. Section C should only be completed if applicable. **It is highly recommended that you use the sample budget format in the FOA.**	Grants.gov
3	HHS Checklist Form	The HHS Checklist ensures that you have obtained the proper signatures, assurances, and certifications**.** You are not required to complete the entire form, but please include the top portion of the form ("**Type of Application**") indicating if this is a new, noncompeting continuation, competing continuation, or supplemental application; the Business Official and Program Director/Project Coordinator/Principal Investigator contact information (**Part C**); and your organization's nonprofit status (**Part D, if applicable**). All SAMHSA Notices of Award (NoAs) will be emailed by SAMHSA via NIH's eRA Commons to the Project Director/Principal Investigator (PD/PI), and Signing Official/Business Official (SO/BO).	Grants.gov
4	Project/Performance Site Location(s) Form	The purpose of this form is to collect location information on the site(s) where work funded under this grant announcement will be performed.	Grants.gov
5	Project Abstract Summary	Your total abstract must not be longer than 35 lines. It should include the project name, population(s) to be served (demographics and clinical characteristics), strategies/interventions, project goals and measurable objectives, including the number of people to be served annually and	Grants.gov

#	Standard Application Components	Description	Source
		throughout the lifetime of the project, etc. 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, reports to Congress, or press releases.	
6	Project Narrative Attachment	The Project Narrative describes your project. The application must address how your organization will implement and meet the goals and objectives of the program. You must attach the Project Narrative file (**Adobe PDF format only**) inside the Project Narrative Attachment Form.	Grants.gov
7	Budget Justification and Narrative Attachment	You must include a detailed Budget Narrative in addition to the Budget Form SF-424A. In preparing the budget, adhere to any existing federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. The budget justification and narrative must be submitted as file **BNF** when you submit your application into Grants.gov	Grants.gov
8	SF-424 B (Assurances for Non-Construction) Form	You must read the list of assurances provided on the SAMHSA website and check the box marked 'I Agree' before signing the first page (SF-424) of the application.	SAMHSA Website
9	Disclosure of Lobbying Activities (SF-LLL) Form	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 Congress or state legislatures. You must sign and submit this form, if applicable.	Grants.gov
10	Other Attachments Form	Refer to the Supporting Documents below. Use the Other Attachments Form to attach all required additional/supporting documents listed in the table below.	Grants.gov

Supporting Documents

In addition to the Standard Application Components listed above, the following supporting documents are necessary for the review of your application. Supporting documents must be attached to your application. **For each of the following application components, attach each document (Adobe PDF format only) using the Other Attachments Form from the Grants.gov application package.**

#	Supporting Documents	Description	Source
1	HHS 690 Form	Every grant applicant must have a completed HHS 690 form (PDF | 291 KB) on file with the Department of Health and Human Services.	SAMHSA Website
2	Charitable Choice Form SMA 170	See Section IV-1 of the FOA to determine if you are required to submit Charitable Choice Form SMA 170. If you are, you can upload this form to Grants.gov when you submit your application.	SAMHSA Website
3	Key Personnel Resumes, CV's, and Position Descriptions	See Appendix L of this document for additional instructions for completing these sections.	Appendix L of this document.
4.	Additional Documents in the FOA	The FOA will indicate the attachments you need to include in your application.	V-5.5 Section C.

4. SUBMIT APPLICATION

4.1 Electronic Submission (Grants.gov, ASSIST)

After completing all required registration and application requirements, SAMHSA requires applicants to **electronically submit** using eRA ASSIST, Grants.gov Downloadable Forms, Grants.gov Workspace or another system to system provider. Information on each of these options is below:

1) **ASSIST** – The Application Submission System and Interface for Submission Tracking (ASSIST) is an NIH sponsored online interface used to prepare applications using the SF424 form set, submit electronically through Grants.gov to SAMHSA and other participating agencies, and track grant applications. [Note: ASSIST requires an eRA Commons ID to access the system]

2) **Grants.gov Downloadable Forms** – You can download an application package from Grants.gov, complete the forms offline, submit the completed forms to Grants.gov, and track your application in eRA Commons.

3) **Grants.gov Workspace –** You can use the shared, online environment of the Grants.gov Workspace to collaboratively work on different forms within the application package.

The specific actions you need to take to submit your application will vary by submission method as listed above. The steps to submit your application are as follows:

To submit to Grants.gov using ASSIST: eRA Modules, User Guides, and Documentation | Electronic Research Administration (eRA)

To submit to Grants.gov using downloadable forms are available at: STEP 3: Submit an Application Package | GRANTS.GOV

To submit to Grants.gov using the Grants.gov Workspace:

http://www.grants.gov/web/grants/applicants/workspace-overview.html

Regardless of the option you use, your application will be subject to the same registration requirements, completed with the same data items, routed through Grants.gov, validated against the same agency business rules, assembled in a consistent format for review consideration, and tracked in eRA Commons. All applications that are successfully submitted must be validated by Grants.gov before proceeding to the NIH eRA Commons system and validations.

On-time submission requires that electronic applications be error-free and made available to SAMHSA for processing from the NIH eRA system on or before the application due date and time. Applications must be submitted to and validated successfully by Grants.gov and eRA Commons no later than **11:59 PM** Eastern Time on the application due date.

You are strongly encouraged to allocate additional time prior to the submission deadline to submit your application and to correct errors identified in the validation process. You are also encouraged to check the status of your application submission to determine if the application is complete and error-free.

If you encounter problems when submitting their applications in Grants.gov, you must attempt to resolve them by contacting the Grants.gov Help Desk at:

- By e-mail: support@grants.gov
- By phone: (toll-free) 1-800-518-4726 (1-800-518-GRANTS). The Grants.gov Contact Center is available 24 hours a day, 7 days a week, excluding federal holidays.

Make sure you receive a case/ticket/reference number that documents the issues/problems with Grants.gov.

Additional support is also available from the NIH eRA Service desk at:

- By e-mail: http://grants.nih.gov/support/index.html
- By phone: 301-402-7469 or (toll-free) 1-866-504-9552. The NIH eRA Service desk is available Monday – Friday, 7 a.m. to 8 p.m. Eastern Time, excluding federal holidays.

If you experience problems accessing or using ASSIST (see below), you can:

- Access the ASSIST Online Help Site at: https://era.nih.gov/erahelp/assist/
- Or contact the eRA Help Desk

SAMHSA highly recommends that you submit your application 24-72 hours before the submission deadline. Many submission issues can be fixed within that time and you can attempt to re-submit.

4.2 Waiver of Electronic Submission

Some applicants living in remote and rural areas may be unable to submit electronically through the eRA Commons/Grants.gov portals because their physical location does not have adequate access to the Internet. Inadequate Internet access is defined as persistent and unavoidable access problems/issues that would make compliance with the electronic submission requirement a hardship.

In these cases, applicants may request a waiver of the electronic submission requirement. The process for applying for a waiver is described below.

All applicants must register in the eRA Commons system, System for Award Management (SAM) and Grants.gov, even those who intend to request a waiver. If you do not have an active SAM registration prior to submitting your application, it will be screened out and returned to you without review.

A written waiver request must be received by SAMHSA at least 30 days in advance of the application due date stated on the cover page of this FOA. The request must be either e-mailed to christopher.craft@samhsa.hhs.gov, or mailed to:

Christopher Craft, Director of Grant Review
Office of Financial Resources
Substance Abuse and Mental Health Services Administration
Room 17E06
5600 Fishers Lane
Rockville, MD 20857
Applicants are encouraged to request a waiver by e-mail, when possible. When requesting a waiver, the following information **must** be included:

- SAMHSA FOA title and announcement number;
- Name, address, and telephone number of the applicant organization as they will appear in the application;

- Applicant organization's DUNS number;
- Authorized Organization Representative (AOR) for the named applicant;
- Name, telephone number, and e-mail of the applicant organization's Contact Person for the waiver; and
- Details of why the organization is unable to submit electronically through the Grants.gov portal, explaining why their physical location does not have adequate access to the Internet.

The Office of Grant Review will either e-mail (if the waiver request was received by e-mail) or express mail/deliver (if the waiver request was received by mail) the waiver decision to the Contact Person no later than seven calendar days prior to the application due date. If the waiver is approved, a paper application must be submitted. SAMHSA **will not** accept any applications that are sent by e-mail or facsimile or hand carried. If the waiver is disapproved, the applicant organization must be prepared to submit through eRA Commons/Grants.gov or forfeit the opportunity to apply. The written approval **must** be included as the cover page of the paper application and the application must be received by the due date.

A paper application **will not** be accepted without the waiver approval and will be returned to the applicant if it is not included. Paper applications received after the due date will not be accepted.

Questions on applying for a waiver may be directed to SAMHSA's Division of Grant Review, 240-276-1199.

5. AFTER SUBMISSION

5.1 System Validations and Tracking

After you complete and comply with all registration and application requirements and submit your application, the application will be validated by Grants.gov. You will receive a notification that your application is being processed. You will receive two additional e-mails from Grants.gov within the next 24-48 hours (one notification email will confirm receipt of the application in Grants.gov, and the other notification email will indicate that the application was either successfully validated by the Grants.gov system or rejected due to errors). It is important that you retain this Grants.gov tracking number. **Receipt of the Grants.gov 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.

If Grants.gov identifies any errors and rejects your application with a "Rejected with Errors" status, you must address all errors and submit again. If no problem is found, Grants.gov will allow the eRA system to retrieve the application and check it against its own agency business rules (eRA Commons Validations).

After you successfully submit your application through Grants.gov, your application will go through eRA Commons validations. You must check your application status in eRA Commons. You must have

an eRA Commons ID in order to have access to electronic submission and retrieval of application/grant information.

If no errors are found, the application will be assembled in the eRA Commons. At this point, you can view your application in eRA commons. It will then be forwarded to SAMHSA as the receiving institution for further review. If errors are found, you will receive a System Error and/or Warning notification regarding the problems found in the application. You must take action to make the required corrections, and re-submit the application through Grants.gov before the application due date and time.

You are responsible for viewing and tracking your applications in the eRA Commons after submission through Grants.gov to ensure accurate and successful submission. Once you are able to access your application in the eRA Commons, be sure to review it carefully as this is what reviewers will see.

5.2 eRA Commons: Warning vs. Error Notifications

You may receive a System Warning and/or Error notification after submitting an application. Take note that there is a distinction between System Errors and System Warnings.

Warnings – If you receive a Warning notification after the application is submitted, you are not required to resubmit the application. The reason for the Warning will be identified in the notification. It is at your discretion to choose to resubmit, but if the application was successfully received, it does not require any additional action.

Errors – If you receive an Error notification after the applications is submitted, you must correct and resubmit the application. The word Error is used to characterize any condition which causes the application to be deemed unacceptable for further consideration.

5.3 System or Technical Issues

If you encounter a system error that prevents you from completing the application submission process on time, the BO from your organization will receive an email notification from eRA Commons. SAMHSA highly recommends contacting the eRA Help Desk and submitting a web ticket to document your good faith attempt to submit your application, and determining next steps. See 4.1 for more information on contacting the eRA Help Desk.

5.4 Resubmitting a Changed/Corrected Application

If SAMHSA does not receive your application by the application due date as a result of a failure in the SAM, Grants.gov, or NIH's eRA Commons systems, you must contact the Division of Grant Review within **one business day after the official due date at:** dgr.applications@samhsa.hhs.gov and provide the following:

- A case number or email from SAM, Grants.gov, and/or NIH's eRA system that allows SAMHSA to obtain documentation from the respective entity for the cause of the error.

SAMHSA will consider the documentation to determine **if** you followed Grants.gov and NIH's eRA requirements and instructions, met the deadlines for processing paperwork within the recommended time limits, met FOA requirements for submission of electronic applications, and made no errors that caused submission through Grants.gov or NIH's eRA to fail. No exceptions for submission are allowed when user error is involved. Please note that system errors are extremely rare.

[Note: When resubmitting an application, please ensure that the **Project Title is identical to the Project Title in the originally submitted application** (i.e., no extra spacing) as the Project Title is a free-text form field.]

Appendix B – Formatting Requirements and System Validation

1. SAMHSA FORMATTING REQUIREMENTS

SAMHSA's goal is to review all applications submitted for grant funding. However, this goal must be balanced against SAMHSA's obligation to ensure equitable treatment of applications. For this reason, SAMHSA has established certain formatting requirements for its applications. See below for a list of formatting requirements required by SAMHSA:

- Text must be legible. Pages must be typed in black, single-spaced, using a font of Times New Roman 12, with all margins (left, right, top, bottom) at least one inch each. You may use Times New Roman 10 only for charts or tables.

- You must submit your application and all attached documents in Adobe PDF format or your application will not be forwarded to eRA Commons and will not be reviewed.

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

- Black print should be used throughout your application, including charts and graphs (no color).

- The page limits for Attachments stated in the FOA: Section IV-1 should not be exceeded.

If you are submitting more than one application under the same announcement number, you must ensure that the Project Title in Field 15 of the SF-424 is unique for each submission.

2. GRANTS.GOV FORMATTING AND VALIDATION REQUIREMENTS

- Grants.gov allows the following list of UTF-8 characters when naming your attachments: A-Z, a-z, 0-9, underscore, hyphen, space, and period. Other UTF-8 characters should not be used as they will not be accepted by NIH's eRA Commons, as indicated in item #10 in the table below.

- Scanned images must be scanned at 150-200 dpi/ppi resolution and saved as a PDF file. Using a higher resolution setting or different file type will result in a larger file size, which could result in rejection of your application.

- Any files uploaded or attached to the Grants.gov application must be PDF file format and must contain a valid file format extension in the filename. In addition, the use of compressed file formats such as ZIP, RAR or Adobe Portfolio will not be accepted.

3. eRA COMMONS FORMATTING AND VALIDATION REQUIREMENTS

The following table is a list of formatting requirements and system validations required by eRA Commons and will result in errors if not met. The application must be 'error free' to be processed through the eRA Commons. There may be additional validations which will result in Warnings but these will not prevent the application from processing through the submission process.

If you do not adhere to these requirements, you will receive an email notification from era-notify@mail.nih.gov to take action and adhere to the requirements so that your application can be processed successfully. It is highly recommended that you submit your application 24-72 hours before the submission deadline to allow for sufficient time to correct errors and resubmit the application. If you experience any system validation or technical issues after hours on the application due date, contact the eRA Help Desk and submit a Web ticket to document your good-faith attempt to submit your application.

#	eRA Validations	Action if the Validation is not met
1	Applicant Identifier: The Commons Username provided in the PD/PI Credential field for the PD/PI must be valid and affiliated with the organization (matching on the Org Primary DUNS).	If the PD/PI Credentials are not provided, the applicant will receive the following error message from eRA Commons: "The Commons Username must be provided in the PD/PI Credential field for the PD/PI." If the Username provided is not a valid Commons account, the applicant will receive the following error message from eRA Commons: "The Commons Username provided in the PD/PI Credential field for is not a recognized Commons account." If the Username is not affiliated with the organization submitting the application and have the PI role, the applicant will receive the following error message from eRA Commons: "The Commons account provided in the Credential field for the PD/PI is either not affiliated with the applicant organization or does not hold the PI role. Check with your Commons Account Administrator to make sure your account affiliation and roles are set-up correctly."

#	eRA Validations	Action if the Validation is not met
2	DUNS numbers: The DUNS number provided on any forms must have valid characters (9 or 13 numbers with or without dashes).	If the DUNS number provided has invalid characters (other than 9 or 13 numbers) after stripping of dashes, the applicant will receive the following error message from eRA Commons: "The DUNs number for <insert form name > is not in the valid format of DUNS or DUNS+4 number (DUNS should be 9 or 13 digits; no letters or special characters)."
3	Submit required documentation for the FOA. [Note: We recommend you use the latest package from Grants.gov, which will have the latest forms and templates required.]	If you do not submit the documentation required for the FOA, the applicant will receive the following error message from eRA Commons: "The format of the application does not match the format of the FOA. Please contact the eRA Help Desk for assistance."
4	Check the "Changed/Corrected Application" box in the SF424 form after making changes/corrections to resubmit an application. Refer to Section II-5.4 for more information on resubmission criteria.	If you change/correct an error in your application, any subsequent submissions for the same FOA will result in an error, and the applicant will receive the following error message from eRA Commons: "This application has been identified as a duplicate of a previous submission. The 'Type of Submission' should be set to Changed/Corrected if you are addressing errors/warnings."
5	Applications cannot be larger than 1.2GB	If the application exceeds 1.2GB, the applicant will receive the following error message from eRA Commons: "The application did not follow the agency-specific size limit of 1.2 GB. Please resize the application to be no larger than 1.2GB before submitting."
6	The Funding Opportunity Announcement (FOA) number must exist.	If you enter an FOA number that does not exist, the applicant will receive the following error message from eRA Commons: "The Funding Opportunity Announcement number does not exist."

#	eRA Validations	Action if the Validation is not met
7	All documents and attachments must be in PDF format.	If you submit attachments which are not in PDF format, the applicant will receive the following error message from eRA Commons: "The <attachment> attachment is not in PDF format. All attachments must be provided to the agency in PDF format with a .pdf extension. Help with PDF attachments can be found at http://grants.nih.gov/grants/ElectronicReceipt/pdf_guidelines.htm."
8	All attachments should comply with the following formatting requirement: o PDF attachments cannot be empty (0 bytes).	If you submit attachments which do not comply with the stated formatting requirement, the applicant will receive the following error message from eRA Commons: "The {attachment} attachment was empty. PDF attachments cannot be empty, password protected or encrypted. Please submit a changed/corrected application with the correct PDF attachment. Help with PDF attachments can be found at http://grants.nih.gov/grants/ElectronicReceipt/pdf_guidelines.htm."
9	All attachments should comply with the following formatting requirement: o PDF attachments cannot have Meta data missing, cannot be encrypted, password protected or secured documents.	If you submit attachments which do not comply with the stated formatting requirement, the applicant will receive the following error message from eRA Commons: "The <attachment> attachment contained formatting or features not currently supported by NIH: <condition returned>. Help with PDF attachments can be found at http://grants.nih.gov/grants/ElectronicReceipt/pdf_guidelines.htm."
10	All attachments should comply with the following formatting requirement: o Size of PDF attachments cannot be larger than 8.5	If you submit attachments that do not comply with the stated formatting requirement, the applicant will receive the following error message from eRA Commons: "Filename <file> cannot be larger than U.S. Standard letter paper size of 8.5 x 11 inches. See the PDF guidelines at

#	eRA Validations	Action if the Validation is not met
	x 11 inches (horizontally or vertically). [Note: It is recommended that you limit the size of attachments to 35 MB.]	http://grants.nih.gov/grants/ElectronicReceipt/pdf_guidelines.htm for additional information."
11	All attachments should comply with the following formatting requirement: o PDF attachments should have a valid file name. Valid file names must include the following UTF-8 characters: A-Z, a-z, 0-9, underscore (_), hyphen (-), space, period.	If you submit attachments which do not comply with the stated formatting requirement, the applicant will receive the following error message from eRA Commons: "The <attachment> attachment filename is invalid. Valid filenames may only include the following characters: A-Z, a-z, 0-9, underscore (_), hyphen (-), space, or period. No special characters (including brackets) can be part of the filename."
12	The contact person's email in the SF-424 Section F, must contain a '@', with at least 1 and at most 64 chars preceding and following the '@'. Control characters (ASCII 0 through 31 and 127), spaces and special chars < > ( ) [ ] \, are not valid.	If the contact person's email address does not comply with the stated formatting requirement, the applicant will receive the following error message from eRA Commons: "The submitted e-mail address for the person to be contacted {email address}, is invalid. Must contain a '@', with at least 1 and at most 64 chars preceding and following the '@'. Control characters (ASCII 0 through 31 and 127), spaces and special chars < > ( ) [ ] \, are not valid."
13	Congressional district code of applicant (after truncating) must be valid. [Note: Applies to form SF-424, items 16a and 16b]	If the Congressional district code of the applicant is not valid, the applicant will receive the following error message from eRA Commons: "Congressional district <Congressional District> is invalid. To locate your district, visit http://www.house.gov/"

#	eRA Validations	Action if the Validation is not met
14	Authorized Representative email must contain a '@', with at least 1 and at most 60chars preceding and following the '@'. Control characters (ASCII 0 through 31 and 127), spaces and special chars < > ( ) [ ] \, are not valid.	If the Authorized Representative email address does not comply with the stated formatting requirement, the applicant will receive the following error message from eRA Commons: "Must contain a '@', with at least 1 and at most 64 chars preceding and following the '@'. Control characters (ASCII 0 through 31 and 127), spaces and special chars < > ( ) [ ] \, are not valid. The Person to be contacted email address also provided on the SF 424 will be used instead."
15	Budget Validations	If the budget form fields below do not comply with the form guidelines, the applicant will receive the following error message from eRA Commons:
16	SF424-A: Section A – Budget Summary There are total fields at the end of rows or at the bottom of columns that must equal the sum of the elements for that row or column	Ensure that the sum of Grant Program Function or Activity (a) elements entered equals the total amounts in the Total field
17	SF424-A: Section B – Budget Categories The TOTALS Total in Column 5 - Row k does not equal to SECTION A – Budget Summary: 5.Totals Total (g).	Ensure that the TOTALS Total (row k, column 5) equals the Budget Summary Totals in section A, row 5 column g.
18	SF424-A: Section D – Forecasted Cash Needs The Federal amount for the 1st Year sun does not equal to Section A Total for 1st Year Federal Totals	Ensure that the Federal Total for 1st year, in Section D-Forecasted Needs equals the Section A, New or Revised Budget Federal Totals (e-5) amount. Ensure that the Non-Federal Total for 1st year equals the sum of Estimated Unobligated Funds Non-Federal Totals

#	eRA Validations	Action if the Validation is not met
	The Non-Federal Total for 1st Year sum does not equal to Estimated Unobligated Funds Non-Federal Totals (d-5) + New or Revised Budget Non-Federal Totals (f-5) The Total for 1st Year TOTAL in Section D does not equal to the Totals Total (Column 5, Row G) in Section A	(d-5) and New or Revised Budget Non-Federal Totals (f-5) on Section A. Ensure that the Forecasted Cash Needs: 15. TOTAL equals to SECTION A – Budget Summary: 5.Totals Total (g).
19	SF424-A: Section E – Budget Estimates Of Federal Funds Needed For Balance of The project The number of budget years/periods does not match the span of the project	Ensure that the project period years on the SF 424 block 17 matches the provided budget periods in the SF 424 A. Enter data for the first budget period in Section D and enter future budget periods in Section E. Please refer to agency guidance if applicable.

Appendix C – Developing Measureable Objectives

To be able to effectively evaluate your project, it is critical that you develop measurable objectives. This appendix provides information on developing objectives. It also provides examples of well-written measurable objectives.

OBJECTIVES

Definition – Objectives describe the results to be achieved and the manner in which they will be achieved. Multiple objectives are generally needed to address a single goal. Well-written objectives help set program priorities and targets for progress and accountability. It is recommended that you avoid verbs that may have vague meanings to describe the intended outcomes, like "understand" or "know" because it may prove difficult to measure them. Instead, use verbs that document action, such as: "By the end of 2018, 75 percent of program participants will be *placed* in permanent housing."

In order to be effective, objectives should be clear and leave no room for interpretation. **SMART** is a helpful acronym for developing objectives that are ***specific, measurable, achievable, realistic, and time-bound*:**

Specific – Includes the "who" and "what" of program activities. Use only one action verb to avoid issues with measuring success. For example, "Outreach workers will administer the HIV risk assessment tool to at least 100 injection drug users in the population of focus" is a more specific objective than "Outreach workers will use their skills to reach out to drug users on the street."

Measurable – How much change is expected. It must be possible to count or otherwise quantify an activity or its results. It also means that the source of and mechanism for collecting measurement data can be identified and that collection of the data is feasible for your program. A baseline measurement is required to document change (e.g., to measure the percentage of increase or decrease). If you plan to use a specific measurement instrument, it is recommended that you incorporate its use into the objective. Example: By 9/18 increase by 10 percent the number of 8^{th,} 9th, and 10th grade students who disapprove of marijuana use as measured by the annual school youth survey.

Achievable – Objectives should be attainable within a given time frame and with available program resources. For example, "The new part-time nutritionist will meet with seven teenage mothers each week to design a complete dietary plan" is a more achievable objective than "Teenage mothers will learn about proper nutrition."

Realistic – Objectives should be within the scope of the project and propose reasonable programmatic steps that can be implemented within a specific time frame. For example, "Two ex-gang members will make one school presentation each week for two months to raise community awareness about the presence of gangs" is a more realistic objective than "Gang-related violence in the community will be eliminated."

Time-bound – Provide a time frame indicating when the objective will be measured or a time by when the objective will be met. For example, "Five new peer educators will be recruited by the second quarter of the first funding year" is a better objective than "New peer educators will be hired."

Examples:

Non-SMART Objective	Critique	SMART Objective
Teachers will be trained on the selected evidence-based substance abuse prevention curriculum.	The objective is not SMART because it is not *specific*, *measurable*, or *time-bound*. It can be made SMART by *specifically* indicating who is responsible for training the teachers, how many will be trained, who they are, and by when the trainings will be conducted.	***By June 1, 2018***, ***LEA supervisory staff*** will have trained ***75% of health education*** teachers ***in the local school district*** on the selected, evidence-based substance abuse prevention curriculum.
90% of youth will participate in classes on assertive communication skills.	This objective is not SMART because it is not *specific* or *time-bound.* It can be made SMART by indicating *who* will conduct the activity, *by when*, and *who* will participate in the lessons on assertive communication skills.	By the ***end of the 2018 school year***, ***district health educators*** will have conducted classes on assertive communication skills for 90% of youth ***in the middle school*** receiving the ***substance abuse and HIV prevention curriculum.***
Train individuals in the community on the prevention of prescription drug/opioid overdose-related deaths.	This objective is not SMART as it is not *specific, measurable* or *time-bound.* It can be made SMART by specifically indicating *who* is responsible for the training, *how many* people will be trained, *who* they are, and by *when* the training will be conducted.	***By the end of year two of the project***, the ***Health Department*** will have trained ***75% of EMS staff in the County Government*** on the selected curriculum addressing the prevention of prescription drug/opioid overdose-related deaths.

Appendix D – Standard Funding Restrictions

HHS codified the *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards*, 45 CFR Part 75. In Subpart E, cost principles are described and allowable and unallowable expenditures for HHS recipients are delineated. 45 CFR Part 75 is available at http://www.samhsa.gov/grants/grants-management/policies-regulations/requirements-principles. Unless superseded by program statute or regulation, follow the cost principles in 45 CFR Part 75 and the standard funding restrictions below.

SAMHSA grant funds must be used for purposes supported by the program and may not be used to:

- Exceed Salary Limitation: The Consolidated Appropriations Act, 2016 (Pub. L.113-76) signed into law on January 10, 2016, limits the salary amount that may be awarded and charged to SAMHSA grants and cooperative agreements. Award funds may not be used to pay the salary of an individual at a rate in excess of Executive Level II. The Executive Level II salary can be found in SAMHSA's standard terms and conditions for all awards at https://www.samhsa.gov/grants/grants-management/notice-award-noa/standard-terms-conditions. This amount reflects an individual's base salary exclusive of fringe and any income that an individual may be permitted to earn outside of the duties to the applicant organization. This salary limitation also applies to sub awards/subcontracts under a SAMHSA grant or cooperative agreement.

- Pay for any lease beyond the project period.

- Provide treatment and recovery services to incarcerated populations (defined as those persons in jail, prison, detention facilities, or in custody where they are not free to move about in the community).

- Pay for the purchase or construction of any building or structure to house any part of the program. (Applicants may request up to $75,000 for renovations and alterations of existing facilities, if necessary and appropriate to the project.)

- Pay for housing other than residential mental health and/or substance abuse treatment.

- Provide residential or outpatient treatment services when the facility has not yet been acquired, sited, approved, and met all requirements for human habitation and services provision. (Expansion or enhancement of existing residential services is permissible.)

- Provide inpatient treatment or hospital-based detoxification services. Residential services are not considered to be inpatient or hospital-based services.

- Cover unallowable costs associated with the use of federal funds are permitted to fund evidence-based practices (EBPs). Other sources of funds may be used for unallowable costs (e.g., meals, sporting events, entertainment). Other support is defined as funds or resources,

whether federal, non-federal or institutional, in direct support of activities through fellowships, gifts, prizes, or in-kind contributions.

- Make direct payments to individuals to induce them to enter prevention or treatment services. However, SAMHSA discretionary grant funds may be used for non-clinical support services (e.g., bus tokens, child care) designed to improve access to and retention in prevention and treatment programs.

- Make direct payments to individuals to encourage attendance and/or attainment of prevention or treatment goals.

  Note: SAMHSA discretionary grant funds may be used for non-cash incentives up to $30. Incentives should be the minimum amount necessary to meet the programmatic and performance assessment goals of the grant. Applicants should determine the minimum amount that is proven effective by consulting with existing local programs and reviewing the relevant literature.

  SAMHSA policy allows an individual participant to receive more than one incentive over the course of the program. A recipient or treatment or prevention provider may provide up to $30 non-cash incentive to individuals to participate in required data collection follow up. This amount may be paid for participation in each required follow up interview.

- Meals are generally unallowable unless they are an integral part of a conference grant or specifically stated as an allowable expense in the FOA. Grant funds may be used for light snacks, not to exceed $3.00 per person.

- Consolidated Appropriations Act, 2016, Division H states, SEC. 520, notwithstanding any other provision of this Act, no funds appropriated in this Act shall be used to purchase sterile needles or syringes for the hypodermic injection of any illegal drug. Provided, that such limitation does not apply to the use of funds for elements of a program other than making such purchases if the relevant state or local health department, in consultation with the Centers for Disease Control and Prevention, determines that the state or local jurisdiction, as applicable, is experiencing, or is at risk for, a significant increase in hepatitis infections or an HIV outbreak due to injection drug use, and such program is operating in accordance with state and local law. Contact the GPO for further guidance.

- Pay for pharmaceuticals for HIV antiretroviral therapy, sexually transmitted diseases (STD)/sexually transmitted illnesses (STI), tuberculosis (TB), and hepatitis B and C, or for psychotropic drugs.

- Outside individuals or companies that prepare or participate in the preparation of grant applications may not be contractors on those grants per 45 CFR 75.328, which addresses full and open competition.

SAMHSA strongly encourages all recipients to provide a tobacco-free workplace and to promote abstinence from all tobacco products (except in regard to accepted tribal traditions and practices).

Appendix E – Administrative and National Policy Requirements

If your application is funded, you must comply with all terms and conditions of the NoA. SAMHSA's standard terms and conditions are available on the SAMHSA website at http://www.samhsa.gov/grants/grants-management/notice-award-noa/standard-terms-conditions.

HHS Grants Policy Statement (GPS)

If your application is funded, you are subject to the requirements of the HHS Grants Policy Statement (GPS) that are applicable based on recipient type and purpose of award. This includes any requirements in Parts I and II of the HHS GPS that apply to the award. The HHS GPS is available at http://www.samhsa.gov/grants/grants-management/policies-regulations/hhs-grants-policy-statement . The general terms and conditions in the HHS GPS will apply as indicated unless there are statutory, regulatory, or award-specific requirements to the contrary (as specified in the NoA).

HHS Grant Regulations

If your application is funded, you must also comply with the administrative requirements outlined in 45 CFR Part 75. For more information see the SAMHSA website at http://www.samhsa.gov/grants/grants-management/policies-regulations/requirements-principles.

Additional Terms and Conditions

Depending on the nature of the specific funding opportunity and/or your proposed project as identified during review, SAMHSA may negotiate additional terms and conditions with you prior to grant award. These may include, for example:

- requirements relating to additional data collection and reporting;
- requirements relating to participation in a cross-site evaluation;
- requirements to address problems identified in review of the application; or revised budget and narrative justification.

Performance Goals and Objectives

If your application is funded, you 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 goals and objectives may result in suspension or termination of the grant award, or in reduction or withholding of continuation awards.

Accessibility Provisions for All Grant Application Packages and Funding Opportunity Announcements

Recipients of federal financial assistance (FFA) from HHS must administer their programs in compliance with federal civil rights law. This means that recipients of HHS funds must ensure equal access to their programs without regard to a person's race, color, national origin, disability, age and, in some circumstances, sex and religion. This includes ensuring your programs are accessible to persons with limited English proficiency. HHS provides guidance to recipients of FFA on meeting their legal obligation to take reasonable steps to provide meaningful access to their programs by persons with limited English proficiency. See http://www.hhs.gov/civil-rights/for-individuals/special-topics/limited-english-proficiency/index.html. The HHS Office for Civil Rights also provides guidance on complying with civil rights laws enforced by HHS. See http://www.hhs.gov/ocr/civilrights/understanding/section1557/index.html; and http://www.hhs.gov/civil-rights/for-providers/index.html. Recipients of FFA also have specific legal obligations for serving qualified individuals with disabilities. See http://www.hhs.gov/ocr/civilrights/understanding/disability/index.html. Contact the HHS Office for Civil Rights for more information about obligations and prohibitions under federal civil rights laws at https://www.hhs.gov/ocr/about-us/contact-us/index.html or call 1-800-368-1019 or TDD 1-800-537-7697. Also note it is an HHS Departmental goal to ensure access to quality, culturally competent care, including long-term services and supports, for vulnerable populations. For further guidance on providing culturally and linguistically appropriate services, recipients should review the National Standards for Culturally and Linguistically Appropriate Services (CLAS) in Health and Health Care at https://minorityhealth.hhs.gov/omh/browse.aspx?lvl=2&lvlid=53.

Cultural and Linguistic Competence

Recipients of federal financial assistance (FFA) from HHS serve culturally and linguistically diverse communities that are not just defined by race or ethnicity, but also socio-economic status, sexual orientation, gender identity, physical and mental ability, age, and other factors. Organizational behaviors, practices, attitudes, and policies across all SAMHSA-supported entities respect and respond to the cultural diversity of communities, clients and students served.

If your application is funded, you must ensure access to quality health care for all. Quality care means access to services, information, and materials delivered by trained providers in a manner that factor in the language needs, health literacy, culture, and diversity of the populations served. Quality also means that data collection instruments used should adhere to culturally and linguistically appropriate norms. For additional information and guidance, refer to the National Standards for Culturally and Linguistically Appropriate Services (CLAS) published by the U.S. Department of Health and Human Services at https://www.thinkculturalhealth.hhs.gov/. Additional cultural/linguistic competency and health literacy tools, and resources are available online at http://www.samhsa.gov/capt/applying-strategic-prevention/cultural-competence

Acknowledgement of Federal Funding

As required by HHS appropriations acts, all HHS recipients must acknowledge Federal funding when issuing statements, press releases, requests for proposals, bid invitations, and other documents describing projects or programs funded in whole or in part with Federal funds. Recipients are required

to state (1) the percentage and dollar amounts of the total program or project costs financed with Federal funds and (2) the percentage and dollar amount of the total costs financed by nongovernmental sources

DOMA: Implementation of United States v. Windsor and Federal Recognition of Same-Sex Spouses/Marriages

A special term of award may be included in the final NoA that states: "On June 26, 2013, in United States v. Windsor, the Supreme Court held that section 3 of the Defense of Marriage Act (DOMA), which prohibited federal recognition of same-sex marriages, was unconstitutional. As a result of that decision and consistent with HHS policy, SAMHSA recognizes same-sex marriages and same-sex spouses on equal terms with opposite sex-marriages and opposite-sex spouses, regardless of where the couple resides. On June 26, 2015, in Obergefell v. Hodges, the Court held that the Fourteenth Amendment requires a State to license a marriage between two people of the same sex and to recognize a marriage between two people of the same sex when their marriage was lawfully licensed and performed out-of-state. Consistent with both of these decisions, you must treat as valid the marriages of same- sex couples. This policy does not apply to registered domestic partnerships, civil unions or similar formal relationships recognized under state law as something other than a marriage."

Supplement Not Supplant

Grant funds may be used to supplement existing activities. Grant funds may not be used to supplant current funding of existing activities. "Supplant" is defined as replacing funding of a recipient's existing program with funds from a federal grant.

Mandatory Disclosures

A term may be added to the NoA which states: Consistent with 45 CFR 75.113, applicants and recipients must disclose in a timely manner, in writing to the HHS awarding agency, with a copy to the HHS Office of Inspector General (OIG), all information related to violations of federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the federal award. Sub-recipients must disclose, in a timely manner, in writing to the prime recipient (pass through entity) and the HHS OIG, all information related to violations of federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the federal award. Disclosures must be sent in writing to the awarding agency and to the HHS OIG at the following addresses:

SAMHSA
Attention: Office of Financial Advisory Services
5600 Fishers Lane
Rockville, MD 20857

AND

U.S. Department of Health and Human Services
Office of Inspector General

ATTN: Mandatory Grant Disclosures, Intake Coordinator
330 Independence Avenue, SW, Cohen Building
Room 5527
Washington, DC 20201

Fax: (202) 205-0604 (Include "Mandatory Grant Disclosures" in subject line) or email: MandatoryGranteeDisclosures@oig.hhs.gov

Failure to make required disclosures can result in any of the remedies described in 45 CFR 75.371 Remedies for noncompliance; including suspension or debarment (See 2 CFR parts 180 & 376 and 31 U.S.C. 3321)."

System for Award Management (SAM) Reporting

A term may be added to the NoA that states: "In accordance with the regulatory requirements provided at 45 CFR 75.113 and Appendix XII to 45 CFR Part 75, recipients that have currently active federal grants, cooperative agreements, and procurement contracts with cumulative total value greater than $10,000,000, must report and maintain information in the System for Award Management (SAM) about civil, criminal, and administrative proceedings in connection with the award or performance of a federal award that reached final disposition within the most recent five-year period. The recipient also must make semiannual disclosures regarding such proceedings. Proceedings information will be made publicly available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (FAPIIS)). Full reporting requirements and procedures are found in Appendix XII to 45 CFR Part 75."

Drug-Free Workplace

A term may be added to the NoA that states: "You as the recipient must comply with drug-free workplace requirements in Subpart B (or Subpart C, if the recipient is an individual) of part 382, which adopts the Government-wide implementation (2 CFR part 182) of section 5152-5158 of the Drug-Free Workplace Act of 1988 (Pub. L. 100-690, Title V, Subtitle D; 41 U.S.C. 701-707)."

Smoke-Free Workplace

The Public Health Service strongly encourages all award recipients to provide a smoke-free workplace and to promote the non-use of all tobacco products. Further, Public Law (P.L.) 103-227, the Pro-Children Act of 1994, prohibits smoking in certain facilities (or in some cases, any portion of a facility) in which regular or routine education, library, day care, health care or early childhood development services are provided to children.

Standards for Financial Management

Recipients are required to meet the standards and requirements for financial management systems set forth in 45 CFR part 75. The financial systems must enable the recipient to maintain records that adequately identify the sources of funds for federally assisted activities and the purposes for which the award was used, including authorizations, obligations, unobligated balances, assets, liabilities, outlays or

expenditures, and any program income. The system must also enable the recipient to compare actual expenditures or outlays with the approved budget for the award.

SAMHSA funds must retain their award-specific identity − they may not be commingled with state funds or other federal funds ["Commingling funds" typically means depositing or recording funds in a general account without the ability to identify each specific source of funds for any expenditure.]

Trafficking in Persons

Awards issued by SAMHSA are subject to the requirements of Section 106(g) of the Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. 7104). For the full text of the award term, go to http://www.samhsa.gov/grants/grants-management/notice-award-noa/standard-terms-conditions.

NOTE: The signature of the AOR on the application serves as the required certification of compliance for your organization regarding the administrative and national policy requirements.

Publications

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

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

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

Appendix F – Sample Budget and Justification (Match Required)

THIS IS AN ILLUSTRATION OF A SAMPLE DETAILED BUDGET AND NARRATIVE JUSTIFICATION WITH GUIDANCE FOR COMPLETING SF-424A

Budget Preparation

The Budget Narrative is used to determine reasonableness and allowability of costs in a DFC application. All of the proposed costs listed, whether supported by federal or matching funds, **must** be reasonable, and necessary to accomplish project objectives, allowable in accordance with applicable Federal Cost Principles, auditable, and incurred during the project period. All figures **must** be rounded to the nearest dollar.

Before developing a budget, applicants should review Federal Policies and Regulations available at http://www.samhsa.gov/grants/grants-management/policies-regulations to determine cost sharing expectations and restrictions on the types of costs that may appear in the budget.

Budget Terminology

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

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

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

1. **Reasonableness** - (including necessity). A cost is reasonable if it does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the cost.
2. **Allocability** - A cost is allocable to a specific grant, function, department, or other component, known as a cost objective, if the goods or services involved are chargeable or assignable to that cost objective in accordance with the relative benefits received or other equitable relationship.

3. **Consistency** - Regulations regarding cost assignment must be consistent for all work of the organization under similar circumstances, regardless of the source of funding, to avoid duplicate charges.
4. **Conformance** - Conformance with limitations and exclusions contained in the Terms and Conditions of award, including those in the cost principles, may vary by the type of activity, the type of grant recipient, and other characteristics of individual awards.

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

Key Personnel: Individuals who contribute to the project in a substantive, measurable way, whether or not they receive salaries or other compensation under the grant (i.e., Program Director/Principal Investigator (PD/PI), Project Coordinator). The Program Director/Principal Investigator (PD/PI) and the Project Coordinator may be the same person. The Program Director/Principal Investigator (PD/PI) and Project Coordinator must be listed under 'Personnel' in the Budget Narrative and not identified under 'Contracts'.

- **Program Director/Principal Investigator (PD/PI):** An individual who provides daily oversight of the grant, including fiscal and personnel management, community relations, implementation, and evaluation (Person listed in Part C of the Checklist found in the Grant Application Package retrieved from www.Grants.gov . Must be employee by the recipient organization.
- **Project Coordinator:** An individual who coordinates the work of the coalition and DFC activities, including training, coalition communication, data collection, and information dissemination. The Project Coordinator will be listed on the DFC website if a grant is awarded.
- **Business Official:** An individual responsible for the financial aspect of the grant, and must be an employee of the recipient organization. **NOTE**: The Business Official and Program Director/Principal Investigator (PD/PI) **cannot** be the same individual.

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

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

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

costs require a negotiated indirect cost rate agreement. If indirect costs are claimed, a copy of an indirect cost rate agreement must be submitted with the application. Effective with 45 CFR 75.414(f), any non-federal entity that has never received a negotiated indirect cost rate, except for those non-federal entities described in Appendix VII to part 75 (D)(1)(b), may elect to charge a de minimis rate of 10 percent of Modified Total Direct Costs (MTDC) which may be used indefinitely. The grant recipient must identify the requests in the budget narrative.

Research indirect cost rates are not allowable and will not be accepted. For more information on the establishment of indirect cost rate agreements, contact the Division of Cost Allocation (DCA). Regional contact information can be found at the following DCA website: https://rates.psc.gov/fms/dca/map1.html.

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

Budget Expectations (Future Years and Projected Total): If an applicant has sufficient match to allow a budget request of the full $125,000, the applicant should round up the final budget figures to equal $125,000. Applicants will not receive a higher score for requesting less than $125,000. Applicants are strongly encouraged to apply for the full $125,000 for each of the four subsequent renewal years of funding in their budget forecast even if they are not able to apply for full funding in Year One due to insufficient match.

The amount requested in this original application for the four future years establishes the maximum amount that an applicant can receive in future years if awarded the grant.

Grant recipients are required to submit an annual budget request each year. The annual amount requested can be less than $125,000 due to insufficient match, but can never be greater than the amount indicated in this application. Therefore, it is more advantageous to request the full $125,000 for each out-year of funding. **Ensure against conflict of interest within proposed contractual costs; see the definition of Conflict of Interest and examples below:**

Conflict of Interest: Federal regulations prohibit the appearance and existence of conflict of interest situations for employees, officials, and agents of the organization. **Based on the use of Federal funds, it is not permissible for paid staff to be related. Relatives include: father, mother, son, daughter, brother, sister,**	**Examples:** An officer or employee has an interest in a company selected for a contract or consulting relationship, such as through their ownership, the ownership by a family member or through financial or other business ties (for example, sector members). Nepotism - an employee is supervised by a family member under the Federally-sponsored project.

uncle, aunt, first cousin, nephew, niece, husband, wife, etc. Reference – 45 CFR 75 Statement, issued January 1, 2007.	An individual is contracted to be a grant writer and/or provide input into the grant application. This individual is then written into the grant application to be an evaluator, Program Director/Principal Investigator (PD/PI), Project Coordinator, etc. for the applicant organization. This would violate the Federal competition rules because contractors involved with the writing or preparation of the application cannot compete for contracts under the grant. Grant award recipients are required to alert their Grants Management Specialist (GMS) and the Government Project Officer (GPO) of any organizational conflicts of interest as well as noncompetitive practices among contractors that may restrict or eliminate competition.

NOTE: In the Budget Narrative, applicants **must** also provide **Table 19: Future Years Budget Summary and Table 20: Calculation of Future Years and Projected Total.**

Sample Budget Narrative
(For completing SF-424A: Section B for First Year of the Funding Cycle)

A. Personnel: Provide employee(s) (including names for each identified position) of the applicant/recipient organization, including in-kind costs for those positions whose work is tied to the grant project.

Table 4: FEDERAL REQUEST

Position	Name	Annual Salary/Rate	Level of Effort	Cost
(1) Program Director/Principal Investigator (PD/PI)	John Doe	$64,890	10%	$6,489
(2) Project Coordinator	To be selected	$46,276	100%	$46,276
(3) Clerical Staff	John Doe	In-kind cost	20%	0
			TOTAL	**$52,765**

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

Key staff positions require prior approval by SAMHSA after review of credentials of resume and job description.

Table 5: NON-FEDERAL MATCH

Position	Name	Annual Salary/Rate	Level of Effort	Cost
(1) Clerical Support	John Doe	$13.38/hr. x 100 hr.	100 hrs. per year	$1,338
			TOTAL	$1,338

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

SOURCE OF MATCH FUNDS: State source of match funds.
FEDERAL REQUEST (enter in Section B column 1 line 6a of form SF-424A): $52,765
NON-FEDERAL MATCH (enter in Section B column 2 line 6a of form SF-424A): $1,338

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

Table 6: FEDERAL REQUEST

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

NARRATIVE JUSTIFICATION: Enter a description of the fringe benefits matching funds provided and how the rate was determined. **Fringe reflects current rate for agency.**

Table 7: NON-FEDERAL MATCH

Component	Rate	Wage	Cost
FICA	7.65%	$1,338	$104
Workers Compensation	2.5%	$1,338	$33
Insurance	10.5%	$1,338	$140
		TOTAL	**$277**

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

SOURCE OF MATCH FUNDS: State source of match funds.
FEDERAL REQUEST (enter in Section B column 1 line 6b of form SF-424A): $10,896
NON-FEDERAL MATCH (enter in Section B column 2 line 6b of form SF-424A): $209

C. Travel: Explain need for all travel other than that required by this application. Applicants must use their own documented travel policies. If an organization does not have documented travel policies, the federal GSA rates must be used. GSA rates can be found at http://www.gsa.gov.

Table 8: FEDERAL REQUEST

Purpose of Travel	Location	Item	Rate	Cost
Coalition Training	TBD	Airfare	$300/flight x TBD persons	$600
		Hotel	$200/night x TBD persons x TBD nights	$1,600
		Per Diem (meals and incidentals)	$64/day x TBD persons x TBD days	$512
(2) Coalition Academy Week 1	Birmingham, AL	Airfare	$200/flight x 2 persons	$400
(3) Coalition Academy Week 1	Birmingham, AL	Car Rental	$200/week, unlimited mileage	$200

Purpose of Travel	Location	Item	Rate	Cost
(4) Coalition Academy Week 2	Birmingham, AL	Airfare	$200/flight x 2 persons	$400
(5) Coalition Academy Week 2	Birmingham, AL	Car Rental	$200/week, unlimited mileage	$200
(6) Coalition Academy Week 3	Birmingham, AL	Airfare	$200/flight x 2 persons	$400
(7) Coalition Academy Week 3	Birmingham, AL	Car Rental	$200/week, unlimited mileage	$200
Local Travel	County-wide	Mileage	3,000 miles@ .50/mile	$1,500
			TOTAL	$6,012

NARRATIVE JUSTIFICATION: Describe the purpose of travel and how costs were determined. In addition to the required trainings, funds for local travel are needed to attend local meetings, project activities, and training events. Local travel rate should be based on agency's personally owned vehicle (POV) reimbursement rate, which should correspond with the GSA rate found at http://www.gsa.gov.* Please check this website regularly for changes.

Table 9: NON-FEDERAL MATCH

Purpose of Travel	Location	Item	Rate	Cost
(1) Regional Training Conference	Chicago, IL	Airfare	$300/flight x 2 persons	$600
(2) Regional Training Conference	Chicago, IL	Hotel	$155/night x 2 persons x 2 nights	$620
(3) Regional Training Conference	Chicago, IL	Per Diem (meals and incidentals)	$46/day x 2 persons x 2 days	$184
(4) Local Travel	Outreach Workshops	Mileage	304 miles x $.50/Mile	$152
			TOTAL	**$1,556**

NARRATIVE JUSTIFICATION: Enter a description of the travel matching funds provided and how their use will support the purpose and goals of this proposal. Describe how the matching funds will enhance the federal budget request. Local travel rate should be based on agency's POV reimbursement

rate, which should correspond with the GSA rate found at http://www.gsa.gov/portal/category/26429 * Please check this website regularly for changes.

SOURCE OF MATCH FUNDS: State source of match funds.
FEDERAL REQUEST (enter in Section B column 1 line 6c of form SF-424A): $6,012
NON-FEDERAL MATCH (enter in Section B column 2 line 6c of form SF-424A): $1,556

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

Table 10: FEDERAL REQUEST

Purpose of Travel	Location	Item	Rate	Cost
None				$0
				$0

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

Table 11: NON-FEDERAL REQUEST

Purpose of Travel	Location	Item	Rate	Cost
None				$0
				$0

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

SOURCE OF MATCH FUNDS: State source of match funds.
FEDERAL REQUEST – (enter in Section B column 1 line 6e of form SF-424A): $0
NON-FEDERAL MATCH – (enter in Section B column 2 line 6e of form SF-424A): $0

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

Table 12: FEDERAL REQUEST

Item(s)	Rate	Cost
(1) General office supplies	$50/mo. x 12 mo.	$600
(2) Postage	$37/mo. x 8 mo.	$296
(3) Coalition promotional items	200 items @ $1.39 each	$278
(4) Laptop Computer	$600	$600
(5) Printer	$300	$300
(6) Projector	$700	$700
(7) Copies	8000 copies x .10/copy	$800
(8) Laptop computer update	**$50**	**$50**
	TOTAL	**$3,624**

NARRATIVE JUSTIFICATION: Describe the need and include an adequate justification of how each cost was estimated.

Table 13: NON-FEDERAL REQUEST

Item(s)	Rate	Cost
(1) General office supplies	$54/mo. x 12 mo.	$648
(2) Laptop Computer	$500	$500
(3) Postage	$37/mo. X 4 mo.	$148
(4) Computer Update	$50	$50
	TOTAL	**$1,346**

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

SOURCE OF MATCH: State source of match funds.
FEDERAL REQUEST (enter in Section B column 1 line 6e of form SF-424A): $3,624

NON-FEDERAL MATCH (enter in Section B column 2 line 6e of form SF-424A): $1,298

F. Contract: A contractual arrangement cost to carry out a portion of the programmatic effort by a third-party contractor or for the acquisition of goods or services under the grant. Such arrangements may be in the form of consortium agreements or contracts. If there is more than one contractor, each must be budgeted separately. A consultant is a non-employee retained to provide advice and expertise in a specific program area for a fee. The grant award recipient must establish written procurement policies and procedures that are consistently applied. SAMHSA staff may request a copy of procurement policies and all contracted agreements. All procurement transactions are required to be conducted in a manner to provide, to the maximum extent practical, open and free competition. The grant award recipient will be required to be alert to organizational conflicts of interest as well as noncompetitive practices among contractors that may restrict or eliminate competition or otherwise restrain trade. It is the grant award recipient's responsibility to conduct the day-to-day operations of the grant program. Grant award recipients may not serve as a conduit for the funds by passing them on to another agency. Therefore, the awarded grant award recipient **must** have oversight of the day-to-day operations.

COSTS FOR CONTRACTS MUST BE BROKEN DOWN IN DETAIL AND A NARRATIVE JUSTIFICATION PROVIDED. IF APPLICABLE, NUMBERS OF CLIENTS SHOULD BE INCLUDED IN THE COSTS.

Table 14: FEDERAL REQUEST

Name	Service	Rate	Other	Cost
(1) To be selected	Environmental Strategy Consultation	$150/day x 35 days = $5,250	Travel 380 miles @ $0.50/mile = $190	$5,440
(2) To be selected	Board and Committee Leadership Consultation	$300/trainer x 2 trainers x 5 days = $3,000	$50/hour for individual TA x 30 hours = $1,500	$4,500

Name	Service	Rate	Other	Cost
(3) To be selected	Evaluation Contractor	$100/hour x 100 hours to include collection of core measures, creation of evaluation report, coalition evaluation support (e.g., member survey), and activity evaluation support, pre/post survey development)		$10,000
(4) To be selected	Substance abuse training for coalition members	Trainers: $300/day x 4 days - $1,300	Materials: Approx. $5/person x 25 people = $125 Room Rental = $75 Travel for Trainers: Flight $300/person x 2 people = $600 Per Diem: $46/day x 4 days x 2 people = $368	$2,368
(5) Local Police	Alcohol Compliance Checks	6 officers @ $50/hour x 6 checks @ $300/check		$1,800
(6) To be selected	Responsible Server Three-Day Training	Trainer: $500/day x 3 days		**$1,500**
			TOTAL	**$25,608**

NARRATIVE JUSTIFICATION: Explain the need for each agreement and how it will support the purpose and goals of this proposal. Local travel rate should be based on agency's POV reimbursement rate, which should correspond with the GSA rate found at http://www.gsa.gov/portal/category/26429.* Please check this website regularly for changes.

Table 15: NON-FEDERAL MATCH

Name	Service	Rate	Other	Cost
(1) Coalition Members	Participation in coalition activities outlined in the 12-Month Action Plan	18 members @ $35/hr. x 5 hr./mo. (average) x 12 mo.		$37,800
(2) Local School District	Student Assistance Program – CIA demonstrates breakout of services	3 counselors @ $51.33/hr.	100 hrs. each	$15,400
(3) Local Police Department	Alcohol Compliance Checks	8 youth @ $50/youth x 6 checks	1 hour each	$2,400
(5) Youth Members	Alcohol Compliance Checks	8 youths @ $50/youth x 6 checks = $2,400 16 parents chaperones x 6 checks x $25/check - $2,400		$4,800
(6) Media sponsorship	Local cable station agrees to run coalition promotion. PSA an average of 5 times/week for 24 weeks	5 PSAs/week $50/PSA x 24 weeks		$6,000
(7) Advertising	Billboards	$600 x 12 = $7,200		**$7,200**
			TOTAL	**$73,600**

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

SOURCE OF MATCH FUNDS: State source of match funds.
FEDERAL REQUEST (enter in Section B column 1 line 6f of form SF-424A): $25,608
NON-FEDERAL MATCH (enter in Section B column 2 line 6f of form SF-424A): $73,600

G. Construction: NOT ALLOWED – Leave Section B columns 1& 2 line 6g on SF-424A blank.

H. Other: Expenses not covered in any of the previous budget categories. If anyone related to the project owns the building which is less-than-arm's length1 arrangement, provide cost of ownership/use allowance calculations. Additionally, the lease is required and must be submitted for all projects allocating rent costs.

Table 16: FEDERAL REQUEST

Item	Rate	Cost
(1) Rent*	$550/mo. x 12 mo.	$6,600
(2) Telephone	$50/mo. x 12 mo.	$600
(3) Student Surveys	$1/survey x 4884	$4,884
(4) Brochures	.89/brochure X 1500 brochures	$1,335
(5) Meth literature for merchants	Window Clings: 1,500 clings x $2 each = $3,000 Handouts: 3,000 copies x $0.50 each = $1,500	$4,500
	TOTAL	**$17,919**

NARRATIVE JUSTIFICATION: Break down costs into cost/unit (e.g., cost/square foot). Explain the use of each item requested.

***If rent is requested (direct or indirect), provide the name of the owner(s) of the space/facility. If anyone related to the project owns the building which is less than an arm's length arrangement, provide cost of ownership/use allowance calculations.**
Additionally, the lease and floor plan (including common areas) is required for all projects allocating rent costs.

Table 17: NON-FEDERAL REQUEST

Item	Rate	Cost
(1) Space Rental	10 x $830 per event	$8,300
(2) School Leadership Program	$25,200	$25,200
(3) Internet service	$26/mo. x 12 mo.	$312
(4) Student surveys	$1/survey x 1946 surveys	$1,946
(5) Printing	$300/run x 6 runs	$1,800
(6) Transition Program for youth & parents	1 person x $25/hr. x 3 hrs. = $75 100 parent packets x $3.50/packet = $350	$425
(7) Health Fair	Coordination and administration CIA demonstrates breakout of services	$1,500
(8) Physician/Health Provider diagnostic tools and training	Coordination and administration CIA demonstrates breakout of services	$1,700
(9) Drug-Free Workplace Initiative	Coordination and administration CIA demonstrates breakout of services	$3,000
(10) Underage Drinking Initiative	Coordination and administration CIA demonstrates breakout of services	$2,700
	TOTAL	**$46,883**

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

SOURCE OF MATCH FUNDS: State source of match funds.
FEDERAL REQUEST (enter in Section B column 1 line 6h of form SF-424A): $17,919
NON-FEDERAL MATCH (enter in Section B column 2 line 6h of form SF-424A): $46,883

Indirect Cost Rate: Indirect costs can be claimed if your organization has a negotiated indirect cost rate agreement. It is applied only to direct costs to the agency as allowed in the agreement. For information on applying for the indirect rate go to: https://rates.psc.gov/fms/dca/map1.html. Effective with 45 CFR 75.414(f), any non-federal entity that has never received a negotiated indirect cost rate, except for those non-federal entities described in Appendix VII to part 75 (D)(1)(b), may elect to charge a de minimis rate of 10 percent of Modified Total Direct Costs (MTDC) which may be used indefinitely.

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

Indirect Cost Rate: Indirect costs can be claimed if your organization has a negotiated indirect cost rate agreement. It is applied only to direct costs to the agency as allowed in the agreement. For information on applying for the indirect rate go to: https://rates.psc.gov/fms/dca/map1.html. **Effective with 45 CFR 75.414(f), any non-federal entity that has never received a negotiated indirect cost rate, except for those non-federal entities described in Appendix VII part 75 (D)(1)(b), may elect to charge a de minimis rate of 10 percent of modified total direct costs (MTDC) which may be used indefinitely. If an organization has a federally approved rate of 10 percent, the approved rate would prevail.**

==========

TOTAL DIRECT CHARGES:

FEDERAL REQUEST – **(enter in Section B column 1 line 6i of form SF-424A):** $121,350

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

INDIRECT CHARGES:

FEDERAL REQUEST – (enter in Section B column 1 line 6j of form SF-424A): $8,176

TOTAL: (sum of 6i and 6j)

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

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

Provide the total proposed project period and federal funding as follows:
Proposed Project Period

a. Start Date: 09/30/2018 b. End Date: 09/29/2023

Table 18: BUDGET SUMMARY

Category	Federal Request	Non–Federal Request	Total
Personnel	$52,765	$1,338	$54,103

Fringe	$10,896	$277	$11,173
Travel	$6,012	$1,556	$7,568
Equipment	$0	$0	$0
Supplies	$3,624	$1,346	$4,970
Contractual	$25,608	$73,600	$99,208
Other	$17,919	$46,883	$64,802
Total Direct Costs	$116,824	$125,000	$241,824
Indirect Costs	$8,176	$0	$8,176
Total Project Costs	$125,000	$125,000	$250,000

Table 19: FUTURE YEARS BUDGET SUMMARY

Projected Future Years	Federal Request	Non-Federal Match
Year 2		
Year 3		
Year 4		
Year 5		
TOTAL (2-5)		

The federal dollars requested for all object class categories for the first 12-month period are entered on Form 424A, Section B, Column 1, line 6a-6i.

Table 20: FUTURE YEARS AND PROJECTED TOTAL*

Category	2nd Project Year Federal	2nd Project Year Match	3rd Project Year Federal	3rd Project Year Match	4th Project Year Federal	4th Project Year Match	5th Project Year Federal	5th Project Year Match
Personnel								
Program Director/Principal Investigator (PD/PI)	$6,489	$0	$6,489	$0	$6,489	$0	$6,489	$0
Project Coordinator	$46,276	$0	$46,276	$0	$46,276	$0	$46,276	$0
Clerical Support	$0	$1,338	$0	$1,338	$0	$1,338	$0	$1,338

Fringe Benefits	$10,896	$275	$10,896	$275	$10,896	$275	$10,896	$275
Travel	$5,000	$2,000	$5,000	$2,250	$4,000	$2,500	$4,000	$2,500
Equipment	$0	$0	$0	$0	$0	$0	$0	$0
Supplies	$4,500	$2,000	$4,500	$2,000	$4000	$2,000	$4,000	$2,000
Contract								
Evaluation	$4,500	$0	$4,500	$0	$4,500	$0	$4,500	$0

Category	**2nd Project Year Federal**	**2nd Project Year Match**	**3rd Project Year Federal**	**3rd Project Year Match**	**4th Project Year Federal**	**4th Project Year Match**	**5th Project Year Federal**	**5th Project Year Match**
Targeted Media	$15,000	$20,000	$15,000	$30,000	$15,000	$30,000	$10,000	$35,000
Training	$4,000	$0	$3,000	$0	$2,500	$0	$2,500	$0
Compliance Checks	$1,000	$12,000	$1,500	$14,000	$1,500	$14,000	$1,500	$14,000
Coalition Members	$0	$35,000	$0	$40,000	$0	$40,000	$0	$40,000
Other	$24,497	$52,387	$24,997	$35,137	$26,997	$34,887	$31,997	$29,887
Total Direct Costs	$122,158	$125,000	$122,158	$125,000	$122,158	$125,000	$122,158	$125,000
Total Indirect Costs	$2,842	$0	$2,842	$0	$2,842	$0	$2,842	$0
Total Costs	$125,000	$125,000	$125,000	$125,000	$125,000	$125,000	$125,000	$125,000

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

FEDERAL REQUEST (enter in Section B column 1 line 6k of form SF-424A): $625,000

***FOR REQUESTED FUTURE YEARS:**

(1) Please justify and explain any changes to the budget that differ from the reflected amounts reported in the 01 Year Budget Summary.

(2) If a cost of living adjustment (COLA) is included in future years, provide your organization's personnel policy and procedures that state all employees within the organization will receive a COLA.

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

Reference Table 5 of this FOA for a breakdown of the required matching funds for each year.

Appendix G – Coalition Involvement Agreements

As **Attachment 1**, applicants **must** include one Coalition Involvement Agreement (CIA) for each coalition sector representative. The following page provides a sample CIA. By signing a CIA, an individual is affirming that he/she represents a specific sector within the coalition. The 12 completed CIAs indicate compliance with the 12 sectors eligibility requirement (see Table 1).

General Information:

- CIAs **must not** be more than 12 months old (March 2017 – March 29, 2018) at the time the application is submitted.
- CIAs **must** be hand-signed and hand-dated. Do **not** use typed/electronic signatures. The same individual **cannot** sign a CIA as both the sector representative and the coalition representative.
- There **must** be one completed CIA for each sector. Do not provide more than 12 CIAs. American Indian and Alaska Native applicants *may include more than 12 CIAs as needed.*
- A coalition sector representative **must not** represent more than one of the 12 sectors. Choose the individual who best represents each of the 12 sectors.
- Paid coalition staff (current or proposed), such as the Program Director/Principal Investigator (PD/PI) Project Coordinator, and/or the coalition evaluator, and the individual signing as the coalition representative **cannot** serve as a coalition sector representative.

Instructions for Completing the CIA Form

Applicant coalitions have two options for meeting this requirement.

Option 1: If your coalition already has 12 hand-signed and hand-dated agreements with each of the required sectors that are not more than 12 months old, these can be used in lieu of the CIA templates provided in this FOA. **Table 21** below **must** be included at the top of each CIA.

Option 2: Use the CIA forms provided below.

Using the headings in the five columns provided below, complete a CIA for each required sector representative. Remove the italicized language and enter the correct information.

Because the CIA is an agreement between the coalition and the selected sector representatives, the applicant should identify the agreed upon responsibilities for both the coalition and the sector representative.

Coalition Involvement Agreement (CIA) Table

This is a template for the CIA Table that **must** be included at the top of each CIA. Fill in the empty cells in the table below and include the completed table in the application with Attachment 1, Coalition Involvement Agreement. **Note**: For the youth sector representative, the member's age **must** be listed.

Table 21:

Sector	Member Name	Organization Name	Rationale for Selection
Insert one for each of the 12 sectors. "State, Local or Tribal Government Agency with Expertise in the Field of Substance Abuse"	*Insert Individual's Name* Ms. Dee F. Cee	*Insert Organization Name* County Substance Misuse Prevention Council	*Explain Briefly* Provides support, training, and guidance to prevention service providers and coalitions in the catchment area of the coalition.

Coalition Involvement Agreement (CIA)

Table 21: CIA Information Table

Sector	Member Name	Organization Name	Rationale for Selection
Youth			*Include age of youth in rationale*
Youth: An individual 18 years of age or younger (must provide age of youth).			

This agreement between [*Coalition name*] and the Youth Representative, [*Name of sector representative*] shall be from [*Month/Date/Year*] until terminated by a mutual accord. This agreement will be reevaluated by both parties on a yearly basis.

NOTE: Any items listed below should be unique to the sector representatives and/or the affiliated organization.

[*Coalition name*] will be responsible for:

1. Creating and following by-laws and policies.
2. Formulating coalition goals and objectives.
3. Overseeing operations of activities, programs, and paid staff.
4. Increasing new membership of the coalition.
5. Creating and following a strategic 12-Month Action Plan.
6. Creating a credible and relevant sustainability plan which includes volunteer membership and resources, both financial and material.
7. Respecting the rights of [Coalition name] members to hold their own opinions and beliefs.
8. Other(s), etc.

The Youth Representative, [*Name of sector representative*], will be responsible for:

1. Being a community leader amongst the represented sector.
2. Ensuring clear communication between the sector represented and the coalition.
3. Acting as a positive role model for youth, families, and peers.
4. Supporting the coalition's mission.
5. Attending coalition meetings which are held on a ***[ ]*** basis.
6. Participating on at least one subcommittee.
7. Attending coalition sponsored trainings, town hall meetings, and other community events.
8. Contributing to the strategic action planning process.

9. Participating in sustaining the coalition's capacity, involvement, and goals.
10. Preventing youth substance use through environmental strategies.
11. Using his/her activities as match, if applicable.
12. Other(s), etc.

_____	_____
Official Coalition Representative's Name	Sector Representative's Name
_____	_____
Official Coalition Representative's Signature	Sector Representative's Signature
_____/___/_____	_____/___/_____
Title Date	Title Date

NOTE: All forms cannot be more than 12 months old (March 2017 – March 29, 2018) at the time of application and require handwritten signatures and dates or they will be screened out and not move forward to peer review.

Coalition Involvement Agreement (CIA)

Table 21: CIA Information Table

Sector	Member Name	Organization Name	Rationale for Selection
Parent			
Parent: An individual legally responsible for a child, grandchild, or foster child.			

This agreement between [*Coalition name*] and the Parent Representative, [*Name of sector representative*] shall be from [*Month/Date/Year*] until terminated by a mutual accord. This agreement will be reevaluated by both parties on a yearly basis.

NOTE: Any items listed below should be unique to the sector representatives and/or the affiliated organization.

[*Coalition name*] will be responsible for:

1. Creating and following by-laws and policies.
2. Formulating coalition goals and objectives.
3. Overseeing operations of activities, programs, and paid staff.
4. Increasing new membership of the coalition.
5. Creating and following a strategic 12-Month Action Plan.
6. Creating a credible and relevant sustainability plan which includes volunteer membership and resources, both financial and material.
7. Respecting the rights of [Coalition name] members to hold their own opinions and beliefs.
8. Other(s), etc.

The Parent Representative, [*Name of sector representative*], will be responsible for:

1. Being a community leader amongst the represented sector.
2. Ensuring clear communication between the sector represented and the coalition.
3. Acting as a positive role model for youth, families, and peers.
4. Supporting the coalition's mission.
5. Attending coalition meetings which are held on a ***[ ]*** basis.
6. Participating on at least one subcommittee.
7. Attending coalition sponsored trainings, town hall meetings, and other community events.
8. Contributing to the strategic action planning process.

9. Participating in sustaining the coalition's capacity, involvement, and goals.
10. Preventing youth substance use through environmental strategies.
11. Using his/her activities as match, if applicable.
12. Other(s), etc.

_____	_____
Official Coalition Representative's Name	Sector Representative's Name
_____	_____
Official Coalition Representative's Signature	Sector Representative's Signature
_____/___/_____	_____/___/_____
Title Date	Title Date

NOTE: All forms cannot be more than 12 months old (March 2017 – March 29, 2018) at the time of application and require handwritten signatures and dates or they will be screened out and not move forward to peer review.

Coalition Involvement Agreement (CIA)

Table 21: CIA Information Table

Sector	Member Name	Organization Name	Rationale for Selection
Business			
Business: A representative of a business-related organization.			

This agreement between [*Coalition name*] and the Business Representative, [*Name of sector representative*] shall be from [*Month/Date/Year*] until terminated by a mutual accord. This agreement will be reevaluated by both parties on a yearly basis.

NOTE: Any items listed below should be unique to the sector representatives and/or the affiliated organization.

[*Coalition name*] will be responsible for:

1. Creating and following by-laws and policies.
2. Formulating coalition goals and objectives.
3. Overseeing operations of activities, programs, and paid staff.
4. Increasing new membership of the coalition.
5. Creating and following a strategic 12-Month Action Plan.
6. Creating a credible and relevant sustainability plan which includes volunteer membership and resources, both financial and material.
7. Respecting the rights of [Coalition name] members to hold their own opinions and beliefs.
8. Other(s), etc.

The Business Representative, [*Name of sector representative*], will be responsible for:

1. Being a community leader amongst the represented sector.
2. Ensuring clear communication between the sector represented and the coalition.
3. Acting as a positive role model for youth, families, and peers.
4. Supporting the coalition's mission.
5. Attending coalition meetings which are held on a ***[ ]*** basis.
6. Participating on at least one subcommittee.
7. Attending coalition sponsored trainings, town hall meetings, and other community events.
8. Contributing to the strategic action planning process.

9. Participating in sustaining the coalition's capacity, involvement, and goals.
10. Preventing youth substance use through environmental strategies.
11. Using his/her activities as match, if applicable.
12. Other(s), etc.

_____	_____
Official Coalition Representative's Name	Sector Representative's Name
_____	_____
Official Coalition Representative's Signature	Sector Representative's Signature
_____/___/_____	_____/___/_____
Title Date	Title Date

NOTE: All forms cannot be more than 12 months old (March 2017 – March 29, 2018) at the time of application and require handwritten signatures and dates or they will be screened out and not move forward to peer review.

Coalition Involvement Agreement (CIA)

Table 21: CIA Information Table

Sector	Member Name	Organization Name	Rationale for Selection
Media			
Media: A representative of a communication outlet that provides information to the community.			

This agreement between [*Coalition name*] and the Media Representative, [*Name of sector representative*] shall be from [*Month/Date/Year*] until terminated by a mutual accord. This agreement will be reevaluated by both parties on a yearly basis.

NOTE: Any items listed below should be unique to the sector representatives and/or the affiliated organization.

[*Coalition name*] will be responsible for:

1. Creating and following by-laws and policies.
2. Formulating coalition goals and objectives.
3. Overseeing operations of activities, programs, and paid staff.
4. Increasing new membership of the coalition.
5. Creating and following a strategic 12-Month Action Plan.
6. Creating a credible and relevant sustainability plan which includes volunteer membership and resources, both financial and material.
7. Respecting the rights of [Coalition name] members to hold their own opinions and beliefs.
8. Other(s), etc.

The Media Representative, [*Name of sector representative*], will be responsible for:

1. Being a community leader amongst the represented sector.
2. Ensuring clear communication between the sector represented and the coalition.
3. Acting as a positive role model for youth, families, and peers.
4. Supporting the coalition's mission.
5. Attending coalition meetings which are held on a ***[ ]*** basis.
6. Participating on at least one subcommittee.
7. Attending coalition sponsored trainings, town hall meetings, and other community events.
8. Contributing to the strategic action planning process.

9. Participating in sustaining the coalition's capacity, involvement, and goals.
10. Preventing youth substance use through environmental strategies.
11. Using his/her activities as match, if applicable.
12. Other(s), etc.

_____	_____
Official Coalition Representative's Name	Sector Representative's Name
_____	_____
Official Coalition Representative's Signature	Sector Representative's Signature
_____/___/_____	_____/___/_____
Title Date	Title Date

NOTE: All forms cannot be more than 12 months old (March 2017 – March 29, 2018) at the time of application and require handwritten signatures and dates or they will be screened out and not move forward to peer review.

Coalition Involvement Agreement (CIA)

Table 21: CIA Information Table

Sector	Member Name	Organization Name	Rationale for Selection
School			
School: A representative of the school system with influence in school policies and procedures.			

This agreement between [*Coalition name*] and the School Representative, [*Name of sector representative*] shall be from [*Month/Date/Year*] until terminated by a mutual accord. This agreement will be reevaluated by both parties on a yearly basis.

NOTE: Any items listed below should be unique to the sector representatives and/or the affiliated organization.

[*Coalition name*] will be responsible for:

1. Creating and following by-laws and policies.
2. Formulating coalition goals and objectives.
3. Overseeing operations of activities, programs, and paid staff.
4. Increasing new membership of the coalition.
5. Creating and following a strategic 12-Month Action Plan.
6. Creating a credible and relevant sustainability plan which includes volunteer membership and resources, both financial and material.
7. Respecting the rights of [Coalition name] members to hold their own opinions and beliefs.
8. Other(s), etc.

The School Representative, [*Name of sector representative*], will be responsible for:

1. Being a community leader amongst the represented sector.
2. Ensuring clear communication between the sector represented and the coalition.
3. Acting as a positive role model for youth, families, and peers.
4. Supporting the coalition's mission.
5. Attending coalition meetings which are held on a ***[ ]*** basis.
6. Participating on at least one subcommittee.
7. Attending coalition sponsored trainings, town hall meetings, and other community events.
8. Contributing to the strategic action planning process.

9. Participating in sustaining the coalition's capacity, involvement, and goals.
10. Preventing youth substance use through environmental strategies.
11. Using his/her activities as match, if applicable.
12. Other(s), etc.

_____	_____
Official Coalition Representative's Name	Sector Representative's Name
_____	_____
Official Coalition Representative's Signature	Sector Representative's Signature
_____/___/_____	_____/___/_____
Title Date	Title Date

NOTE: All forms cannot be more than 12 months old (March 2017 – March 29, 2018) at the time of application and require handwritten signatures and dates or they will be screened out and not move forward to peer review.

Coalition Involvement Agreement (CIA)

Table 21: CIA Information Table

Sector	Member Name	Organization Name	Rationale for Selection
Youth Serving Organization			
Youth Serving Organization: A representative of an organization that provides services to youth.			

This agreement between [*Coalition name*] and the Youth Serving Organization Representative, [*Name of sector representative*] shall be from [*Month/Date/Year*] until terminated by a mutual accord. This agreement will be reevaluated by both parties on a yearly basis.

NOTE: Any items listed below should be unique to the sector representatives and/or the affiliated organization.

[*Coalition name*] will be responsible for:

1. Creating and following by-laws and policies.
2. Formulating coalition goals and objectives.
3. Overseeing operations of activities, programs, and paid staff.
4. Increasing new membership of the coalition.
5. Creating and following a strategic 12-Month Action Plan.
6. Creating a credible and relevant sustainability plan which includes volunteer membership and resources, both financial and material.
7. Respecting the rights of [Coalition name] members to hold their own opinions and beliefs.
8. Other(s), etc.

The Youth Serving Organization Representative, [*Name of sector representative*], will be responsible for:

1. Being a community leader amongst the represented sector.
2. Ensuring clear communication between the sector represented and the coalition.
3. Acting as a positive role model for youth, families, and peers.
4. Supporting the coalition's mission.
5. Attending coalition meetings which are held on a ***[ ]*** basis.
6. Participating on at least one subcommittee.
7. Attending coalition sponsored trainings, town hall meetings, and other community events.

8. Contributing to the strategic action planning process.
9. Participating in sustaining the coalition's capacity, involvement, and goals.
10. Preventing youth substance use through environmental strategies.
11. Using his/her activities as match, if applicable.
12. Other(s), etc.

_____	_____
Official Coalition Representative's Name	Sector Representative's Name
_____	_____
Official Coalition Representative's Signature	Sector Representative's Signature
_____/___/_____	_____/___/_____
Title Date	Title Date

NOTE: All forms cannot be more than 12 months old (March 2017 – March 29, 2018) at the time of application and require handwritten signatures and dates or they will be screened out and not move forward to peer review.

Coalition Involvement Agreement (CIA)

Table 21: CIA Information Table

Sector	Member Name	Organization Name	Rationale for Selection
Law Enforcement			
Law Enforcement: A representative of a law enforcement agency. The representative must be an active sworn law enforcement officer, not retired.			

This agreement between [*Coalition name*] and the Law Enforcement Representative, [*Name of sector representative*] shall be from [*Month/Date/Year*] until terminated by a mutual accord. This agreement will be reevaluated by both parties on a yearly basis.

NOTE: Any items listed below should be unique to the sector representatives and/or the affiliated organization.

[*Coalition name*] will be responsible for:

1. Creating and following by-laws and policies.
2. Formulating coalition goals and objectives.
3. Overseeing operations of activities, programs, and paid staff.
4. Increasing new membership of the coalition.
5. Creating and following a strategic 12-Month Action Plan.
6. Creating a credible and relevant sustainability plan which includes volunteer membership and resources, both financial and material.
7. Respecting the rights of [Coalition name] members to hold their own opinions and beliefs.
8. Other(s), etc.

The Law Enforcement Representative, [*Name of sector representative*], will be responsible for:

1. Being a community leader amongst the represented sector.
2. Ensuring clear communication between the sector represented and the coalition.
3. Acting as a positive role model for youth, families, and peers.
4. Supporting the coalition's mission.
5. Attending coalition meetings which are held on a ***[ ]*** basis.
6. Participating on at least one subcommittee.
7. Attending coalition sponsored trainings, town hall meetings, and other community events.
8. Contributing to the strategic action planning process.

9. Participating in sustaining the coalition's capacity, involvement, and goals.
10. Preventing youth substance use through environmental strategies.
11. Using his/her activities as match, if applicable.
12. Other(s), etc.

_____	_____
Official Coalition Representative's Name	Sector Representative's Name
_____	_____
Official Coalition Representative's Signature	Sector Representative's Signature
_____/___/_____	_____/___/_____
Title Date	Title Date

NOTE: All forms cannot be more than 12 months old (March 2017 – March 29, 2018) at the time of application and require handwritten signatures and dates or they will be screened out and not move forward to peer review.

Coalition Involvement Agreement (CIA)

Table 21: CIA Information Table

Sector	Member Name	Organization Name	Rationale for Selection
Civic/Volunteer Organization			
Civic/Volunteer Group: A representative of an organization that provides civic or volunteer activities that serves the community (not a coalition member). Examples include Lions Clubs, Rotary Clubs, etc.			

This agreement between [*Coalition name*] and the Civic/Volunteer Organization, [*Name of sector representative*] shall be from [*Month/Date/Year*] until terminated by a mutual accord. This agreement will be reevaluated by both parties on a yearly basis.

NOTE: Any items listed below should be unique to the sector representatives and/or the affiliated organization.

[*Coalition name*] will be responsible for:

1. Creating and following by-laws and policies.
2. Formulating coalition goals and objectives.
3. Overseeing operations of activities, programs, and paid staff.
4. Increasing new membership of the coalition.
5. Creating and following a strategic 12-Month Action Plan.
6. Creating a credible and relevant sustainability plan which includes volunteer membership and resources, both financial and material.
7. Respecting the rights of [Coalition name] members to hold their own opinions and beliefs.
8. Other(s), etc.

The Civic/Volunteer Organization Representative, [*Name of sector representative*], will be responsible for:

1. Being a community leader amongst the represented sector.
2. Ensuring clear communication between the sector represented and the coalition.
3. Acting as a positive role model for youth, families, and peers.
4. Supporting the coalition's mission.
5. Attending coalition meetings which are held on a ***[ ]*** basis.
6. Participating on at least one subcommittee.

7. Attending coalition sponsored trainings, town hall meetings, and other community events.
8. Contributing to the strategic action planning process.
9. Participating in sustaining the coalition's capacity, involvement, and goals.
10. Preventing youth substance use through environmental strategies.
11. Using his/her activities as match, if applicable.
12. Other(s), etc.

_____	_____
Official Coalition Representative's Name	Sector Representative's Name
_____	_____
Official Coalition Representative's Signature	Sector Representative's Signature
_____/___/_____	_____/___/_____
Title Date	Title Date

NOTE: All forms cannot be more than 12 months old (March 2017 – March 29, 2018) at the time of application and require handwritten signatures and dates or they will be screened out and not move forward to peer review.

Coalition Involvement Agreement (CIA)

Table 21: CIA Information Table

Sector	Member Name	Organization Name	Rationale for Selection
Religious/Fraternal Organization			
Religious/Fraternal Organization: A representative of a faith-based organization or representative from a fraternal organization that is based on a common tie or pursuit of a common goal. The organization must have a substantial program of fraternal activities.			

This agreement between [*Coalition name*] and the Religious/Fraternal Organization Representative, [*Name of sector representative*] shall be from [*Month/Date/Year*] until terminated by a mutual accord. This agreement will be reevaluated by both parties on a yearly basis.

NOTE: Any items listed below should be unique to the sector representatives and/or the affiliated organization.

[*Coalition name*] will be responsible for:

1. Creating and following by-laws and policies.
2. Formulating coalition goals and objectives.
3. Overseeing operations of activities, programs, and paid staff.
4. Increasing new membership of the coalition.
5. Creating and following a strategic 12-Month Action Plan.
6. Creating a credible and relevant sustainability plan which includes volunteer membership and resources, both financial and material.
7. Respecting the rights of [Coalition name] members to hold their own opinions and beliefs.
8. Other(s), etc.

The Religious/Fraternal Organization Representative, [*Name of sector representative*], will be responsible for:

1. Being a community leader amongst the represented sector.
2. Ensuring clear communication between the sector represented and the coalition.
3. Acting as a positive role model for youth, families, and peers.
4. Supporting the coalition's mission.
5. Attending coalition meetings which are held on a ***[ ]*** basis.
6. Participating on at least one subcommittee.

7. Attending coalition sponsored trainings, town hall meetings, and other community events.
8. Contributing to the strategic action planning process.
9. Participating in sustaining the coalition's capacity, involvement, and goals.
10. Preventing youth substance use through environmental strategies.
11. Using his/her activities as match, if applicable.
12. Other(s), etc.

_____	_____
Official Coalition Representative's Name	Sector Representative's Name
_____	_____
Official Coalition Representative's Signature	Sector Representative's Signature
_____/___/_____	_____/___/_____
Title Date	Title Date

NOTE: All forms cannot be more than 12 months old (March 2017 – March 29, 2018) at the time of application and require handwritten signatures and dates or they will be screened out and not move forward to peer review.

Coalition Involvement Agreement (CIA)

Table 21: CIA Information Table

Sector	Member Name	Organization Name	Rationale for Selection
Healthcare Professional			
Healthcare Professional: An individual and/or organization licensed to provide physical, mental, or behavioral healthcare services.			

This agreement between [*Coalition name*] and the Healthcare Professional Representative, [*Name of sector representative*] shall be from [*Month/Date/Year*] until terminated by a mutual accord. This agreement will be reevaluated by both parties on a yearly basis.

NOTE: Any items listed below should be unique to the sector representatives and/or the affiliated organization.

[*Coalition name*] will be responsible for:

1. Creating and following by-laws and policies.
2. Formulating coalition goals and objectives.
3. Overseeing operations of activities, programs, and paid staff.
4. Increasing new membership of the coalition.
5. Creating and following a strategic 12-Month Action Plan.
6. Creating a credible and relevant sustainability plan which includes volunteer membership and resources, both financial and material.
7. Respecting the rights of [Coalition name] members to hold their own opinions and beliefs.
8. Other(s), etc.

The Healthcare Professional Representative, [*Name of sector representative*], will be responsible for:

1. Being a community leader amongst the represented sector.
2. Ensuring clear communication between the sector represented and the coalition.
3. Acting as a positive role model for youth, families, and peers.
4. Supporting the coalition's mission.
5. Attending coalition meetings which are held on a ***[ ]*** basis.
6. Participating on at least one subcommittee.
7. Attending coalition sponsored trainings, town hall meetings, and other community events.
8. Contributing to the strategic action planning process.

9. Participating in sustaining the coalition's capacity, involvement, and goals.
10. Preventing youth substance use through environmental strategies.
11. Using his/her activities as match, if applicable.
12. Other(s), etc.

_____	_____
Official Coalition Representative's Name	Sector Representative's Name
_____	_____
Official Coalition Representative's Signature	Sector Representative's Signature
_____/___/_____	_____/___/_____
Title Date	Title Date

NOTE: All forms cannot be more than 12 months old (March 2017 – March 29, 2018) at the time of application and require handwritten signatures and dates or they will be screened out and not move forward to peer review.

Coalition Involvement Agreement (CIA)

Table 21: CIA Information Table

Sector	Member Name	Organization Name	Rationale for Selection
State/Local/Tribal Government			
State/Local/Tribal Government: A representative of a government-funded agency with a focus on substance abuse.			

This agreement between [*Coalition name*] and the State/Local/Tribal Government, [*Name of sector representative*] shall be from [*Month/Date/Year*] until terminated by a mutual accord. This agreement will be reevaluated by both parties on a yearly basis.

NOTE: Any items listed below should be unique to the sector representatives and/or the affiliated organization.

[*Coalition name*] will be responsible for:

1. Creating and following by-laws and policies.
2. Formulating coalition goals and objectives.
3. Overseeing operations of activities, programs, and paid staff.
4. Increasing new membership of the coalition.
5. Creating and following a strategic 12-Month Action Plan.
6. Creating a credible and relevant sustainability plan which includes volunteer membership and resources, both financial and material.
7. Respecting the rights of [Coalition name] members to hold their own opinions and beliefs.
8. Other(s), etc.

The State/Local/Tribal Government Representative, [*Name of sector representative*], will be responsible for:

1. Being a community leader amongst the represented sector.
2. Ensuring clear communication between the sector represented and the coalition.
3. Acting as a positive role model for youth, families, and peers.
4. Supporting the coalition's mission.
5. Attending coalition meetings which are held on a ***[ ]*** basis.
6. Participating on at least one subcommittee.
7. Attending coalition sponsored trainings, town hall meetings, and other community events.

8. Contributing to the strategic action planning process.
9. Participating in sustaining the coalition's capacity, involvement, and goals.
10. Preventing youth substance use through environmental strategies.
11. Using his/her activities as match, if applicable.
12. Other(s), etc.

_____	_____
Official Coalition Representative's Name	Sector Representative's Name
_____	_____
Official Coalition Representative's Signature	Sector Representative's Signature
_____/___/_____	_____/___/_____
Title Date	Title Date

NOTE: All forms cannot be more than 12 months old (March 2017 – March 29, 2018) at the time of application and require handwritten signatures and dates or they will be screened out and not move forward to peer review.

Coalition Involvement Agreement (CIA)

Table 21: CIA Information Table

Sector	Member Name	Organization Name	Rationale for Selection
Other Organization Involved in Reducing Substance Abuse			
Other Organization Involved in Reducing Substance Abuse: A representative of a community organization that addresses substance abuse.			

This agreement between [*Coalition name*] and the Other Organization Involved in Reducing Substance Abuse, [*Name of sector representative*] shall be from [*Month/Date/Year*] until terminated by a mutual accord. This agreement will be reevaluated by both parties on a yearly basis.

NOTE: Any items listed below should be unique to the sector representatives and/or the affiliated organization.

[*Coalition name*] will be responsible for:

1. Creating and following by-laws and policies.
2. Formulating coalition goals and objectives.
3. Overseeing operations of activities, programs, and paid staff.
4. Increasing new membership of the coalition.
5. Creating and following a strategic 12-Month Action Plan.
6. Creating a credible and relevant sustainability plan which includes volunteer membership and resources, both financial and material.
7. Respecting the rights of [Coalition name] members to hold their own opinions and beliefs.
8. Other(s), etc.

The Other Organization Involved in Reducing Substance Abuse Representative, [*Name of sector representative*], will be responsible for:

1. Being a community leader amongst the represented sector.
2. Ensuring clear communication between the sector represented and the coalition.
3. Acting as a positive role model for youth, families, and peers.
4. Supporting the coalition's mission.
5. Attending coalition meetings which are held on a ***[ ]*** basis.
6. Participating on at least one subcommittee.

7. Attending coalition sponsored trainings, town hall meetings, and other community events.
8. Contributing to the strategic action planning process.
9. Participating in sustaining the coalition's capacity, involvement, and goals.
10. Preventing youth substance use through environmental strategies.
11. Using his/her activities as match, if applicable.
12. Other(s), etc.

_____	_____
Official Coalition Representative's Name	Sector Representative's Name
_____	_____
Official Coalition Representative's Signature	Sector Representative's Signature
_____/___/_____	_____/___/_____
Title Date	Title Date

NOTE: All forms cannot be more than 12 months old (March 2017 – March 29, 2018) at the time of application and require handwritten signatures and dates or they will be screened out and not move forward to peer review.

Appendix H – Assurance of Legal Eligibility

As Attachment 3, attach either Appendix H or Appendix I. To determine if you are required to submit Appendix H or Appendix I, use the two questions identified below:

1. Is the coalition serving as its own legal grant award recipient? Yes [ ] No [ ]
2. Is the coalition's name listed in Item #8 on the SF-424 of this application? Yes [ ] No [ ]

If the answer to **any** of these questions is "**no**", then the coalition **must** enter into a relationship with an entity eligible to receive federal funds and submit a **Memorandum of Understanding (MOU)** (see Appendix I) and include as **Attachment 3**.

If the answer to **both** question is '**yes'**, then the coalition is applying for this grant on its own behalf (as the Legal Applicant eligible to receive Federal funding), use Appendix H. The applicant coalition **must** sign and date the Statement of Legal Eligibility below and **include as Attachment 3**.

PLEASE NOTE: Although your coalition may exist within another organization that is eligible to receive Federal funding, a Memorandum of Understanding will be required. If the coalition's name does not appear on Line #8 of the submitted SF-424 with the corresponding Employer/Taxpayer Identification Number (EIN/TIN), then a Memorandum of Understanding **must** be submitted as part of the coalition's application. Not doing so, will deem your application statutorily ineligible and **will not** move forward to peer review.

Statement of Legal Eligibility

I, ***[Coalition Representative]*** hereby certify that ***[Coalition Name]*** is legally eligible to receive federal funding.

_____
Official Coalition Representative's Name

_____
Official Coalition Representative's Signature

_____/ /____
Title Date

NOTE: All forms cannot be more than 12 months old (March 2017 – March 29, 2018) at the time of application and require handwritten signatures and dates or they will be screened out and not move forward to peer review.

Appendix I – Memorandum of Understanding between Grant Award Recipient and Coalition

As Attachment 3, attach either Appendix H or Appendix I. Use Appendix H if the coalition is applying for this grant on its own behalf. Use Appendix I if the coalition is partnering with an outside agency as its grant award recipient/legal applicant. The outside agency cannot be a currently funded DFC grant recipient. The signatures on the Memorandum of Understanding (MOU) **must** include that of the grant recipient/legal applicant and the coalition. The date **must** not be older than 12 months at the time of application. A sample MOU is provided on the following page. The MOU submitted in the application should reflect the working relationship between the grant recipient/legal applicant and the coalition. Below are considerations when developing a relationship with an outside partnering agency serving as the grant recipient/legal applicant on behalf of a community coalition:

1. Through the Drug-Free Communities Act of 1997, it is the intent of Congress to fund the work of community coalitions addressing youth substance use. While it is allowable for the recipient to retain a portion for administration of the DFC grant, DFC funds are not meant to substantially supplement the budget of a partnering agency. DFC funds are specifically intended to support the work of the community-based coalition.
2. It is the intent of the DFC Support Program that a coalition's volunteer leadership has a management role in all financial decisions related to a DFC grant applied for on their behalf by a partnering organization.
3. The recipient and coalition may want to seek professional guidance such as an attorney and/or accountant when entering into such an agreement. Both the recipient and coalition should be fully aware of and understand the commitment in which they plan to enter.

Accounting Requirements

Another consideration for applicants of this grant is the administration of accounts receivable and payable. In accordance with OMB Circular A-110, a federal grant recipient must be capable of accounting for the expenditure of federal funds. Upon award of grant funds, the grant recipient is subject to a Financial Capability Review. The review typically includes an examination of financial statements, including those contained in reports issued to stockholders, lending institutions, and SEC filings; cash flow forecasts; loan agreements and evidence showing compliance with these agreements; aging of accounts receivable and payable; and financial history of the grant recipient and affiliated concerns. Details discussed in this circular should be reviewed by the grant recipient/legal applicant.

For further assistance on understanding issues regarding the grant recipient's role, responsibilities, or expectations, contact SAMHSA's Division of Grants Management at 240- 276-1400.

Sample Memorandum of Understanding between Grant Award Recipient/Legal Applicant and Coalition Sample

This agreement between [Grant Award Recipient/Legal Applicant] and [Coalition name] shall be from [Month/Date/Year] until terminated by mutual agreement:

RESPONSIBILITIES OF THE COALITION:

a. Set policy for and oversee its own programs including goals and objectives in alignment with the DFC Support Program's Terms and Conditions.
b. Participate, advise, and/or direct staff and volunteers, set goals and objectives for contract employees, and negotiate and make recommendations for contracts in collaboration with the grant recipient/legal applicant.
c. Create, approve, and partner in the management of the DFC budget in compliance with grant requirements.
d. Provide copies of all required documents to the grant recipient/legal applicant as requested.
e. Reimburse grant recipient/legal applicant for any indirect or direct expenses incurred by the coalition with prior approval.
f. Be solely responsible for liabilities arising out of its program and its interaction with program participants.
g. Other. . .

RESPONSIBILITIES OF THE LEGAL APPLICANT/GRANT RECIPIENT:

a. Provide the coalition staff with office space.
b. Compile financial reports on a mutually agreed upon schedule and provide to coalition.
c. Provide accounting services to prepare and distribute payroll, pay invoices, prepare and submit the appropriate forms for employment, wages and payroll taxes on behalf of the coalition.
d. Negotiate and/or bid and approve contracts in collaboration with the coalition.
e. Maintain all records pertaining to costs and expenses to reflect costs of labor, materials, equipment, supplies, services, and other costs and expenses when reimbursement is claimed or payment is made and share such information with the coalition.
f. Obtain Workman's Compensation Insurance and liability coverage for the coalition's employee.
g. Other. . .

[Grant Award Recipient/Legal Applicant] and [Coalition name] mutually agree to abide by all applicable federal and state anti-discrimination statutes, regulations, policies, and procedures. This agreement shall be subject to all applicable provisions of state and federal law and regulations related to the delivery and funding of grant activities.

_____ _____

Official Coalition Representative's Name Grant Award Recipient/Legal Applicant's Name

Official Coalition Representative's Signature	Grant Award Recipient/Legal Applicant's Signature
Title / / Date	Title / / Date

NOTE: All forms cannot be more than 12 month old (March 2017 – March 29, 2018) at the time of the application and require handwritten signatures and dates or they will be screened out and not move forward to peer review.

Appendix J – Assurance of One DFC Grant at a Time

As Attachment 5, the grant recipient/legal applicant should read the statement below and sign and date this document to assure that it will not hold more than one DFC grant at any time during the FY 2018-2023 funding cycle.

NOTE: DFC Mentoring and Sober Truth on Preventing Underage Drinking (STOP ACT) grants are in a separate category and do not apply to this assurance.

Applicant Assurance of One DFC Grant at a Time

I attest that the **[Legal Applicant/Grant Recipient]** will be in receipt of only one DFC grant during the 2018 – 2023 funding cycle.

_____
Authorized Official's Name for the
Legal Applicant/Grant Recipient

_____
Authorized Official's Signature for
The Legal Applicant/Grant Recipient

_____
Title

_____
Organization/Agency

_____
Date

NOTE: All forms cannot be more than 12 months old (March 2017 – March 29, 2018) at the time of the application and require handwritten signatures and dates or they will be screened out and not move forward to peer review.

Appendix K – Assurance of DFC 10-Year Funding Limit

Under the DFC Act, a coalition **may not** receive more than 10-years of DFC funding. A legal applicant/grant recipient may receive DFC funds on behalf of a coalition if that coalition has not received a full 10 years of funding.

Attachment 6 requires the legal applicant/grant recipient and the Official Coalition Representative (i.e. Key Personnel, Executive Board Member) to read, sign, and date this document to assure the coalition has not already received 10-years of DFC funding. Under all situations, a coalition **may not** receive more than 10 years of DFC funding.

Specific restrictions on DFC legal applicant/grant award recipients and coalitions are outlined below.

I. Restrictions on legal applicant/grant award recipient:

1. A legal applicant/grant recipient may be the grant recipient agency for only one DFC coalition at a time.
2. An organization serving as the legal/applicant/grant recipient **may not** receive DFC funds on behalf of a coalition that has had 10 years of DFC funding.
3. A legal applicant/grant recipient that has already received 10-years of DFC funding may apply for DFC funds on behalf of a coalition that has had less than 10 years of funding.
4. A legal applicant/grant recipient that has already received 10-years of DFC grant funding on behalf of a coalition may apply for DFC funds on behalf of any coalition that is considered to be "new" that is unique and distinct from a coalition that has already received 10-years of DFC funding.

II. Restrictions on 501(c)(3) coalitions:

1. A coalition that is its own legal applicant/grant recipient (i.e. 501(c) (3)) may receive no more than 10-years of DFC funding. A coalition that has received 10-years of DFC funding (through one or more legal applicant/grant award recipients) may not receive further DFC funding.
2. In order to apply for DFC funding a coalition must prove that it is a completely different coalition (from the one previously funded with DFC grant funds). It **must** provide evidence within the application, to the satisfaction of the DFC grant review officials, that it is in fact new, unique, and distinct from any previously DFC funded coalition. New coalition factors include:

    a. The proposed new, unique, and distinct coalition **must** be made up of different leadership and sector representatives from the community.
    b. The proposed new, unique, and distinct coalition **must** have a different 12-Month Action Plan responding to a newly identified community needs assessment.
    c. The proposed new, unique, and distinct coalition **must** have a new name and mission statement.

d. 12-Month Action Plan from the originally funded coalition **may not** be repurposed, reorganized, and/or renamed in order to receive funds through the DFC Program as a new, unique, and distinct coalition.

3. If additional information is indicated to determine your coalition status as a new, unique, and distinct coalition, the Business Official will be notified that additional information will be required.

All applications will be thoroughly reviewed to ensure compliance with the 10-Year Funding Limit. It is important that all applicants understand that providing false or misleading information is unlawful and subject to criminal penalties, 18 USC1001.

I attest that [***Coalition Name***] is in compliance with the 10-Year Funding Limit Policy. **I also attest that the information provided on this form is true and correct. I understand that providing false or misleading information is unlawful and subject to criminal penalties, 18 USC1001.**

_____	_____
Name of Authorized Official of Legal Applicant/Grant Recipient	Name of Official Coalition Representative
_____	_____
Signature of Authorized Official	Signature of Official Coalition Representative
_____	_____
Title	Title
_____	_____
Organization/Agency	Organization/Agency
_____	_____
Date	Date

NOTE: All forms cannot be more than 12 months old (March 2017 – March 29, 2018) at the time of application and require handwritten signatures and dates or they will be screened out and not move forward to peer review.

Appendix L – Key Personnel Resumes, CV's, and Position Descriptions

As Attachment 7, applicants **must** include a resume (no longer than two pages) and a position description (no longer than one page) for the Program Director/Principal Investigator (PD/PI) and Project Coordinator (key personnel). If key personnel has been selected but not yet hired, include a position description and a letter of commitment from that individual along with a resume. If no individual has been identified, a position description is still required, along with a brief hiring plan and related timeframe.

In lieu of a resume, existing curricula vitae of project staff members may be used if they are updated and contain all items of information requested below in the most suitable format:

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

Position Description

1. Title of position (Program Director/Principal Investigator (PD/PI) and Project Coordinator)
2. Description of duties and responsibilities
3. Qualifications required for the position
4. Skills and knowledge required for the position
5. Amount of travel
6. Salary range
7. Full time/part time/monthly/weekly (hours per day)

Appendix M – General Applicant Information

As Attachment 8, complete this table (2 pages) with the required information.

Table 22: General Applicant Information

Information Required	Response
1. Program Director/Principal Investigator (PD/PI) Name (individual who provides daily oversight of the grant, including fiscal and personnel management, community relations, implementation, and evaluation)	
2. Program Director/Principal Investigator (PD/PI) Address **(No P.O. Boxes)**	
3. Program Director/Principal Investigator (PD/PI) Phone Number	
4. Program Director/Principal Investigator (PD/PI) Fax Number	
5. Program Director/Principal Investigator (PD/PI) E-Mail Address	
6. Project Coordinator Name (individual who coordinates the work of the coalition and DFC activities, including training, coalition communication, data collection, and information dissemination)	
7. Project Coordinator Physical Mailing Address **(No P.O. Boxes)**	
8. Project Coordinator Phone Number	
9. Project Coordinator Fax Number	
10. Project Coordinator E-mail address	
11. Evaluator Name **(Note: An Evaluator is not required under the DFC grant program. If not applicable, please state 'NA'.)**	
12. Evaluator Physical Mailing Address **(No P.O. Boxes)**	
13. Evaluator Phone Number	
14. Evaluator Fax Number	
15. Evaluator e-mail address	
16. Identify Federal Congressional District *of* the DFC-funded Coalition. Go to http://www.house.gov for more information.	

Information Required	Response
17. List Federal Congressional Districts *served* by coalition. Go to http://www.house.gov for more information. (Item 16 on SF-424)	
18. Geographical boundaries served by the coalition (e.g., city, county, streets, township, pueblo, reservations, villages, etc.)	
19. List all zip codes served by the coalition. Go to: https://tools.usps.com/go/ZipLookupAction!input.action	
20. Approximate total population served by the coalition	
21. Coalition **must** identify service area as "rural", "urban", and/or "suburban". **Applicants must choose only one response.**	
22. Is the area the coalition serves "Economically disadvantaged"? Indicate **yes or no.**	
23. Does the coalition serve a federally recognized tribal area? Indicate 'yes' or 'no'. If yes, applicant **must** provide the name of tribe.	
24. Does the coalition serve tribal members? Indicate Yes or No.	
25. Does the coalition serve a Historically Black College and University (HBCU)? Indicate Yes or No	
26. Does the coalition have representation that includes at least one representative of the Bureau of Indian Affairs, the Indian Health Service, or a tribal government agency with expertise in the field of substance abuse? Indicate yes or no. If yes, applicant **must** identify the representative's name and organizational entity.	
27. Is the applicant a religious or faith-based organization? Indicate yes or no.	
28. Was the coalition included in a DFC Mentoring grant? Indicate yes or no. If yes, provide Mentoring Grant's Award Number (SP0-xxxxx).	
29. Provide the date you registered in the SAM. **Note**: **Failure to have an active registration will make your application ineligible.**	
30. What are the demographics of the area being served by the coalition? (Caucasian, African American, Hispanic, Native American, etc.) **Please provide percentages.**	

Appendix N – Intergovernmental Review (E.O. 12372) Requirements

States with SPOCs

As Attachment 9, read this section and determine if this is a requirement for your state. This grant program is covered under Executive Order (EO) 12372, as implemented through Department of Health and Human Services (DHHS) regulation at 45 CFR Part 100. Under this Order, states may design their own processes for reviewing and commenting on proposed federal assistance under covered programs. Certain jurisdictions have elected to participate in the EO process and have established State Single Points of Contact (SPOCs). A current listing of SPOCs can be downloaded from the Office of Management and Budget (OMB) website at http://www.thecre.com/fedlaw/legal16/ispocs.htm.

- Check the list to determine whether your state participates in this program. You are not required to do this if you are an American Indian/Alaska Native tribe or tribal organization.
- If your state participates, contact your SPOC as early as possible to alert him/her to the prospective application(s) and to receive any necessary instructions on the state's review process.
- For proposed projects serving more than one state, you are advised to contact the SPOC of each affiliated state.
- The SPOC should send any state review process recommendations to the following address within 60 days of the application deadline. For United States Postal Service: Christopher Craft, Director of Grant Review, Office of Financial Resources, Substance Abuse and Mental Health Services Administration, 5600 Fishers Lane 17E06, Rockville, MD 20857. ATTN: SPOC – Funding Announcement No. SP-18-002.

States without SPOCs

If your state does not have a SPOC and you are a community-based, non-governmental service provider, you **must** submit a Public Health System Impact Statement (PHSIS) 2 to the head(s) of appropriate state and local health agencies in the area(s) to be affected no later than the application deadline. The PHSIS is intended to keep state and local health officials informed of proposed health services grant applications submitted by community-based, non-governmental organizations within their jurisdictions. If you are a state or local government or American Indian/Alaska Native tribe or tribal organization, you are not subject to these requirements.

The PHSIS consists of the following information:

- A copy of the face page of the application (SF-424); and

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

- A 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. A listing of the SSAs for substance abuse can be found on SAMHSA's website at https://www.samhsa.gov/grants/applying. If the proposed project falls within the jurisdiction of more than one state, you should notify all representative SSAs.

You **must** include a copy of a letter transmitting the PHSIS to the SSA in Attachment 9, "Letter to the SPOC." The letter **must** notify the state that if it wishes to comment on the proposal, its comments should be sent no later than 60 days after the application deadline to the following address. For United States Postal Service: Christopher Craft, Director of Grant Review, Office of Financial Resources, Substance Abuse and Mental Health Services Administration, 5600 Fishers Lane, 17E06, Rockville, MD 20857. ATTN: SSA – Funding Announcement No. SP-18-002.

In addition:

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

Appendix O – Disclosure of All Prior DFC Funding

As Attachment 10, indicate the status of the grant award recipient/legal applicant coalition or noncoalition entity by completing both the checklist and the table below. At the bottom sign and date the form. Do not include information about STOP ACT or DFC Mentoring grants on this form. Indicate your status with respect to DFC funds by checking the appropriate box below.

Coalition:

[ ] Coalition has had no prior DFC funding
[ ] Coalition applicant formerly funded through DFC

Legal applicant/grant recipient:

[ ] Legal applicant/grant recipient for a coalition that has had no prior DFC funding
[ ] Legal applicant/grant recipient for a coalition(s) funded through DFC for [ ] years

List in the table below all of the DFC funding ever received. Add as many rows as needed to include all required information.

Table 23: Disclosure of All Prior DFC Funding

Fiscal Year(s) of Funding	DFC Award Numbers(s) (for current and previous years)	Legal Applicant/Grant Award Recipient	Coalition Name	Names of Key Personnel (Program Director/Principal Investigator (PD/PI) and Project Coordinator)

By signing below, I attest that ***[organizational applicant name]*** is applying for Year ***[enter year number]*** of DFC funding. I also attest that the information provided in the above table is true and correct.

NOTE: All forms cannot be more than 12 months old (March 2017 – March 29, 2018) at the time of application and require handwritten signatures and dates or they will be screened out and not move forward to peer review. Providing false or misleading information is unlawful and subject to criminal penalties, 18 USC1001.

_____
Authorized Official for
Legal Applicant/Grant Recipient (Print)

_____
Official Coalition Representative (Print)

Authorized Official Signature for Legal Applicant/Grant Recipient	Signature for Official Coalition Representative
Title	Title
Organization/Agency	Organization/Agency
Date	Date

Appendix P – Sample Congressional Notification

As Attachment 11, applicants **must** follow the exact format below and include the completed Congressional Notification. The Project Description for the Congressional Notification **must not** exceed 35 lines nor exceed more than one page. If the application is funded this information will be shared with members of Congress and the media, and may be posted to the DFC website.

Grant Award SPO# (if applicable)
Coalition Name:
Grant Recipient Organization:
Coalition Community:
Grant Recipient Contact Name:
Grant Recipient Contact Mailing Address:
Grant Recipient Contact E-Mail Address:
Grant Recipient Contact Phone:

Coalition Contact Name:
Coalition Contact Mailing Address:
Coalition Contact E-Mail Address:
Coalition Contact Phone:

[Name of State]
Serving Federal Congressional District(s): [ ]
Coalition Located in Federal Congressional District: [ ]

Project Description

The *[Coalition Name]* was awarded a FY 2018 Drug-Free Communities Support Program grant in the amount of $ [fill in amount requested] by the White House Office of National Drug Control Policy, in cooperation with the Substance Abuse and Mental Health Services Administration. The Coalition serves *[Community/Town]*, *[State]*, a community of [total population]. The goals of the coalition are to establish and strengthen community collaboration in support of local efforts to prevent youth substance use. The coalition will achieve its goals by implementing these strategies *[Provide a one-sentence description on your strategies. Coalitions may also provide a description of special efforts, initiatives, and/or approaches (i.e. drugged driving, opioid prevention, etc.)]:*

Appendix Q – Pre-Submission Verification Checklist

Use the checklist below to ensure that the application meets all submission requirements. **NOTE:** This checklist is not the same as the required HHS Checklist found in the Grant Application Package.

Table 24: Pre-Submission Verification

Items to Complete	"X" if Completed
1. Did you complete and sign the Application for Federal Assistance Form (SF-424)?	
2. Did you complete Sections B, C, and E of the Non-Construction Budget Worksheet (SF-424A)?	
3. Did you include a Table of Contents and number it page one?	
4. Did you include a Community Overview after the Table of Contents (page two)?	
5. Is your Project Narrative (scored section) at a minimum 10 pages and no longer than 15 pages?	
6. Does your Project Narrative address all **five** FY 2018 FOA questions in Section 5.3?	
7. Did you include the 12-Month Action Plan per Section 5.3 (Question 3)?	
8. Is a 12-Month Budget Narrative and future years funding table included?	
9. Did you include a lease agreement and floor plan for proposed cost for Rent, if applicable?	
10. Did you include an Indirect Cost Rate Agreement for proposed indirect cost, if applicable?	
11. Did you demonstrate that your coalition will meet the matching fund requirements (Budget Narrative, SF-424, and SF-424A)?	
12. Did you meet all Statutory Eligibility Requirements (see Table 1 of this FOA)?	
13. In Attachment 1, did you include one completed CIA for **each** of the 12 sector members (see Appendix G; including Table 21 on each CIA)?	
14. In Attachment 2, did you provide one set of coalition meeting minutes that took place between March 2017 and March 29, 2018?	
15. In Attachment 3, did you include an Assurance of Legal Eligibility or a Memorandum of Understanding between Grant Award Recipients/Legal Applicant and Coalition (see Appendix H or Appendix I)?	
16. In Attachment 4, did you include Letter(s) of Mutual Cooperation, with other coalition(s) that are serving a same zip code or partial zip code area as the applicant coalition or a statement that there is no overlap?	
17. In Attachment 5, did you include the Assurance of One DFC Grant at a Time (see Appendix J)?	
18. In Attachment 6, did you include Assurance of DFC 10-Year Funding Limit (see Appendix K)?	
19. In Attachment 7, did you include the required Program Director/Principal Investigator (PD/PI) and Project Coordinator Resumes, CV's and Position Descriptions (see Appendix L)?	
20. In Attachment 8, did you include the completed General Applicant Information **Table 22** (see Appendix M)?	

21. In Attachment 9, did you include a copy of the letter to the SPOC (see Appendix N)?	
22. In Attachment 10, did you include the Disclosure of All Prior DFC Funding (see Appendix O)?	
23. In Attachment 11 did you include the Congressional Notification (see Appendix P)?	
24. Did you include the Certifications and other forms, i.e., HHS 690, etc.	
25. Did you include the Checklist found in the Grant Application Package as the next-to-last page of the application?	
26. Is this completed Pre-Submission Verification Checklist the last page of the application (see Appendix Q)?	

Appendix R – Application Scoring Criteria

Applications will be screened jointly by ONDCP and SAMHSA to determine whether they meet all Statutory Eligibility Requirements as outlined in this FOA. Applications that meet all Statutory Eligibility Requirements will then be peer reviewed and scored by an Independent Review Group (IRG).

The IRG will score **each element** for questions 1-5 (in Section V) using the following criteria and definitions of each descriptor. In the event an applicant cannot respond to a specific letter, the applicant **must** explain why they are unable to respond and offer a possible solution. The Project Narrative will be scored by how well each of the element is answered.

Outstanding: The applicant organization explicitly addresses the element by providing comprehensive descriptions and thorough details. Relevant examples and data are included to support the information presented. The applicant organization demonstrates a strong, and informed understanding of the topic and the level of detail provided reinforces each response. The applicant organization effectively describes how the project will be implemented.

Very Good: The applicant organization provides significant descriptions and relevant and related details in addressing the element but the response is not entirely comprehensive. The applicant organization demonstrates a sound understanding of the topic and includes pertinent examples. It is possible to distinguish what makes the response better than acceptable but not up to the standards of outstanding.

Acceptable: The applicant organization provides a basic response to the element. The applicant organization does not include significant detail or pertinent information. Key details and examples are limited. The applicant organization minimally translates the requirements of the FOA into practice.

Marginal: The applicant organization provides insufficient information, details and/or descriptions that do not completely answer the element. The applicant may have answered part of the element but missed a key point and/or there are major gaps in the information presented.

Unacceptable: The applicant organization does not address the element. The applicant organization states the question, but does not elaborate on the response. The applicant merely repeats information included in the FOA. The applicant organization skips or otherwise ignores the question or includes irrelevant information that does not answer the question.

The IRG will provide an overall rating for question three, the 12-Month Action Plan, using the following definitions of each descriptor:

Outstanding: The 12-Month Action Plan fully addresses both DFC goals. It includes measurable objectives that coincide with problems identified in the data provided in question two of the Project Narrative. The strategies and activities included must be comprehensive and unique to the population to be served. The 12-Month Action Plan's strategies and activities must correspond to the accomplishment of each objective. The 12-Month Action Plan fully meets all four of the following requirements:

1. The template provided in Table 3 is used;
2. The two DFC goals are included (Goal One: Increase community collaboration and Goal Two: Reduce youth substance use);
3. The objectives are measurable and **must** include the following elements:
   - the type of change;
   - how much change will occur, including the specific amount of increase or decrease;
   - the specific population to be addressed (if population is youth, the ages of youth or grade level **are** identified);
   - a specific date (Month/Year) by when change will be accomplished; and
   - indicates how change will be measured.
4. At least two named substances are addressed.

Example of a measurable objective: By 9/29/19 (specific date) increase by 5 percent (amount of change) perception of peer disapproval of alcohol use (type of change) among 8th, 10th, and 12th grade students (population to be addressed) as determined by a youth survey result (how change will be measured).

Very Good: The 12-Month Action Plan addresses the two DFC goals; however, it may not be fully comprehensive or completely correspond with the strategies and activities related to each objective. The 12-Month Action Plan meets the majority of the following requirements:

1. The template provided in Table 3 is used;
2. The two DFC goals are included (Goal One: Increase community collaboration and Goal Two: Reduce youth substance use);
3. The objectives are measurable and **must** include the following elements:
   - the type of change;
   - how much change will occur, including the specific amount of increase or decrease;
   - the specific population to be addressed (if population is youth, the ages of youth or grade level **are** identified);
   - a specific date (Month/Year) by when change will be accomplished; and
   - indicates how change will be measured.
4. At least two named substances are addressed.

Acceptable: The 12-Month Action Plan **addresses the two DFC goals**. It may not fully correspond with the strategies and activities to allow all objectives to be met. **Not all** of the objective elements are included and/or measurable. The 12-Month Action Plan satisfactorily meets the following requirements:

1. The template provided in Table 3 is used;
2. The two DFC goals are included (Goal One: Increase community collaboration and Goal Two: Reduce youth substance use);
3. The objectives are measurable and **must** include the following elements:
   - the type of change;
   - how much change will occur, including the specific amount of increase or decrease;

- the specific population to be addressed (if population is youth, the ages of youth or grade level **are** identified);
- a specific date (Month/Year) by when change will be accomplished; and
- indicates how change will be measured.

4. At least two named substances are addressed.

Marginal: The 12-Month Action Plan **inadequately addresses the two DFC goals**. It insufficiently addresses the strategies and activities related to each objective. The strategies and activities are deficient and may not allow the objectives to be met. **Few** objective elements are included and/or measurable.

Unacceptable: The 12-Month Action Plan **does not address the two DFC goals**. It lacks or fails to document or address the criteria required for the 12-Month Action Plan. The strategies and activities do not correspond to the objectives. Additionally, strategies and activities do not allow objectives to be met. Objectives are not measurable and fail to address the four elements discussed above. The required template is not used.

Point scale ranges are provided below and are in order from Question 1 to Question 5:

Question 1 will be scored using the following 10 point scale:

Outstanding Point range:	Very Good Point range:	Acceptable Point range	Marginal Point range	Unacceptable Point range
10-9	8	7	6	5-0

Question 2 will be scored using the following 25 point scale:

Outstanding Point range:	Very Good Point range:	Acceptable Point range	Marginal Point range	Unacceptable Point range
25-23	22-20	19-18	17-15	14-0

Question 3 (12-Month Action Plan) will be scored using the following 30 point scale:

Outstanding Point range:	Very Good Point range:	Acceptable Point range	Marginal Point range	Unacceptable Point range
30-27	26-24	23-21	20-18	17-0

Question 4 will be scored using the following 20 point scale:

Outstanding Point range:	Very Good Point range:	Acceptable Point range	Marginal Point range	Unacceptable Point range
20-18	17-16	15-14	13-12	11-0

Question 5 will be scored using the following 15 point scale:

Outstanding Point range:	Very Good Point range:	Acceptable Point range	Marginal Point range	Unacceptable Point range
15-14	13-12	11	10-9	8-0

Appendix S – Glossary of Terms

Activities: Efforts, actions or initiatives conducted to achieve identified objectives. Example: Conduct three responsible beverage server trainings with 15 businesses represented at each training.

Authorized Representative/Official: The person authorized to sign the grant application as the official representative of the applicant organization and to act on behalf of the applicant and assume the obligations imposed by the federal laws, regulations, requirements, and conditions that apply to grant applications or awards, including the fiduciary authority/responsibility.

Business Official (BO): The individual identified in the application as being the primary party responsible for overseeing the financial aspects of the grant (i.e. Authorized Representative/Official, Accountant, Bookkeeper). This is the individual who will receive the Notice of Grant Award (NoA) if funded and/or the IRG Summary Statement.

Coalition Involvement Agreement (CIA): A signed mutual agreement between the coalition and each one of its 12 sector members establishing the minimum expectations and contributions to be leveraged on behalf of the community, the coalition and the implementation of the DFC grant.

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

Congressional District: An electoral division of a state entitled to send one member to the US House of Representatives – this refers to the Federal Congressional District.

Community Readiness: The degree to which a community is prepared to take action on an issue.

DFC Grant Award Recipient: The grant award recipient is the organizational entity that receives the DFC grant funds. For the purposes of this FOA, it is either a coalition that is a legally eligible entity (to receive federal funds) or an agency that has agreed to partner (receive the DFC grant) on behalf of the coalition and serve as the legal applicant if awarded the grant.

DFC *Me*: DFC's Management and Evaluation system used for grant communications, progress reporting, and as a learning center for grant award recipients.

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

Objectives: What is to be accomplished during a specific period of time to move toward achievement of a goal. Measureable objectives **must** include the following elements:

- the type of change;
- how much change will occur, including the specific amount of increase or decrease;
- the specific population to be addressed (if population is youth, the ages of youth or grade level **are** identified);

- a specific date (Month/Year) by when change will be accomplished; and
- indicates how change will be measured.

Example of a measurable objective: By 9/29/19 (specific date) increase by 5 percent (amount of change) perception of peer disapproval of alcohol use (type of change) among 8th, 10th, and 12th grade students (population to be addressed) as determined by a youth survey result (how change will be measured).

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

Social Indicator Data: Numerical measures that describe the well-being of individuals or communities. Indicators are comprised of one variable or several components combined into an index. They are used to describe and evaluate community well-being in terms of social, economic, and psychological welfare. Community-level social indicators can be useful in community assessments for different purposes. An assessment to identify community issues and problems, for instance, might rely on such indicators as the incidence of a disease or medical condition either in the community at large, or in a particular social, ethnic, or geographic group. For example, in the substance use world, alcohol-related motor vehicle accidents can speak volumes about the community's alcohol use problem. Even something as seemingly harmless as the sales figures for alcohol may highlight a problem.

Strategy: An overarching strategic plan, action, initiative or policy approach designed to achieve a key or primary aim or objective the coalition intends to achieve intended results. Example: Increase enforcement of laws prohibiting the sale of alcohol to minors through compliance checks.

Urban: The Census Bureau classifies as "urban" all territory, population, and housing units located within an urbanized area (UA) or urban cluster (UC). It delineates UA and UC boundaries to encompass densely settled territory, which consists of: Core Census block groups or blocks that have a population density of at least 1,000 people per square mile and surrounding census blocks that have an overall density of at least 500 people per square mile.