

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

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

Request for Applications (RFA) Number: SP-12-002

**Catalogue of Federal Domestic Assistance (CFDA) Number:
93.276**

Key Dates:

Title	Description
Application Deadline	Applications are due by May 4, 2012.
Intergovernmental Review (E.O. 12372)	Applicants must comply with E.O. 12372 if their State(s) participates. Review process recommendations from the State Single Point of Contact (SPOC) are due no later than 60 days after application deadline.
Public Health System Impact Statement (PHSIS)/Single State Agency Coordination	Applicants must send the PHSIS to appropriate State and local health agencies by application deadline. Comments from Single State Agency are due no later than 60 days after application deadline.

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1. 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) 2012 Drug Free Communities Mentoring Program (DFC Mentoring) grants. The purpose of this program is to provide grant funds to existing DFC grantees, so they may serve as Mentors to newly-formed and/or developing coalitions that have never received a DFC grant.

Funding Opportunity Title:	Drug Free Communities Mentoring Program
Funding Opportunity Number:	SP-12-002
Due Date for Applications:	May 4, 2012
Anticipated Total Available Funding:	\$750,000
Estimated Number of Awards:	Approximately 10
Estimated Award Amount:	Up to \$75,000 per year for up to two years
Cost Sharing/Match Required:	Yes [See <u>Part III-2</u> of this RFA for cost sharing/match requirements.]
Length of Project Period:	Up to 2 years
Eligible Applicants:	Only currently funded DFC grantees are eligible to apply. [See <u>Part III</u> of this RFA for complete eligibility information.]

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) 2012 Drug Free Communities Mentoring Program (DFC Mentoring) grants. The purpose of the DFC Mentoring Program is to provide grant funds to existing DFC grantees, so that they may serve as Mentors to newly-formed and/or developing coalitions that have never received a DFC grant.

The DFC Program was created by the Drug Free Communities Act of 1997 (Public Law 105-20). DFC Mentoring grants were established as a component of the DFC Support Program when the program was reauthorized in 2001 (Public Law 107-82, 115 Stat. 814). The DFC Mentoring Program was also included in the Office of National Drug Control Policy Reauthorization Act of 2006 (Public Law 109-469). The latest reauthorization extended the program until 2012. This announcement addresses Healthy People 2020 Substance Abuse Topic Area HP 2020-SA.

The primary goal of the Mentoring grant is to assist newly forming coalitions in becoming eligible to apply for DFC funding on their own. It is the intent of the DFC Mentoring Program that, at the end of the Mentoring grant, each **Mentee coalition will meet all of the Statutory Eligibility Requirements of the DFC Program and will be fully prepared to compete for the DFC grant on their own.** Grantees will be expected to achieve this goal by implementing the following objectives: (1) Strengthen Mentee coalition's organizational structure; (2) Increase Mentee coalition's leadership and community readiness to address youth substance use problems in the Mentee community; and (3) Assist the Mentee coalition in working through a strategic planning process that will result in a comprehensive Action Plan.

Through the DFC Mentoring Program, the Mentor coalition will develop mentoring activities that will support and encourage the development of the Mentee coalition(s) that are focused on the prevention of youth substance use. Funding through this grant is intended to provide the Mentee coalitions with the training and technical assistance necessary to ensure formation of a strong and effective community coalition.

Coalitions that have been awarded DFC Mentoring grants represent a cross-section of communities from every region in the Nation. In FY 2011, ONDCP awarded 20 new DFC Mentoring Grants and 12 Mentoring Continuation grants. More information about DFC and DFC Mentoring grants can be found on the DFC website:

<http://www.whitehouse.gov/ondcp/potential-applicants-mentoring-program>.

2. ABOUT DFC MENTORING GRANTEES

2.1 Coalitions and the DFC Mentoring Program’s Focus

The DFC Mentoring Program was created to assist newly formed or developing coalitions in becoming eligible to apply for DFC funding on their own. Since the program’s inception over 150 coalitions have been mentored through the DFC Mentoring grant.

A Mentor coalition, which is a currently funded DFC coalition, is expected to mentor newly-formed and/or developing coalitions and increase their capacity to successfully apply for the DFC Support Program grant. For the purposes of this Request for Applications (RFA) and the DFC Mentoring 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.**

2.2 Environmental Strategies

Environmental strategies are based on the belief that substance abuse is a product of multiple environmental conditions and circumstances. Environmental strategies incorporate prevention efforts aimed at changing or influencing community conditions, standards, institutions, structures, systems, and policies. More specifically, environmental strategies seek to: (1) limit access to substances; (2) change the culture and context within which decisions about substance use are made; and/or (3) shift the consequences associated with youth substance use. Examples can be found in **Table 1: Environmental Strategies Descriptions**. Today, ample evidence exists that well-conceived and implemented policies—local, state, and national—can reduce community-level alcohol, tobacco, and other drug problems. Environmentally-based approaches reach entire populations and reduce collective risk, making them cost effective prevention strategies. **Applicants should be mindful that the DFC Program requires the planning and implementation of environmental strategies as part of their comprehensive efforts to reduce youth substance use.**

Note: The Mentoring Plan provided in Part V-1.3, Section A, Question 3 pertains to the strategies and activities the Mentor coalition and the Mentee coalition will undertake to increase the likelihood that the Mentee coalition will become DFC eligible. The Mentor coalition is expected to support the Mentee coalition in developing its environmental prevention strategies for any future DFC application and the development of its Action Plan.

Table 1: Environmental Strategies Descriptions

Environmental Strategy	Description
Enhance Access/Reduce Barriers	Improving systems/processes to increase the ease, ability, and opportunity to utilize those systems and services (e.g., assuring transportation, housing, education, safety, and cultural sensitivity) in prevention initiatives.

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

For more information on environmental strategies, please see http://www.cadca.org/files/Beyond_the_Basics_EnvironmentalStrategies.pdf. Although this publication lists Seven Strategies for Community Change on page 19, only Strategies 4-7 are considered environmental prevention strategies.

Note: If a Mentee coalition has identified a community need for activities, practices, strategies, and/or interventions that affect individuals as opposed to the whole community, these efforts should be leveraged in coordination with local partners and funded primarily with in-kind match dollars.

2.3 Community Definition

A coalition must understand and define the unique characteristics of the community it seeks to serve. For the purposes of this RFA, **a community must encompass a geographic area defined by the applicant**. Local expertise is needed to define what constitutes a meaningful community in which the coalition will work. A Mentee coalition can use various physical demarcations, including neighborhoods, census tracts, zip codes, and school districts, as well as township, county, or parish lines, among others, to define their community. The DFC Mentoring Program does not prescribe the size, borders, demographics, or geographic location of DFC Mentoring grantee communities.

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

2.4 Cultural Competence

Cultural competence refers to a set of congruent behaviors, attitudes and policies that enable a coalition to effectively respond to differences in cultural beliefs, behaviors, and communication styles. Applicants must address cultural issues in their applications in terms of their work with the Mentee coalition in developing a strong and inclusive coalition. For prevention efforts to be truly effective, diverse representation is needed early in the coalition's development process. More information on coalition cultural competence can be found at http://www.cadca.org/files/cultural_competence_jan09.pdf.

3. EXPECTATIONS

3.1 Role of the Mentor and the Mentee

The foundation of the relationship between Mentor and Mentee coalitions is a shared pledge to work together for the benefit of the Mentee community. Both coalitions are expected to take an active role in the preparation of the DFC Mentoring grant application. The applicant (Mentor coalition) should clearly understand that the purpose of this grant is to transfer knowledge, skills, and expertise to newly formed and/or developing coalitions. **The mentoring process is designed to directly benefit the Mentee community. The DFC Mentoring grant is not intended to solely subsidize or replace costs associated with the day-to-day operations of the Mentor coalition and/or the Mentor coalition's time/effort in mentoring the Mentee coalition. Therefore, it is allowable for the Mentoring grant to pay for staff within the Mentee coalition and not just for staff within the Mentor coalition.**

Funding through this grant must support the Mentee coalition in obtaining the training and technical assistance necessary to form a community coalition capable of applying for a DFC grant. To accomplish this, the Mentor coalition is expected to mobilize a majority of its key sector members to work collaboratively on the formation of the Mentee coalition. The DFC Mentoring Program seeks to combine staff and volunteer resources from the Mentor coalition with those of the Mentee community to successfully support the development of a functioning Mentee coalition.

The types of activities that are expected and allowable include, but are not limited to: education of Mentee community members; training and technical assistance for the Mentee community/coalition; development and execution of a needs assessment in the Mentee community (to include data collection and analysis), logic model development, and strategic plans (both short- and long-term). Any activity geared toward the Mentee's ability to become

DFC eligible should be included whether it is provided by the Mentor coalition/sector members or an outside entity in the Mentoring Plan (Part V-1.3, Section A, Question 3). **The Mentee coalition is highly encouraged to obtain training and technical assistance from a variety of sources and not just the Mentor coalition.**

The Mentor coalition should consider Mentoring costs separately from the costs of its current DFC grant. It is recommended that the Mentor coalition assess its ability to manage both grant programs before applying. The Mentor coalition will be expected to reallocate current staff time and/or hire additional staff to ensure the proper management of the DFC Mentoring grant. If new staff is hired to manage the DFC Mentoring grant either by the Mentor coalition or for the Mentee coalition, it is important to ensure that any new staff members have the appropriate skills to guide the development of a new youth substance use prevention coalition.

3.2 Number of Coalitions to be Mentored

DFC Mentoring grantees are expected to assist one or more communities in the development of coalitions working to reduce and prevent youth substance use in their communities. Although the Mentor coalition may mentor up to five coalitions at a time, given the limited resources available under this grant and the importance of the mentoring relationship, it is recommended that the Mentor work with only one or two Mentee coalitions at a time. Proposing to mentor more than one Mentee coalition will not positively or negatively affect an applicant's Peer Review score. Applicants must answer all questions for each coalition being mentored within the 25-pages of the Project Narrative, Part V-1.3, Section A.

3.3 Mentoring Funding Period

Applicants may request and receive funding to mentor one or more coalitions for a maximum of two years. However, a DFC grantee may have only one DFC Mentoring grant at a time. A DFC Mentoring grant may not be used to mentor the same coalition for more than two years.

If they can meet all of the DFC Statutory Eligibility Requirements by the time the regular DFC application is due, Mentee coalitions are highly encouraged to apply for a DFC grant in the first year of the Mentoring grant. Most applicants are not funded the first time they apply for DFC funding. Submitting a DFC grant application in the first year of the Mentoring grant will allow the Mentee coalition to engage in the application process and possibly receive DFC funding. If the coalition is not funded through the first application, it will have one more year under the guidance of the Mentor to improve its next application for DFC funding.

3.4 Stages of Coalition Development

Because coalitions are at different stages of development, the Mentor coalition may identify a community to be mentored that does not yet have a formal coalition. In this case, the Mentor coalition may substitute the term "Mentee community" for the term "Mentee coalition" when reading and responding to the questions found in the Project Narrative, Part V-1.3, Section A.

3.5 Strategic Prevention Framework

DFC Mentoring grantees are expected to assist Mentee coalitions in using SAMHSA's Strategic Prevention Framework (SPF) as the model for identifying and prioritizing local problems and engaging in community planning. 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.

The five-step process includes:

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

To eventually compete for a DFC grant, a Mentee coalition must demonstrate its capacity to implement plans developed through the SPF process. Therefore, effective use of the SPF should be a key focus of the mentoring process.

3.6 Data Collection and Performance Measurement

The Government Performance and Results Modernization Act of 2010 (GPRA) requires all Federal agencies to collect and report specified data. **DFC Mentoring grantees are required to assist the Mentee coalition in developing baseline data regarding youth substance use in the Mentee community, using the following core measures for alcohol, tobacco, marijuana, and prescription drugs:**

- **Past 30-day use**
- **Perception of risk or harm**
- **Perception of parental disapproval of use**
- **Perception of peer disapproval of use**

The Terms and Conditions of the grant award will specify how the data are to be submitted and the schedule for submission using an online data reporting system. DFC Mentoring grant recipients are required to report once a year on the Mentee coalition's progress in collecting each of the four measures mentioned above.

3.7 National Meeting Requirement

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

In the second year of funding, the Mentoring budget must allow for one person from the Mentee coalition to attend an additional three-day meeting that may be called by ONDCP during the project period. This requirement is in addition to any other training or technical assistance applicants choose to include in their budgets. The Mentor coalition has this training requirement already built into their DFC grant.

3.8 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 operation. Costs associated with the NCA are generally limited to travel (e.g., flight, car rental, per diem). Lodging, dependent upon location, may be provided.

Mentee coalitions that are being mentored for the full two-year term are required to enroll in the NCA at some point during their Mentoring grant. Each Mentee coalition must send two people to the NCA. Mentee coalitions only mentored for a one-year term are encouraged to attend NCA, but it is not required.

Of the two Mentee representatives that attend the NCA, one person must be the same all three weeks (the person in charge of the Mentee coalition's daily operation) and the second person can vary each week depending on availability and the information being presented. There are several locations across the United States where the NCA is held. **It is highly recommended that the Mentor (or Mentee) coalition contact the National Coalition Institute immediately after being awarded the DFC grant to assist in registering their Mentees for their desired NCA location.**

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

II. AWARD INFORMATION

Proposed budgets cannot exceed \$75,000 in total costs (direct and indirect) in any year of the proposed project. Approximately \$750,000 for FY 2012 DFC Mentoring grants will be awarded through this RFA.

DFC Mentoring grants will be available to eligible coalitions in amounts of up to \$75,000 per year over a two-year period, known as a “funding cycle.” To apply for a DFC Mentoring grant under this RFA, the Mentor coalition must:

- have been *in existence* for at least five years (not to be interpreted as having been a DFC grantee for five years);
- have an active DFC grant at the time of application; and
- be in good standing (cannot be on high-risk) for the duration of the Mentoring funding cycle.

If selected to receive a DFC Mentoring grant, Mentor coalitions will be awarded funds for one year (covering the 12 month period from September 30, 2012 – September 29, 2013). Funds for the second year of the grant are distributed as non-competing Continuation Awards.

Continuation Awards are contingent upon the availability of DFC funds, the continued ability of the grantee to demonstrate eligibility, the grantee’s progress in meeting grant requirements, timely submission of the continuation application and all required data reports, and compliance with all Terms and Conditions of the award.

Additional eligibility requirements that must be met **by the Mentor coalition** in order to be considered for funding are listed in Part III, below.

III. ELIGIBILITY INFORMATION

1. ELIGIBLE APPLICANTS

Statutory Eligibility Requirements, written into the DFC Act and the subsequent Reauthorization of the DFC Program by Congress in 2006, are inherent in the DFC Mentoring Program. (See **Table 2: Statutory Eligibility Requirements for the DFC Mentoring Program** below). Please read the Statutory Eligibility Requirements for the DFC Mentoring Program carefully and provide the information necessary to meet all of the requirements. **Failure to meet any single eligibility requirement will cause the application to be deemed ineligible and the application will not move forward to Peer Review.** Should your application fail to meet the eligibility requirements, the individual listed as the Business Official on the Application for Federal Assistance will receive a letter stating why the application was deemed ineligible. No new material or information may be added to the original application after it has been submitted. **Final authority lies with the DFC Administrator to determine the eligibility of an application.** All DFC Mentoring applications will be jointly screened by ONDCP and SAMHSA to determine whether each applicant meets all the Statutory Eligibility Requirements for the DFC

Mentoring Program contained in **Table 2**. Applications submitted by eligible DFC grantees will then be scored through a Peer Review process according to the evaluation criteria described in Part V, Application Review Information.

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

Table 2: Statutory Eligibility Requirements for the DFC Mentoring Program

Eligibility Requirements	Evidence Required and Where to Document
<p>Requirement 1: <i>Mentor’s 5 Years of Existence</i></p> <p>The Mentor coalition must have been in existence for at least five years.</p> <p><i>(21 USC 1535 § 1035 (d)(1))</i></p>	<p>Evidence Required:</p> <p>Applicant must provide the date the Mentor coalition was established. This does not mean that the Mentor coalition has had a DFC grant for five years, but that it has been in existence for at least five years.</p> <p>Where to Document:</p> <p>Attachment 5: Mentor Coalition General Information, Item 3 (see <u>Appendix H</u>)</p>

Eligibility Requirements	Evidence Required and Where to Document
<p>Requirement 2: Mentor in Good Standing</p> <p>The Mentor coalition must be in compliance with all requirements of their existing DFC grant (i.e., DFC reporting and Grants Management requirements) for the previous year. A DFC grantee on high-risk status is not eligible to submit an application for a DFC Mentoring grant.</p> <p><i>(21 USC 1535 § 1035 (a))</i></p>	<p>Evidence Required:</p> <p>Applicant must provide information documenting current DFC award.</p> <p>Note: In order to qualify for a DFC Mentoring grant, the applicant must be a Year 1-9 DFC grantee at the time of application. A Year 5 DFC grantee is allowed to apply for a Mentoring grant, but the Mentoring application will only be considered if a Year 6 DFC grant is awarded. A Year 9 DFC grantee is allowed to apply for a Mentoring grant, however the Mentor is only eligible for 1 year of Mentoring funding.</p> <p>Where to Document:</p> <p>Attachment 5: Mentor Coalition General Information, Item 5 (see Appendix H)</p>
<p>Requirement 3: Mentor's Measurable Results</p> <p>The Mentor coalition must have achieved, through its own efforts, measurable results in the prevention of substance use among youth.</p> <p><i>*(21 USC 1535 § 1035 (d)(2))</i></p>	<p>Evidence Required:</p> <p>Report baseline and most recent DFC Mentor coalition core measures data that reflect change.</p> <p>Where to Document:</p> <p>Project Narrative: Part V-1.3, Section A, Question 2, Table 3</p>

Eligibility Requirements	Evidence Required and Where to Document
<p>Requirement 4: <i>Mentor's Commitment</i></p> <p>The Mentor coalition must have at least one paid or volunteer staff person, as well as sector volunteers, willing to serve as mentors to the Mentee coalition in the prevention of youth substance use.</p> <p><i>(21 USC 1535 § 1035 (d)(3))</i></p>	<p>Evidence Required:</p> <p>Applicant must provide information documenting staff and sector volunteer involvement in the Mentee coalition.</p> <p>Where to Document:</p> <p>Project Narrative: <u>Part V-1.3, Section A, Question 3,</u></p> <p>Attachment 7: MOU between Mentor Coalition and each Mentee Coalition and;</p> <p>Attachment 8: Resumes and Job Descriptions</p>
<p>Requirement 5: <i>Mentee's Status</i></p> <p>The Mentee coalition is not currently and never has been funded through the DFC grant program.</p>	<p>Evidence Required:</p> <p>The Mentee coalition has no prior history of DFC funding.</p> <p>Where to Document:</p> <p>Attachment 6: Mentee Coalition General Information, Item 16 (see <u>Appendix I</u>)</p>

Eligibility Requirements	Evidence Required and Where to Document
<p>Requirement 6: <i>Mentee’s Willingness to Participate</i></p> <p>The Mentor coalition must demonstrate that there is a willingness on the part of the Mentee coalition and its community to actively participate in the mentoring process.</p> <p><i>(21 USC 1535 § 1035 (d)(4))</i></p>	<p>Evidence Required:</p> <p>Submit a Memorandum of Understanding (MOU) between the Mentor coalition and each Mentee coalition, using the sample provided in Appendix J. Applicants are not required to use the exact language provided and can modify the MOU to describe the partnership between Mentor and Mentee coalitions. The MOU must contain two signatures. One must be from the representative for the Mentor coalition and one from the Mentee coalition.</p> <p>The Mentor Coalition and each Mentee Coalition must attach a matching Coalition Involvement Agreement (CIA) from each person listed in their individual Sector Member Table. The Mentor Coalition is expected to provide at least 12 CIAs representing each of the required sectors. The Mentee Coalition IS NOT required to have all 12 sectors committed at the time of application. However, the Mentee Coalition is required to provide a matching CIA for each member already recruited to the coalition at the time of application. CIAs cannot be more than 12 months old at the time of application for either the Mentor or Mentee coalitions. Two signatures are required on each CIA. One signature must be that of the individual listed in the Sector Member Table, and the other must be the signature of someone who represents the Mentor coalition. All signatures must be hand written and dated.</p> <p>Sample CIAs are provided in Appendix E (Mentor CIA) and Appendix G (Mentee CIA).</p> <p>Where to Document:</p> <p>Attachment 7: Memorandum of Understanding (MOU) between Mentor and Mentee coalitions, (see Appendix J)</p> <p>Attachment 2: Mentor CIAs (in the same order as the Mentor Sector Member Table lists sector representatives), see Part V-1.4, Section C and Appendix E.</p> <p>Attachment 4: Mentee CIAs (in the same order as the Mentee Sector Member Table lists sector representatives), see Part V-1.4, Section D and Appendix G.</p>

Eligibility Requirements	Evidence Required and Where to Document
<p>Requirement 7: Mentoring Plan</p> <p>The Mentor coalition must submit a detailed Mentoring Plan for the mentoring activities to be supported by the grant.</p> <p><i>*(21 USC 1535 § 1035 (d)(5))</i></p>	<p>Evidence Required:</p> <p>Provide a detailed Mentoring Plan that includes activities that will address the needs of the Mentee coalition in becoming eligible to apply for DFC funding on its own.</p> <p>Where to Document:</p> <p>Project Narrative: <u>Part V-1.3, Section A, Question 10</u></p>
<p>Requirement 8: Substantial Support from Non-Federal Sources</p> <p>The Mentor coalition must demonstrate a minimum of a 1:1 match in non-Federal funds not previously identified as match to their current DFC grant.</p> <p><i>(21 USC 1535 § 1035 (g)(1))</i></p>	<p>Evidence Required:</p> <p>Applicants must show at least dollar-for-dollar (1:1) matching funds in their Budget and Budget Narrative. These matching funds must come from non-Federal sources.* Matching funds can be in-kind or donations, but must be compliant with Federal regulations regarding allowable expenses.</p> <p>Applicants must itemize the matching funds separately in the Budget SF-424A, (available at http://www.samhsa.gov/grants/applicationkit.aspx) and explain the matching funds separately in the Budget Narrative (see <u>Part V-1.3, Section B</u>).</p> <p>Budget totals must match on the Application for Federal Assistance (SF-424, Section 18), Budget (SF-424A), and Budget Narrative.</p> <p>*Only Federal funds appropriated for substance abuse activities of a coalition that includes a representative of the Bureau of Indian Affairs, the Indian Health Service, or a tribal government agency with expertise in the field of substance abuse may be counted as match.</p> <p>Where to Document:</p> <p>SF-424, Section 18</p> <p>SF-424A</p> <p>Budget Narrative (<u>see Appendix A</u>)</p>

Eligibility Requirements	Evidence Required and Where to Document
<p>Requirement 9: Federal Request</p> <p>The Mentor coalition may not request more than \$75,000 in Federal funds per year.</p> <p>(21 USC 1535 § 1035 (g)(2))</p>	<p>Evidence Required:</p> <p>The budget may not show a request for Federal funds exceeding \$75,000/year.</p> <p>Budget totals must correspond on the Application for Federal Assistance (SF-424, Section 18), Budget (SF-424A), and Budget Narrative.</p> <p><u>Part V-1.3, Section B: Budget Narrative (see Appendix A)</u></p> <p>Where to Document:</p> <p>SF-424, Section 18</p> <p>SF-424A</p> <p>Budget Narrative (see <u>Appendix A</u>)</p>

2. COST SHARING and MATCH REQUIREMENTS

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

Applicants are required to have 100 percent match (1:1) from non-Federal sources for each year funded.

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

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

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

Federal funds, including those passed through a State or local government **cannot** be used toward the required match. Applicants may not identify the same match for this application as identified for their existing DFC grant. **DFC funds currently received by the Mentor coalition or other Federal funds, including those passed through a State or local government, cannot be used toward the required match.** It is the responsibility of the applicant to fully know the origin of all funds and determine whether or not they have a Federal initiation point. **The only exception for Federal dollars being used as match is in the case of a Mentor coalition that includes a representative of the Bureau of Indian Affairs, Indian Health Service, or a tribal government agency with expertise in the field of substance abuse.** Applicants must provide matching funds for both years of the Mentoring grant.

3. OTHER

3.1 Additional Eligibility Requirements

Applicants must use the Application for Federal Assistance Grant Application Package available at <http://www.samhsa.gov/grants/ApplicationKit.aspx> and must follow all application submission requirements and formatting requirements or their application **will not be considered for funding**. Formatting requirements and Application submission information is provided in [Appendix B](#) and [Appendix C](#).

3.2 Freedom of Information Act (FOIA) Disclaimer

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

IV. APPLICATION AND SUBMISSION INFORMATION

1. ADDRESS TO REQUEST APPLICATION PACKAGE

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

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

DFC application support information may be found on the Drug Free Communities website at <http://www.whitehouse.gov/ondcp/Drug-Free-Communities-Support-Program>. General information about writing applications for SAMHSA grants is available online at <http://www.samhsa.gov/grants/apply.aspx>.

2. CONTENT AND GRANT APPLICATION SUBMISSION

2.1 Application Package

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

- Grant Application Package – Includes the face page (SF-424), budget form (SF-424A); Project/Performance Site Location(s) form; Disclosure of Lobbying Activities, if applicable; and Checklist. You must use the Grant Application Package. **Applications that are not submitted on the required application form will be screened out and will not be reviewed.**

Request for Applications (RFA) – Provides a description of the program, specific information about the availability of funds, and instructions for completing the grant application. This document is the RFA. The RFA will be available on the SAMHSA website at <http://www.samhsa.gov/grants/index.aspx> and the DFC website at <http://www.whitehouse.gov/ondcp/potential-applicants-mentoring-program>. A synopsis of the RFA is available on the Federal grants website at <http://www.Grants.gov>.

2.2 Required Application Components

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

- **Face Page** – SF-424 is the face page. This form is part of the Grant Application Package, available at <http://www.samhsa.gov/grants/applicationkit.aspx>. [Note: Applicants must provide a Dun and Bradstreet (DUNS) number to apply for a grant or cooperative agreement from the Federal Government. SAMHSA applicants are required to provide their DUNS number on the face page of the application. Obtaining a DUNS number is easy and there is no charge. To obtain a DUNS number, access the Dun and Bradstreet website at <http://www.dunandbradstreet.com> or call 1-866-705-5711. To expedite the process, indicate to Dun and Bradstreet that you are a public/private non-profit organization getting ready to submit a Federal grant application. In addition, you must be registered in the Central Contractor Registration (CCR) prior to submitting an application and maintain an active CCR registration during the grant funding period.

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

- **Budget Form** – Use SF-424A, which is part of the Grant Application Package. Fill out Sections B, C, and E of the SF-424A. A sample budget and justification is included in Appendix A of this document. Your completed form SF-424A should reflect the final numbers as they appear in your Budget Narrative.
- **Table of Contents** – Number every page of your application, including supporting documentation, beginning with your Table of Contents as Page 1. In the Table of Contents, include the page numbers for each of the major sections of your application and for each attachment. Hand numbering of pages is allowable.
- **Overview of the Mentor/Mentee Relationship** – The Overview of the Mentor/Mentee Relationship describes how the Mentor and Mentee coalitions have entered into a relationship for the purposes of developing a new coalition. It should be no longer than 2 pages in length.
- **Project Narrative** – The Project Narrative describes the qualifications of the Mentor coalition, the current state of the Mentee coalition, and how the Mentor coalition plans to help the Mentee coalition build capacity toward applying for its own DFC grant. It consists of Part V-1.3, Section A of the RFA and may be **no longer than 25 pages**. More detailed instructions for completing the Project Narrative are provided in Part V, Application Review Information. **Applications that exceed the 25 page limit (Project Narrative only) will be screened out and will not be reviewed.**

- **Budget Narrative** – The Budget Narrative (Part V-1.3, Section B) provides narrative detail about both the Federal request and the non-Federal match.
- **Attachments 1 through 11**
 - Attachment 1: Mentor Sector Table, Part V-1.4, Section C, Appendix D
 - Attachment 2: Mentor Coalition Involvement Agreements, Part V-1.4, Section C, Appendix E
 - Attachment 3: Mentee Sector Table, Part V-1.4, Section D, Appendix F
 - Attachment 4: Mentee Coalition Involvement Agreements, Part V-1.4, Section D, Appendix G
 - Attachment 5: Mentor Coalition General Information Table, Part V-1.4, Section E, Appendix H
 - Attachment 6: Mentee Coalition General Information Table, Part V-1.4, Section F, Appendix I
 - Attachment 7: MOU between Mentor Coalition and each Mentee Coalition, Part V-1.4, Section G, Appendix J
 - Attachment 8: Resumes and Job Descriptions, Part V-1.4, Section H, Appendix N
 - Attachment 9: Single State Agency Letter, Part V-1.4, Section I, Appendix K
 - Attachment 10: Certifications and Disclosures, Part IV-2.2 Included in this Attachment will be the following:
 - **Assurances and Certifications** – Non-Construction Programs. Applicants must read the list of assurances and certifications provided on the SAMHSA website and check the box marked ‘I Agree’ before signing the face page (SF-424) of the application.
 - **Project Performance Site Location(s) Form** – The purpose of this form is to collect location information on the site(s) where work funded under this grant announcement will be performed. This form will be posted with the RFA on SAMHSA’s website and provided in the application package at <http://www.samhsa.gov/grants/applicationkit.aspx>.
 - **Assurance of Compliance with SAMHSA Charitable Choice Statutes and Regulations Form SMA 170** – Applicants are required to complete the Assurance of Compliance with SAMHSA Charitable Choice Statutes and Regulations Form SMA 170. This form is available at <http://www.samhsa.gov/grants/applicationkit.aspx>.
 - **Disclosure of Lobbying Activities** – Federal law prohibits the use of appropriated funds for publicity or propaganda purposes or for the preparation, distribution, or use of the information designed to support or defeat legislation pending before the Congress or State legislatures. This

includes “grass roots” lobbying, which consists of appeals to members of the public suggesting that they contact their elected representatives to indicate their support for or opposition to pending legislation or to urge those representatives to vote in a particular way. You must sign and submit this form, if applicable.

- Attachment 11: Congressional Notification, Part V-1.4, Section K, Appendix L
- Additional attachments as desired – Please clearly label each attachment provided beyond the required attachments and place them after Attachment 11.
 - **Checklist** – Use the Checklist found in the Grant Application Package, available at <http://www.samhsa.gov/grants/applicationkit.aspx>. The Checklist found in the Grant Application Package ensures that the applicant has obtained the proper signatures, assurances, and certifications. If you are submitting a paper application, the Checklist found in the Grant Application Package should be the next-to-last page.
 - **Pre-Submission Verification** – Use the Pre-Submission Verification form found in Appendix M. This verification ensures that you have accurately documented the eligibility requirements and included all major components of the application. If submitting a paper application, the Pre-Submission Verification should be the last page.

2.3 Application Formatting Requirements

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

3. APPLICATION SUBMISSION REQUIREMENTS

Applications are due by **May 4, 2012**. SAMHSA provides two options for submission of grant applications: 1) electronic submission, **or** 2) paper submission. Hard copy applications are due by **5:00 PM** (Eastern Time). Electronic applications are due by **11:59 PM** (Eastern Time). **Applications may be shipped using only Federal Express (FedEx), United Parcel Service (UPS), or the United States Postal Service (USPS).** You will be notified by postal mail that your application has been received.

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

Submission of Electronic Applications

SAMHSA accepts electronic submission of applications through <http://www.Grants.gov>. If you plan to submit electronically through Grants.gov it is very important that you thoroughly read the

application information provided in [Appendix C](#), Guidance for Electronic Submission of Applications.

Submission of Paper Applications

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

Send applications to the address below:

For United States Postal Service:

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

Do not send applications to other agency contacts. Be sure to include “**SP-12-002 DFC Mentoring Program**” in item number 12 on the face page (SF-424) of any paper applications. If you require a phone number for delivery, you may use 240-276-1199.

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

If an application is mailed to a location or office (including room number) that is not designated for receipt of the application and, as a result, the designated office does not receive your application by the deadline, your application will be considered late and ineligible for review. Within 30 days of receipt of an application, applicants will be notified by postal mail that their application has been received. If an applicant submits an application on time and does not receive notification within that 30-day timeframe, the applicant should contact SAMHSA’s Office of Grant Review at 240-276-1199 for additional information.

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

This grant program is covered under Executive Order (EO) 12372, as implemented through Department of Health and Human Services (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 K](#) for additional information on these requirements as well as requirements for the Public Health Impact Statement.

5. FUNDING LIMITATIONS/RESTRICTIONS

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

Cost Principles:

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

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

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

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

- DFC Mentoring grant funds may **not** be utilized for the following: law enforcement equipment, drug search detection canines or related training, lighting, or community gardening efforts.

V. APPLICATION REVIEW INFORMATION

1. EVALUATION CRITERIA

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

1.1 General Instructions

Make sure that you are reading and using the correct RFA to submit your application for the FY2012 DFC Mentoring Program. For FY2012, there are 10 questions in the Project Narrative and only these questions can be used when applying for FY2012 funding. Do not combine questions from previous RFAs or use RFAs from other Federal programs. **Failure to use the correct RFA and to answer the correct questions in the order they are presented in the FY2012 RFA will result in an application being deemed ineligible and not proceeding to Peer Review.**

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

Overview of the Mentor/Mentee Relationship and Mentee Community (Not Scored)

In the Overview, applicants will provide a brief community context. This is the applicant's opportunity to "set the stage" for Peer Reviewers in terms of how the Mentor and Mentee coalitions have entered into a relationship for the purposes of developing a new coalition. This description should be titled *Overview of the Mentor/Mentee Relationship*, and **must be no longer than 2 pages**. It should be placed between the Table of Contents and the Project Narrative.

Project Narrative (Scored)

The Project Narrative includes 10 questions that assist the Mentor coalition in describing how it will guide the development of the Mentee coalition. If an applicant meets the Statutory

Eligibility Requirements outlined in Part III of this RFA and the application submission requirements, the Project Narrative will be scored by a Peer Review panel. In developing the Project Narrative, use the instructions outlined below which have been tailored to this program. **Applicants must use these instructions and NOT the Program Narrative instructions found in the Grant Application Package.**

- The Project Narrative (Part V-1.3, Section A of this RFA) should be **no longer than 25 pages. Applications with a Project Narrative that exceeds the 25-page limit will not be screened for Statutory Eligibility Requirements and will not go to Peer Review.**
- Restrictions related to font size and page margins found in Appendix B must be followed.
- Respond to each question individually, building each response on previous responses so all answers together tell a cohesive story of the community and coalition.
- **Retype the bold question only** directly above each response. Place all responses and required information under the correct question or they will not be scored. Applicants cannot direct Peer Reviewers to documents in the Attachments, as they are not scored. All pertinent information **must** be included in the Project Narrative for appropriate scoring.
- The Project Narrative will be scored according to how well the applicant addresses each question. Although score weights are not assigned to individual bullets, **each bullet will be assessed when determining the score for each question.** Applicants should feel free to provide information beyond the bullets within each question if it expands the coalition's ability to more effectively address the question. **If a coalition cannot answer a specific bullet, then the reason for this must be explained within the answer to the question.**
- Answers to each bullet must be explicitly stated in the application under the correct question. Do not anticipate that peer reviewers will draw conclusions or read between the lines. The application is scored on what is explicitly stated in the Project Narrative and Budget Narrative. Peer Reviewers do not score the Attachments.

Budget Narrative (Scored)

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

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

Sections C – L (Not Scored)

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

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

1.2 Application Scoring Instructions

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

Peer Reviewers will score the responses to questions 6, 8, and 9 in Part V-1.3, Section A of this RFA using a 5-point scale.

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

Questions 1, 2, 4, 5, 7, and 10 will be scored using a 10-point scale.

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

Question 3, for which applicants will provide their 12-Month Mentoring PlanMentoring, will be scored using a 15-point scale

- 15-14 points: The Mentoring Plan is outstanding. The Mentoring Plan fully addresses the primary goal of the DFC Mentoring grant, as stated in Question 3. The Mentoring Plan fully addresses the three objectives of the DFC Mentoring grant listed in Question 3, as well as additional objectives, if included. The strategies and activities included will effectively address each objective. The Mentoring Plan has a comprehensive approach that will lead the Mentee toward becoming DFC eligible.
- 13-12 points: The Mentoring Plan is very good. The Mentoring Plan does not do one of the following: (1) fully addresses the primary goal of the DFC Mentoring grant, as stated in Question 3; (2) fully addresses the three objectives of the DFC Mentoring grant listed in Question 3, as well as additional objectives, if included; and/or (3) provide strategies and activities that will sufficiently address each objective; and/or (4) lead to the Mentee becoming DFC eligible.
- 11 points: The Mentoring Plan is acceptable. The Mentoring Plan does not do two of the following: (1) fully addresses the primary goal of the DFC Mentoring grant, as stated in Question 3; (2) fully address the three objectives of the DFC Mentoring grant, listed in Question 3, as well as additional objectives, if included; and/or (3) provide strategies and activities that will at least sufficiently address each objective and/or (4) lead to the Mentee becoming DFC eligible.

- 10-9 points: The Mentoring Plan is marginal. The Mentoring Plan does not do three: (1) fully addresses the primary goal of the DFC Mentoring grant, as stated in Question 3; (2) fully addresses the three objectives of the DFC Mentoring grant, listed in Question 3, as well as additional objectives if included; and/or (3) provide strategies and activities that will at least sufficiently address each objective and/or (4) lead to the Mentee becoming DFC eligible. 0 points: The Mentoring Plan is unacceptable. The applicant did not provide a 12-Month Mentoring Plan, skipped or otherwise ignored the question.

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

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

1.3 Questions/Items for Response When Writing Your Application

Overview of the Mentor/Mentee Relationship and Mentee Community (Not Scored; no more than 2 pages)

Prior to the Project Narrative, include a brief overview (no more than two pages in length), of how the Mentor and Mentee coalitions have entered into a relationship for the purpose of developing a new coalition. Explain what the process will be for clarifying roles and

expectations that will ensure a full partnership (i.e., shared decision making, managing differences, use of funds, etc). Discuss how both groups have determined that the DFC Mentoring grant should be pursued and the collaborative approach used to develop this grant application. In addition, the overview should provide context of the Mentee community and its readiness to move toward becoming DFC eligible.

The Overview of the Mentor/Mentee Relationship and Mentee Community should be placed between the Table of Contents and the Project Narrative.

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

As previously stated, the Mentor coalition may identify a community to be mentored that does not yet have a formal coalition. In this case, the Mentor coalition may substitute the term “Mentee community” for the term “Mentee coalition” when reading and responding to the questions found in the Project Narrative (Section A).

For the purpose of this grant application, the term “Mentee coalition” is used in the singular in order to simplify the questions found in the Project Narrative (Section A). **In developing the application, if an applicant plans to mentor more than one coalition, all questions must be answered for each Mentee coalition within the 25-page limit.**

The following 10 questions enable applicants to tell the story of their current and future efforts to assist the Mentee coalition in becoming eligible to apply for DFC funding on its own. Bolded questions are followed by bulleted items outlining the required components of each response. **All bullets must be answered.** If an applicant does not have information to provide for a given bullet, indicate why in the response rather than ignoring the bullet. **Applicants are only required to type the bolded questions followed by complete responses to each bullet.** Applicants do not need to include the question categories in their applications and do not have to retype the bullets.

MENTOR

1. What are the Mentor coalition’s strengths that are likely to lead to the success of the Mentee coalition’s ability to become DFC eligible? (10 points) Responses **must** address and provide context for the following:

- History of the Mentor coalition’s successes and achievements (include specific outcome data)
- Mentor coalition’s record of providing training and/or technical assistance in the community (i.e., for stakeholders, leaders, neighboring communities, etc.)
- Evidence that the Mentor coalition is best suited to serve as an effective teacher to the Mentee coalition (i.e., sector members’ knowledge of the Mentee community)
- Projected involvement of the Mentor coalition’s 12 sector members, and specifically youth, in working directly with the Mentee coalition

2. How successful has the Mentor coalition been, thus far, in preventing and/or reducing youth substance use in its own community? (10 points) Responses **must** address and provide context for the following:

- Specific youth substance use problems addressed and the prioritization processes used to determine which problems to address
- Explanation of successful environmental strategies implemented to address the identified youth substance use problems along with accompanying data to demonstrate success
- Explanation of how strategies and activities are affecting the community (i.e., core measures, social indicators, juvenile arrests, etc.)

In addition to the narrative explanation responding to Question 2, use Table 3 to provide data for the core measures required of DFC grantees. Applicants must include the Mentor’s baseline and most recent data reports for past 30-day use, age of onset, perception of risk/harm of use and perception of parental disapproval for alcohol, tobacco and marijuana.

Table 3: Mentor Measurable Outcomes

Alcohol:

Core Measure	Baseline Data Grade Level/ Data Year	Most Recent Available Data Grade Level/ Data Year
Past 30-day use		
Age of onset		
Perception of risk/harm of use		
Perception of parental disapproval of use		

Tobacco:

Core Measure	Baseline Data Grade Level/ Data Year	Most Recent Available Data Grade Level/ Data Year
Past 30-day use		
Age of onset		

Core Measure	Baseline Data Grade Level/ Data Year	Most Recent Available Data Grade Level/ Data Year
Perception of risk/harm of use		
Perception of parental disapproval of use		

Marijuana:

Core Measure	Baseline Data Grade Level/ Data Year	Most Recent Available Data Grade Level/ Data Year
Past 30-day use		
Age of onset		
Perception of risk/harm of use		
Perception of parental disapproval of use		

3. What will the Mentor coalition do during the first 12 months to assist the Mentee coalition in becoming eligible to apply for DFC funding? (15 points)

Ensure that, in answering Question 3, information is provided that speaks to Mentee development. **This is not a plan to address youth substance use in the Mentee community, but instead a plan to move the Mentee coalition toward DFC eligibility.**

Applicants must provide strategies and activities for the three objectives provided in **Table 4: 12-Month Mentoring Plan**. Strategies and activities should be specific to achieve each objective. Applicants can also include additional objectives, strategies and activities necessary to meet the needs of the Mentee by adjusting **Table 4**. Objectives should be specific and measurable. All projected training and technical assistance should be included. Any activity geared toward the Mentee’s ability to become DFC eligible should be included whether it is provided by the Mentor coalition/sector members or an outside entity. For each activity listed in the 12-Month Mentoring plan, be specific in identifying who is responsible for completing, providing, and/or facilitating an activity.

Use the template (Table 4: 12-Month Mentoring Plan) below to provide a 12-Month Mentoring Plan. The information provided in each table should fall within the text of this

section and will count toward the 25-page limit. Applicants using the paper submission for their application may use Times New Roman, 10-point font inside the table and utilize a landscape page orientation, if desired. Those using electronic submission (<http://www.grants.gov>) must provide Table 4 in 12-point font in portrait orientation.

Table 4: 12-Month Mentoring Plan

Goal: The primary goal of the Mentoring grant is to assist newly forming coalitions in becoming eligible to apply for DFC funding on their own.

Objective 1: Strengthen the Mentee coalition organizational structure (i.e. coalition decision making and financial management).

Strategy 1: *List your specific strategy.*

Activity	Who is responsible?	By when?

Objective 2: Increase the Mentee coalition leadership and community readiness to address youth substance use problems in the Mentee community

Strategy 1: *List your specific strategy.*

Activity	Who is responsible?	By when?

Objective 3: Assist the Mentee coalition in working through a strategic planning process that will result in a comprehensive community prevention plan.

Strategy 1: *List your specific strategy.*

Activity	Who is responsible?	By when?

4. How will the Mentor and Mentee coalitions monitor the implementation of the Mentoring Plan? (10 points) Responses **must** address and provide context for the following:

- Process measures to be used to monitor progress and meet deadlines
- Process for identifying challenges in the Mentoring Plan and making revisions as needed
- Plan for keeping the Mentee community, including coalition members, community and its leaders, informed of progress toward DFC eligibility

MENTEE

5. How has the Mentee coalition begun to establish its efforts to address youth substance use? (10 points) Responses **must** address and provide context for the following:

- Mentee coalition's history and formation (i.e., specific events that led to formation, founding history, etc.)
- Efforts related to organizing around youth substance use prevention
- Efforts to mobilize, inform, and organize the coalition/community around the issue of youth substance use prevention and reduction
- Specific strategies employed to involve youth in the Mentee community

6. What efforts have the Mentee coalition facilitated and/or intend to facilitate to better understand its community's youth substance use problems? (5 points) Responses **must** address and provide context for the following:

- Process for developing a needs assessment through data collection and analyses (i.e., DFC core measures, juvenile justice data, school disciplinary data, focus groups, etc.)
- Processes used by the coalition to prioritize current issues and problems to be addressed with future DFC and other funding
- Processes used to share data with the community that fit the community's needs (i.e., special populations, urban/rural setting, demographics, etc.)

7. How has the Mentee coalition recruited, engaged, and built capacity (or plans to recruit, engage, and build capacity) among coalition members and key stakeholders? (10 points) Responses **must** address and provide context for the following:

- Overview of recruitment and engagement efforts of the DFC required 12 sectors
- Access to and engagement of key stakeholders
- Mentee coalition's ability to increase coalition and community capacity to implement youth substance use prevention strategies and activities
- Cultural competency by having adequate representation from the diverse groups within the community being served

8. What resources are available in the Mentee community to address youth substance use? (5 points) Responses **must** address and provide context for the following:

- Youth and adult volunteers, partners, organizations, programs and systems supporting youth substance use prevention
- Other coalitions and organizations already working on public health and/or public safety issues that can support the Mentee coalition
- Existing positive environmental conditions, policies and practices (i.e., outlet density, school policies, enforcement efforts, etc.)
- Training and technical assistance for the coalition and community at-large

9. What resources are needed in the Mentee community to address youth substance use? (5 points) Responses **must** address and provide context for the following:

- Human capacity, including youth and adult volunteers, partnerships with agencies/organizations addressing youth substance use and programs available that complement the work of the coalition
- Existing environmental conditions, policies and practices (i.e., outlet density, school policies, enforcement efforts, etc.) that increase the likelihood of youth substance use
- Training and technical assistance needs for the coalition and community at-large

10. How will a DFC Mentoring grant award help to strengthen the Mentee community? (10 points) Responses **must** address and provide context for the following:

- Meet DFC Statutory Eligibility Criteria
- Increase community understanding of effective youth substance use prevention strategies
- Increase community capacity to collect and analyze local data (i.e. qualitative data, quantitative data)
- Next steps in developing a comprehensive Action Plan to effectively address youth substance use in preparation for applying to the DFC Program

**** From this point forward, the information submitted does not count against your 25-page limit.****

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

In this section, applicants must provide a 12-month Budget Narrative to include budget details and justification for expenditures. The Budget Narrative must include a description of matching resources and other support that the coalition will receive. Applicants must use the template provided in Appendix A, including providing a narrative description for each budget category for

both Federal requests and non-Federal match. **There is no page limit for the Budget Narrative.** See Application Scoring Instructions in Part V-1.2 for scoring information.

1.4 Supporting Documentation (Sections C-L)

Please include the information requested in Sections C-L as Attachments to your application, unless otherwise specified. This information should immediately follow Sections A and B with continuous page numbers that pick up exactly where the page numbers from Sections A and B end. **Do not label the requested information/documents as Sections C–L; label them as the Attachments indicated and include them in the application in the order requested in Part IV-2.2. All attachment pages must be numbered. Applicants can hand-number pages if necessary.**

Section C: Mentor Sector Table and Coalition Involvement Agreements

As **Attachment 1**, the Mentor must provide a completed Mentor Sector Table. Use the template in Appendix D, **Table 21** to provide the Mentor Sector Table. Each Mentor must provide the names of the 12 sector representatives that will be involved in mentoring the Mentee coalition. If mentoring more than one coalition and if the individuals involved are different, applicants must submit a Mentor Sector Table for each Mentee coalition.

As **Attachment 2**, the Mentor must provide 12 Coalition Involvement Agreements (CIA) that match the 12 names listed in the Mentor Sector Table (Attachment 1). Applicants may use the template provided in Appendix E, but may also use agreements already collected by the coalition as long as they **are not more than 12 months old at the time this application is submitted. Table 22 must be at the top of each CIA (see Appendix E for Table 22).** If mentoring more than one coalition and if the individuals involved are different, applicants must submit CIAs for the additional Mentee coalition(s).

Section D: Mentee Sector Table and Coalition Involvement Agreements

As **Attachment 3**, the Mentee must provide a completed Mentee Sector Table. Use the template in Appendix F, **Table 23** to provide the Mentee Sector Table. Each Mentee must provide the names of as many of the 12 sector representatives as possible at the time of application submission. If the sector representative can be named, but has not yet been secured include that individual in the chart and remark that he/she has not yet been recruited. If more than one coalition is being mentored, applicants must submit a separate Mentor Sector Table for each Mentee coalition.

As **Attachment 4**, the Mentee must provide the matching number of Coalition Involvement Agreements (CIA) as recruited individuals listed in the Mentee Sector Table. At the time of application submission, the Mentee coalition is **not** required to have active representation from all of the required 12 sectors written in the DFC Act that are required of the regular DFC Program. For sectors listed in **Attachment 3** as not yet recruited, a CIA is not required. The Mentee coalition may describe the individual/organization's key role/contribution to the coalition. If to be recruited, it may briefly describe the plan to recruit a member for this sector

and what his/her role/contribution will likely be. Applicants may use the template provided in [Appendix G](#), but may also use agreements already collected by the coalition **as long as they are not more than 12 months old at the time this application is submitted. Table 24 must be at the top of each CIA** (see [Appendix G](#) for Table 24).

Section E: Mentor Coalition General Information

As **Attachment 5**, provide the completed chart provided in [Appendix H](#), **Table 25: Mentor Coalition General Information**.

Section F: Mentee Coalition General Information

As **Attachment 6**, provide the completed chart in [Appendix I](#), **Table 26: Mentee General Information**

Section G: MOU between Mentor Coalition and each Mentee Community/Coalition

As **Attachment 7**, provide a separate Memorandum of Understanding (MOU) between the Mentor coalition and each Mentee coalition (if more than one). This agreement must outline the scope of work and expectations for both parties. The MOU should also contain a statement that the Mentee coalition has contributed to the application being submitted and agrees with the proposed Mentoring Plan. The template in [Appendix J](#) may be used.

Section H: Resumes and Job Descriptions

Applicants must include the following information as Attachment 8. Include a resume (no longer than two pages) and a position description (no longer than one page) for the Program Director and Project Coordinator, and each additional key paid or inkind position. If a person has been selected but not yet hired, include a letter of commitment from that individual along with the resume and position description. If no individual has been identified for a position, a position description is still required along with an overview of the hiring plan. The key staff positions may be funded under this grant for either the Mentor or Mentee coalitions (or both), or through other **Mentor coalition** resources.

Information on what should be included in resumes (curricula vitae) and position descriptions can be found in [Appendix N](#).

Section I: Single State Agency Letter

As Attachment 9, include a copy of the letter to the Single State Agency showing that the applicant has informed the SSA contact person that an application has been submitted for a DFC Mentoring grant (see [Appendix K](#) for instructions).

Section J: Certifications, Disclosures, and Checklists

As **Attachment 10**, include the site location(s) form, certifications, assurances, and disclosures noted in [Part IV-2.2](#).

Section K: Congressional Notification

As Attachment 11, all applicants must include a Congressional Notification. This information will be utilized to provide 48 hours of notice to your Congressional Members should you receive DFC Mentoring funding in FY2012. Use the template in Appendix L, as requested, and include specific information pertaining to your grant application. The Project Description must not be more than 35 lines.

Section L: Checklist and Pre-Submission Verification Form

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

2. REVIEW AND SELECTION PROCESS

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

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

VI. ADMINISTRATION INFORMATION

1. AWARD NOTICES AND APPLICATION SUMMARY STATEMENTS

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

By the end of October 2012, all applicants whose applications were sent to Peer Review will receive a letter from SAMHSA through postal mail and sent to the individual listed as the Business Official on the Application for Federal Assistance. This document will contain the Peer

Review score and summarized comments. If an application is not funded, the applicant may re-apply if there is another receipt date for the program.

2. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS

- If your application is funded, you must comply with all Terms and Conditions of the grant award. The DFC Mentoring Program standard Terms and Conditions are available on the DFC website at <http://www.whitehouse.gov/ondcp/Drug-Free-Communities-Support-Program>.
- If your application is funded, you must also comply with the administrative requirements outlined in 45 CFR Part 74 or 45 CFR Part 92, as appropriate. For more information visit SAMHSA's website at <http://www.samhsa.gov/grants/management.aspx>.
- If your application is funded, you will be held accountable for the information provided in the application relating to performance targets. Governments Project Officers (GPO) will consider the coalition's progress in meeting goals and objectives, as well as challenges and strategies for overcoming them, when making an annual recommendation to continue the grant and the amount of any continuation award. Failure to meet stated goals and objectives may result in suspension or termination of the grant award, or in reduction or withholding of continuation awards. Complete details related to the DFC Appeals Process are available at <http://www.whitehouse.gov/ondcp/information-for-current-grantees>.
- Grant funds cannot be used to supplant current funding of existing activities. "Supplant" is defined as replacing funding of a recipient's existing program with funds from a Federal grant.
- In an effort to improve access to funding opportunities for applicants, SAMHSA is participating in the U.S. Department of Health and Human Services "Survey on Ensuring Equal Opportunity for Applicants." This survey is included in the Grant Application Package for SAMHSA grants and is posted on the website at <http://www.samhsa.gov/grants/downloads/SurveyEnsuringEqualOpp.pdf>. You are encouraged to complete the survey and return it, using the instructions provided on the survey form.

3. REPORTING REQUIREMENTS

In addition to the data reporting requirements listed in [Part I-3.6](#), you must comply with the following reporting requirements:

3.1 Progress and Financial Reports

Each year, grantees are required to submit one program progress report, an annual Coalition Classification Tool (CCT) survey and various financial reports. Full details regarding specific due dates are available at <http://www.whitehouse.gov/ondcp/information-for-current-grantees>.

3.2 Publications

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

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

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

VII. CONTACTS FOR QUESTIONS RELATED TO THIS RFA

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

For questions about program issues contact:

DFC Mentoring RFA Hotline
Division of Community Programs
240-276-1270
DFCnew2012@samhsa.hhs.gov

For questions about Federal forms and budget issues contact:

Virginia Simmons
Division of Grants Management
(240) 276-1422
Virginia.simmons@samhsa.hhs.gov

After the application is submitted and the application deadline has passed, applicants can contact Cynthia Riddick at (240) 276-1199 or by e-mail at Cynthia.Riddick@samhsa.hhs.gov for

questions related to whether or not the application was received and/or went to Peer Review and for copies of score summary sheets completed through the Peer Review process.

Appendix A – Sample Budget

(Includes Budget Terminology and Sample Budget Narrative)

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

BUDGET PREPARATION

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

Budget Terminology

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

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

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

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

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

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

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

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

Project Coordinator: An individual who coordinates the work of the coalition and DFC activities, including training, coalition communication, data collection, and information dissemination. The Project Coordinator will be listed on the DFC website if a grant is awarded. (Person listed in Appendix H, Item 6)

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

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

Indirect Costs (if applicable): Also known as “facilities and administrative costs”, indirect costs are costs that cannot be specifically identified with a particular project, program, or activity, but are necessary to the operation of the organization (i.e., overhead). Facilities operation and maintenance costs, depreciation, and administrative expenses are examples of costs that are usually treated as indirect costs. The organization must not include costs associated with its indirect rate as direct costs. Indirect costs require a negotiated indirect cost rate agreement. If indirect costs are claimed, an indirect cost rate agreement must be submitted with the application. **Research indirect cost rates are not allowable and will not be accepted.** For more information on the establishment of indirect cost rate agreements, contact the Division of Cost Allocation (DCA). Regional contact information can be found at the following DCA website: <http://rates.psc.gov/fms/dca/orgmenu1.html>.

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

BUDGET EXPECTATIONS

- If an applicant has sufficient match to allow a budget request of the full \$75,000, the applicant should round up the final budget figures to equal \$75,000. **Applicants will not receive a higher score for requesting less than \$75,000.**
- Applicants are also strongly encouraged to apply for the full \$75,000 for the second year of funding in their budget forecast even if they are not able to apply for full funding in the first year due to insufficient match. **The amount requested in this original application for the second year establishes the maximum amount that the applicant can receive in that year if awarded the grant.** Grantees are required to submit an annual budget request each year. The annual amount requested can be less than \$75,000 due to challenges such as insufficient match, but can never be greater than the amount indicated in this submission. Therefore, it is more advantageous to request the full \$75,000 for the second year.
- Review the Sample Budget Narrative to provide clear and specific breakout of cost for each cost category.
- Avoid conflict of interest within proposed contractual costs. See the definition of Conflict of Interest and examples below:

Conflict of Interest	Examples
<p>Federal regulations prohibit the appearance and existence of conflict of interest situations for employees, officials, and agents of the organization.</p> <p>Reference – 45 CFR 74.42 & 43; 45 CFR 92.36; Part II-7 of the <i>HHS Grants Policy Statement</i>, issued January 1, 2007.</p>	<ul style="list-style-type: none"> - 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. - An individual is contracted to be a grant writer and/or provide input into the grant application. This individual is then

	<p>written into the grant application to be an evaluator, program director, project coordinator, etc. for the applicant organization. This would violate the Federal competition rules because contractors involved with the writing or preparation of the application cannot compete for contracts under the grant.</p> <ul style="list-style-type: none"> - Applicant, if awarded, will be required to alert to organizational conflicts of interest as well as noncompetitive practices among contractors that may restrict or eliminate competition.
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**SAMPLE BUDGET NARRATIVE
(FOR COMPLETING SF-424A: SECTION FOR FIRST YEAR OF THE FUNDING CYCLE)**

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

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

Table 5: Federal Request

Position	Name	Annual Salary / Rate	Level of Effort	Cost
Mentor Program Director	John Doe	\$64,890	5%	\$3,245
Mentor Project Coordinator	To be selected	\$46,276	25%	\$11,569
Mentee Project Coordinator	Sarah Smith	\$35,000	25%	\$8,750
			TOTAL	\$23,564

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

Table 6: Non-Federal Match

Position	Name	Annual Salary / Rate	Level of Effort	Cost
Volunteer Coordinator	Ron Jones	\$23,000	15%	\$3,450
Clerical Support	Susan Johnson	\$13.38/hr. x 100 hr.		\$1,338
			TOTAL	\$4,788

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): **\$23,564**

NON-FEDERAL MATCH (enter in Section B column 2 line 6a of form SF-424A): **\$4,788**

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

Table 7: Federal Request

Component	Rate	Wage	Cost
FICA	7.65%	\$23,564	\$1,803
Workers Compensation	2.5%	\$23,564	\$589
Insurance	10.5%	\$23,564	\$2,474
		TOTAL	\$4,866

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

Table 8: Non-Federal Match

Component	Rate	Wage	Cost
FICA	7.65%	\$4,788	\$366
Workers Compensation	2.5%	\$4,788	\$120
Insurance	10.5%	\$4,788	\$503
		TOTAL	\$989

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

SOURCE OF MATCH FUNDS: State source of match funds.

FEDERAL REQUEST (enter in Section B column 1 line 6b of form SF-424A): **\$4,866**

NON-FEDERAL MATCH (enter in Section B column 2 line 6b of form SF-424A): **\$989**

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

Table 9: Federal Request

Purpose of Travel	Location	Item	Rate	Cost
New Grantee Meeting	Washington, DC	Airfare	\$300/flight x 3 persons	\$900
New Grantee Meeting	Washington, DC	Hotel	\$200/night x 3 persons x 4 nights	\$2,400
New Grantee Meeting	Washington, DC	Per Diem (meals)	\$71/day x 3 persons x 4 days	\$852
National Coalition Academy	Fort Indiantown Gap, PA (Tentative Site)	Air	\$200/flight x 3 flights x 2 people	\$1,200

Purpose of Travel	Location	Item	Rate	Cost
National Coalition Academy	Fort Indiantown Gap, PA	Ground Transportation (rental car)	\$200/week x 3 weeks	\$600
Local travel		Mileage	999 miles x \$0.50/mile	\$501
			TOTAL	\$6,453

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

NOTE: The grant requires that the Mentor coalition staff person overseeing the DFC Mentoring grant and one Mentee coalition member attend the New Grantee Meeting in Washington, DC.

Mentee coalitions that are being mentored for the full two-year term are required to enroll in the National Coalition Academy (NCA) at some point during their Mentoring grant. Mentee coalitions only mentored for a one-year term are encouraged, but not required, to attend. The NCA is a three-week training program spread out over the course of several months. The local travel rate should be based on the agency's personally owned vehicle (POV) reimbursement rate, which should correspond with the GSA rate found at <http://www.gsa.gov>.

Table 10: Non-Federal Match

Purpose of Travel	Location	Item	Rate	Cost
Regional Training Conference	Chicago, IL	Airfare	\$275/flight x 3 persons	\$825
Regional Training Conference	Chicago, IL	Hotel	\$250/night x 3 persons x 2 nights	\$1,500
Regional Training Conference	Chicago, IL	Per Diem (meals)	\$71/day x 3 persons x 2 days	\$426
Local Travel	Group meetings	Mileage	2,298 miles x \$0.50/mile	\$1,149
			TOTAL	\$3,900

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. The local travel rate should be based on

the agency's personally owned vehicle (POV) reimbursement rate, which should correspond with the GSA rate found at <http://www.gsa.gov>.

SOURCE OF MATCH FUNDS: State source of match funds.

FEDERAL REQUEST (enter in Section B column 1 line 6c of form SF-424A): **\$6,453**

NON-FEDERAL MATCH (enter in Section B column 2 line 6c of form SF-424A): **\$3,900**

D. Equipment: Permanent equipment may be charged to the project only if the applicant can demonstrate that purchase will be less expensive than rental. Permanent equipment is defined as nonexpendable personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more. If the applying agency defines "equipment" at a lower rate, then follow the applying agency's policy.

Table 11: Federal Request

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

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

Table 12: Non-Federal Match

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

FEDERAL REQUEST (enter in Section B column 1 line 6d of form SF-424A): **\$ 0**

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

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

Table 13: Federal Request

Item(s)	Rate	Cost
Presentation supplies	\$30/presentation x 12	\$360

Item(s)	Rate	Cost
Postage	\$37/mo. x 12 mo.	\$444
Meeting supplies	\$10/meeting x 26 meetings	\$260
Copies	8,000 copies x \$0.10/copy	\$800
	TOTAL	\$1,864

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

Table 14: Non-Federal Match

Item(s)	Rate	Cost
Postage	\$37/mo. x 12 mo. x 5 groups	\$2,220
	TOTAL	\$2,220

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 FUNDS: State source of match funds.

FEDERAL REQUEST (enter in Section B column 1 line 6e of form SF-424A):\$ **1,864**

NON-FEDERAL MATCH (enter in Section B column 2 line 6e of form SF-424A):\$ **2,220**

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

Table 13: Federal Request

Name	Service	Rate	Other	Cost
To be selected	Needs Assessment Training	\$150/day	15 days	\$2,250
	Travel	\$0.50/mile	352 miles	\$176
To be selected	Strategic Planning Facilitator	\$50/hour	200 hours	\$10,000
To be selected	Environmental Strategies Training	\$250/day	18 days	\$4,500
			TOTAL	\$16,926

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

Table 14: Non-Federal Match

Name	Service	Rate	Other	Cost
Mentoring group	Training	\$17.50/hr.	5 days x 8 hrs./day x 5 participants x \$17.50/hr.	\$3,500
Individual time	Needs Assessment	\$17.50/hr.	2hr./wk. x 52 wks. x 10 participants x \$17.50/hr.	\$18,200
Coalition Training	Needs Assessment training	\$17.50/hr.	4 hr./mo. x 12 mo. x 5 participants x \$17.50/hr.	\$4,200

Name	Service	Rate	Other	Cost
Community Meeting	Coordination	\$17.50/hr.	4 hr./meeting x 12 meetings x 6 participants x \$17.50/hr.	\$5,040
To be named	Coalition Prevention 101 Training	\$250/day	6 days	\$1,500
			TOTAL	\$32,440

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): **\$16,926**

NON-FEDERAL MATCH (enter in Section B column 2 line 6f of form SF-424A): **\$32,440**

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

H. Other: Expenses not covered in any of the previous budget categories. If rent is requested (direct or indirect), provide the name of the owner(s) of the space/facility. If anyone related to the project owns the building which is less than an arms-length¹ arrangement, provide cost of ownership/use allowance calculations. Additionally, the lease and the floor plan (including common areas) are required for all projects allocating rent costs.

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

Table 17: Federal Request

Item	Rate	Cost
Student Surveys	\$1/survey x 10,153	\$ 10,153
Coalition Brochures	\$0.89/brochure x 10,000 brochures	\$ 8,900
	TOTAL	\$ 19,053

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

Table 18: Non-Federal Match

Item	Rate	Cost
Space rental	Varies between \$75/event to over \$300/event	\$11,500
Youth Program	6 adult leaders x 10 hrs./mo. x \$17.50/hr. x 12 mo. CIA demonstrates breakout of services	\$12,600
Internet Service	\$40.00/month x 12 months	\$ 480
Student surveys	\$1/survey x 3,401 surveys	\$3,401
Coalition Brochures	\$0.89/brochure x 809 brochures	\$720
Printing	\$300/run x 5 runs	\$1,500
	TOTAL	\$ 30,201

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): **\$19,053**

NON-FEDERAL MATCH (enter in Section B column 2 line 6h of form SF-424A): **\$30,201**

TOTAL DIRECT COSTS:

FEDERAL REQUEST (enter in Section B column 1 line 6i of form SF-424A): **\$72,726**

NON-FEDERAL MATCH (enter in Section B column 2 line 6i of form SF-424A): **\$74,538**

TOTAL INDIRECT COSTS²:

FEDERAL REQUEST (enter in Section B column 1 line 6j of form SF-424A): **\$2,274**

NON-FEDERAL MATCH (enter in Section B column 2 line 6j of form SF-424A): **\$462**

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): **\$75,000**

NON-FEDERAL MATCH (enter in Section B column 2 line 6k of form SF-424A): **\$75,000**

Table 19: Budget Summary

Category	Federal Request	Non-Federal Match	Total
Personnel	\$23,564	\$4,788	\$28,352
Fringe Benefits	\$4,866	\$989	\$5,855
Travel	\$6,453	\$3,900	\$10,353
Equipment	0	0	0
Supplies	\$1,864	\$2,220	\$4,084
Contractual	\$16,926	\$32,440	\$49,366
Other	\$19,053	\$30,201	\$49,254
Total Direct Costs	\$72,726	\$74,538	\$147,264

² Indirect costs can be claimed only if the applicant has a negotiated indirect cost rate agreement. It is applied only to direct costs as allowed in the agreement. If claiming indirect costs, include a copy of the fully executed, negotiated, indirect cost agreement. For information on applying for an indirect cost rate, see "Indirect Costs" under Sample Budget definitions.

Category	Federal Request	Non-Federal Match	Total
Indirect Costs	\$2,274	\$462	\$2,736
Total Project Costs	\$75,000	\$75,000	\$150,000

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

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

Input, review, and verify the accuracy of your second year budget estimate. Increases or decreases in the second year compared to the first must be explained and justified. Total Federal share is not to exceed \$75,000.

Table 20: Second Year Budget Estimate

Category	2nd project year Federal	2nd project year match
Personnel	\$23,564	\$4,788
Fringe Benefits	\$4,866	\$989
Travel	\$6,453	\$3,900
Equipment	\$0	\$0
Supplies	\$1,864	\$4,000
Contractual	\$14,500	\$39,000
Other	\$21,479	\$21,861
Total Direct Costs	\$72,726	\$74,538
Indirect Costs	\$2,274	\$462
Total Project Costs	\$75,000	\$75,000

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

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

Appendix B – SAMHSA Checklist for Formatting Requirements and Screen Out Criteria

SAMHSA's goal is to review all applications submitted for grant funding. However, this goal must be balanced against SAMHSA's obligation to ensure equitable treatment of applications. For this reason, SAMHSA has established certain formatting requirements for its applications. **If you do not adhere to these requirements, your application will be screened out and will not be considered for funding.**

- Use the Grant Application Package: Application for Federal Assistance SF-424, Budget Form SF-424A (Non-Construction Programs), Checklist, Disclosure of Lobbying Activities, if applicable and the Project/Performance Site Location(s) form.
- You must be registered in the Central Contractor Registration (CCR) prior to submitting your application. The DUNS number used on your application must be registered and active in the CCR prior to submitting your application. If the CCR is not active prior to submission, the application will be screened out and will not be reviewed.
- Applications must be received by the application due date and time, as detailed in Part IV-3 of this grant announcement.
- Information provided must be sufficient for review.
- Text must be legible. Pages must be typed in black ink, single-spaced, using a font of Times New Roman 12, with all margins (left, right, top, bottom) at least one inch each. For applications submitted via hard copy, tables may be included using a font of Times New Roman 10 and may have a landscape orientation, if desired. For Project Narratives submitted electronically, see separate requirements in Part IV-3 and Appendix C of this RFA.
- The 25-page limit for the Project Narrative cannot be exceeded.
- Paper must be white paper and 8.5 inches by 11.0 inches in size.

Note: If the Project Narrative starts on page 5 and ends on page 30, it is 26 pages long, not 25 pages. **Applications that exceed the 25-page limit will be screened out.**

To facilitate review of your application, follow these additional guidelines. Failure to adhere to the following guidelines will not, in itself, result in your application being screened out and returned without review. However, the information provided in your application must be sufficient for review. Following these guidelines will help ensure your application is complete, and will help reviewers to consider your application.

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

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

Appendix C – Guidance for Electronic Submission of Applications

If you would like to submit your application electronically, you may search <http://www.Grants.gov> for the downloadable application package by the funding announcement number (called the opportunity number) or by the Catalogue of Federal Domestic Assistance (CFDA) number. You can find the CFDA number on the first page of the funding announcement.

You must follow the instructions in the User Guide available at the <http://www.Grants.gov> apply site, on the Help page. In addition to the User Guide, you may wish to use the following sources for technical (IT) help:

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

If this is the first time you have submitted an application through Grants.gov, you must complete three separate registration processes before you can submit your application. Allow at least two weeks (10 business days) for these registration processes, prior to submitting your application. The processes are: 1) DUNS Number registration; 2) Central Contractor Registry (CCR) registration; and 3) Grants.gov registration (Get username and password.). **REMINDER: CCR registration expires each year and must be updated annually. It can take 24 hours or more for updates to take effect, so check for active registration well before your grant deadline. Grants.gov will not accept your application if you do not have active CCR registration. The DUNS number you use on your application must be registered and active in the CCR. You can view your CCR registration status at <https://www.bpn.gov/CCRSearch/Search.aspx> and search by your organization's DUNS number. Additional information on the Central Contractor Registration (CCR) is available at <https://www.bpn.gov/ccr/default.aspx>. Be sure the person submitting your application is properly registered with Grants.gov as the Authorized Organization Representative (AOR) for the specific DUNS number cited on the SF-424 (face page). See the Organization Registration User Guide for details at the following Grants.gov link: http://www.grants.gov/applicants/get_registered.jsp.**

Please also allow sufficient time for entering your application into Grants.gov. When you submit your application you will receive a notice that your application is being processed and that you will receive two e-mails from Grants.gov within the next 24-48 hours. One will confirm receipt of the application in Grants.gov and the other will indicate that the application was either successfully validated by the system (with a tracking number) or rejected due to errors. It will also provide instructions that if you do not receive a receipt confirmation **and** a validation confirmation or a rejection e-mail within 48 hours, you must contact Grants.gov directly. Please note that it is incumbent on the applicant to monitor their application to ensure that it is successfully received and validated by Grants.gov.

If your application is not successfully validated by Grants.gov it will not be forwarded to SAMHSA as the receiving institution.

It is strongly recommended that you prepare your Project Narrative and other attached documents using Microsoft Office 2007 products (e.g., Microsoft Word 2007, Microsoft Excel 2007, etc.). If you do not have access to Microsoft Office 2007 products, you may submit PDF files. Directions for creating PDF files can be found on the Grants.gov website. Use of file formats other than Microsoft Office 2007 or PDF may result in your file being unreadable by our staff.

The Abstract, Table of Contents, Project Narrative, Supporting Documentation, Budget Justification, and Attachments must be combined into 4 separate files in the electronic submission. **If the number of files exceeds 4, the electronic application will not convey properly to SAMHSA.**

Formatting requirements for SAMHSA e-Grant application files are as follows:

- Project Narrative File (PNF): The PNF consists of the Abstract, Table of Contents, and Project Narrative (Section A) in this order and numbered consecutively.
- Budget Narrative File (BNF): The BNF consists of only the budget justification narrative.
- Other Attachment File 1: The first Other Attachment file will consist of the Supporting Documentation (Sections C-L) in this order and lettered consecutively.
- Other Attachment File 2: The second Other Attachment file will consist of the Attachments (Attachments 1-11) in this order and numbered consecutively.

Scanned images must be scanned at 75 dpi/ppi resolution and saved as a jpeg or pdf file. Using a higher resolution setting or different file type could result in a rejection of application.

Formatting requirements for SAMHSA grant applications are described in [Appendix B](#) of this announcement. These requirements also apply to applications submitted electronically, with the following exceptions only for Project Narratives submitted electronically in Microsoft Word. These requirements help ensure the accurate transmission and equitable treatment of applications.

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

Amount of space allowed for Project Narrative: The Project Narrative for an electronic submission may not exceed **12,875** words. If the Project Narrative for an electronic submission exceeds the word limit, the application will be screened out and will not be reviewed. To determine the number of words in your Project Narrative document in Microsoft Word, select

file/properties/statistics. Be sure to scan all images at 75 dpi and save as a jpeg or pdf file. Also, be sure to label each file according to its contents, e.g., “Project Narrative”, “Budget Narrative”, “Other Attachment 1”, and “Other Attachment 2”. **If the number of files exceeds the 4 allowable files, the electronic application will be conveyed properly to SAMHSA.**

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

Applicants are strongly encouraged to submit their applications to Grants.gov early enough to resolve any unanticipated difficulties prior to the deadline. After you electronically submit your application, you will receive an automatic acknowledgement from Grants.gov that contains a Grants.gov tracking number. It is important that you retain this number. **Receipt of the tracking number is the only indication that Grants.gov has successfully received and validated your application. If you do not receive a Grants.gov tracking number, you may want to contact the Grants.gov help desk for assistance.**

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

Appendix D – Mentor Sector Table

As **Attachment 1**, use **Table 21: Mentor Sector Table**, identify the current sector representatives in the Mentor coalition that will serve as mentors to the Mentee coalition. The Mentor coalition is required to have active representation from all 12 sectors in order to be compliant with their current DFC grant. Individuals listed in **Table 21: Mentor Sector Table** must serve as willing partners in helping the Mentee coalition.

Table 21: Mentor Sector Table

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

Sector	Sector Member Name <i>(first and last name)</i>	Organization Name and Role in Organization <i>(full name of organization and individual's role in organization)</i>	Specific Contribution to Coalition <i>(demonstrate active participation in the coalition)</i>	Page Number for the First Page of Matching CIA <i>(provide CIAs in same order as the name are listed in this table)</i>
<i>State, Local, or Tribal Governmental Agency with Expertise in the Field of Substance Abuse</i>				
<i>Other Organization Involved in Reducing Substance Abuse</i>				

Appendix E – Mentor Coalition Involvement Agreement (CIA)

As **Attachment 2**, Applicants (Mentor Coalition) **must** include one CIA for each Mentor Sector member listed in **Attachment 1**. The following page provides a sample CIA for sector members. **This document is not considered legally binding by the Government or the DFC Program, but instead allows an applicant to indicate compliance with the required 12 sectors.** Applicants can tailor the agreement as needed, but **must include Table 22: Sector Information** (Must be at the top of every CIA). Each CIA must have two signatures: one for the sector member and one for the individual representing the coalition.

Table 22: Sector Information (Must be at the top of every CIA)

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

The member listed on the CIA must match the name listed on the Sector Member Table provided as Attachment 2. The CIA does **not** require a signature by a public notary. It is simply an agreement between the coalition and the sector member for active participation in the coalition’s work. By signing a CIA, an individual is affirming that he/she represents a specific sector within the coalition.

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

If the coalition already has a written agreement with a sector member, that agreement can be submitted **only if**: (1) the signature matches the name provided in the Sector Member Table as Attachment 3 **and** is countersigned by a coalition representative; and (2) the agreement is not more than 12 months old from the date of application.

Minimal CIA Requirements:

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

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

Sample Coalition Involvement Agreement (CIA)

Sector Name	Sector Member	Agency/Organization
<i>Insert Sector Represented (e.g., Youth, Parent, Business, Media, etc.)</i>	<i>Insert Individual's Name (as listed in the Sector Member Table, Attachment 3)</i>	<i>Insert Organization Name</i>

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

[Coalition Name] will be held responsible to:

8. Create and follow by-laws and policies
9. Formulate coalition goals and objectives
10. Oversee operations of activities, programs, and paid staff.
11. Continue to increase new membership of the coalition.
12. Create and follow a strategic action plan.
13. Create a credible and relevant sustainability plan which includes volunteer membership and resources, both financial and material.
14. Respect the rights of *[Coalition Name]* members to hold their own opinions and beliefs.

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

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

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

By signing this CIA, I commit to the efforts of [*Coalition Name*] until which time this relationship is no longer beneficial to the mission set forth by its membership.

Coalition Representative's Name

Sector Representative's Name

Coalition Representative's Signature

Sector Representative's Signature

Title

Date

Title

Date

Appendix F– Mentee Sector Table

As **Attachment 3**, insert **Table 23: Mentee Sector Table**, identify the current or intended sector representatives in the Mentee coalition. At the time of application, the Mentee coalition is not required to have active representation from all 12 sectors. Individuals listed in **Table 23: Mentee Sector Table** must serve as willing partners in helping the Mentee coalition. The table below must be utilized.

Table 23: Mentee Sector Table

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

Sector	Sector Member Name <i>(first and last name)</i>	Organization Name and Role in Organization <i>(full name of organization and individual's role in organization)</i>	Specific Contribution to Coalition <i>(demonstrate active participation in the coalition)</i>	Page Number for the First Page of Matching CIA <i>(provide CIAs in same order as the name are listed in this table)</i>
<i>State, Local, or Tribal Governmental Agency with Expertise in the Field of Substance Abuse</i>				
<i>Other Organization Involved in Reducing Substance Abuse</i>				

Appendix G – Mentee Coalition Involvement Agreement (CIA)

As **Attachment 4**, the Mentee coalition **must** include one CIA for each Mentee Sector member listed in **Attachment 3**. At the time of application, the Mentee coalition is not required to have active representation from all 12 sectors. The following page provides a sample CIA for sector members. **This document is not considered legally binding by the Government or the DFC Program, but instead allows an applicant to indicate compliance with as many of the required 12 sectors as possible at the time of this application.** Applicants can tailor the agreement as needed, but **must include the table below Table 24: Sector Information** (Must be at the top of every CIA). Each CIA must have two signatures: one for the sector member and one for the individual representing the coalition.

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

Sector Name	Sector Member	Agency/Organization
<i>Insert Sector Represented (e.g., Youth, Parent, Business, Media, etc.)</i>	<i>Insert Individual’s Name (as listed in the Sector Member Table, Attachment 3)</i>	<i>Insert Organization Name</i>

The member listed on the CIA must match the name listed on the Sector Member Table provided as Attachment 3. The CIA does **not** require a signature by a public notary. It is simply an agreement between the coalition and the sector member for active participation in the coalition’s work. By signing a CIA, an individual is affirming that he/she represents a specific sector within the coalition.

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

If the coalition already has a written agreement with a sector member, that agreement can be submitted **only if**: (1) the signature matches the name provided in the Sector Member Table as Attachment 3 **and** is countersigned by a coalition representative; and (2) the agreement is not more than 12 months old from the date of application.

Minimal CIA Requirements:

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

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

Sample Coalition Involvement Agreement (CIA)

Sector Name	Sector Member	Agency/Organization
Insert Sector Represented (e.g., Youth, Parent, Business, Media, etc.)	Insert Individual's Name (as listed in the Sector Member Table, Attachment 3)	Insert Organization Name

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

[Coalition Name] will be held responsible to:

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

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

1. Be a community leader amongst the represented sector.
2. Ensure clear communication between the sector represented and the coalition.
3. Act as a positive role model for youth, families, and peers.
4. Support the coalition's mission.
5. Attend coalition meetings which are held on a *[Frequency]* basis.
6. Participate in at least one subcommittee.
7. Attend coalition sponsored trainings, town hall meetings, and community events.
8. Contribute to the strategic planning process.
9. Participate in sustaining the coalition's capacity, involvement, and energy.

- 10. Participate in the DFC Workstation, a communication vehicle used by the DFC Federal partners to provide timely information to coalitions.
- 11. Prevent youth substance use through environmental strategies.
- 12. Provides the following services to be used as match, if applicable:

By signing this CIA, I commit to the efforts of [*Coalition Name*] until which time this relationship is no longer beneficial to the mission set forth by its membership.

Coalition Representative's Name

Sector Representative's Name

Coalition Representative's Signature

Sector Representative's Signature

Title

Date

Title

Date

Appendix H – Mentor Coalition General Information Table

As **Attachment 5**, insert Table 25: Mentor Coalition General Information Table, provide general information related to the Mentor coalition and its community. The table below must be utilized.

Table 25: Mentor Coalition General Information Table

Request for Information	Response
1. DFC Award Number	
2. Coalition name	
3. Month and year coalition was established	
4. First year of DFC funding	
5. Does the coalition have a current DFC award? Indicate Yes or No. If yes, indicate the current DFC award year (e.g., Year 3).	
6. Proposed Project Coordinator contact information (name, address, phone, fax, and e-mail)	
7. Geographic area served by coalition (include city, neighborhood, school district(s), etc.)	
8. List all zip codes for the geographic area served by coalition (use http://zip4.usps.com/zip4/welcome.jsp for assistance with identifying zip codes)	
9. Congressional District(s) served by coalition (use http://www.house.gov to find Congressional Districts using zip codes)	

Request for Information	Response
<p>10. Does the coalition serve a Tribal or Native American community? Indicate Yes or No. If yes, provide name of Tribe/community.</p>	
<p>11. Does the coalition have representation that includes at least one representative of the Bureau of Indian Affairs, the Indian Health Service, or a tribal government agency with expertise in the field of substance abuse? Indicate Yes or No.</p>	
<p>12. Indicate whether the area(s) served by Mentor coalition is primarily urban or rural. Select only one. (see Appendix N for definitions)</p>	
<p>13. Indicate whether Mentor coalition serves an area that is economically disadvantaged (20% or more of the children living in the target area live in a household below the poverty line, as defined by the U.S. Census Bureau) by responding Yes or No.</p>	

Appendix I – Mentee Coalition General Information Table

As **Attachment 6**, insert **Table 26: Mentee Coalition General Information Table**, provide general information related to the Mentee coalition and its community. The table below must be utilized. If the Mentor coalition chooses to mentor more than one coalition, the table below will need to be completed separately for each proposed Mentee coalition.

Table 26: Mentee Coalition General Information Table

Request for Information	Response
1. Mentee coalition name	
2. Mentee coalition mailing address	
3. Date Mentee coalition was established	
4. Mentee project director (name, phone number & e-mail)	
5. Mentee coalition board chair/president contact information (name, phone number, and e-mail)	
6. Geographic area served by Mentee coalition (city, neighborhood, school district(s), etc.)	
7. List all of the zip codes for the geographic area served by the Mentee coalition (use http://zip4.usps.com/zip4/welcome.jsp for assistance with identifying zip codes)	
8. Congressional District(s) served by Mentee coalition	
9. Total population of the area served by Mentee coalition	

Request for Information	Response
10. Does the Mentee coalition serve a Tribal or Native American Community? Yes or No. If yes, indicate Tribe Name.	
11. Does the Mentor Coalition have at least one Tribal or Native American Sector Representative? Yes or No. If yes, indicate which sector.	
12. Indicate whether the area(s) served by Mentee coalition is primarily urban or rural. Select only one. (see Appendix N for definitions)	
13. Does the Mentee coalition serves an area that is economically disadvantaged (20% or more of the children living in the target area live in a household below the poverty line, as defined by the U.S. Census Bureau)? Indicate Yes or No.	
14. Is the Mentee coalition currently or has it ever been in receipt of a DFC grant? Indicate Yes or No.	
15. Is the Mentee coalition applying for a FY 2012 DFC grant? Indicate Yes or No. Note: If the Mentee receives a FY 2012 DCF grant, the DFC Mentoring application will be deemed ineligible.	
16. Has the Mentee been mentored under the DFC Mentoring grant in the past? Indicate Yes or No. If yes, indicate the number of years the coalition was mentored under this grant program. Also, provide the Mentoring grant award number.	

Appendix J – Memorandum of Understanding (MOU) between Mentor and Mentee Coalitions

Below is a sample MOU that can be used between a Mentor and Mentee coalitions. Applicants can tailor the agreement as needed. The Mentor Coalition is required to submit as **Attachment 7** a separate MOU for each Mentee coalition.

Sample MOU between Mentor Coalition and each Mentee Coalition

This is a Memorandum of Understanding between *[Mentor Coalition Name]* and *[Mentee Coalition Name]*. This MOU is a voluntary agreement to execute the DFC Mentoring Grant in the *[Mentee Community Name]*.

Purpose: To maintain a formal partnership between the Mentor and the Mentee coalitions in the programmatic and fiscal management of the DFC Mentoring Grant.

Term: This MOU shall begin on October 1, 2012 and extend through September 30, 20__.

[Mentor Coalition Name] is responsible for:

1. Providing training and consultation in:
 - a. Coalition membership development,
 - b. Research based substance abuse prevention strategies including environmental strategies, and
 - c. Effective implementation of all steps of the strategic prevention framework.
2. Jointly selecting and directing staff and volunteers, setting goals and objectives for contract employees, and negotiating and approving contracts.
3. Jointly selecting and formulating goals and objectives in compliance with DFC Terms and Conditions.
4. Jointly overseeing operation of the coalition's activities, programs and paid staff.
5. Jointly creating, approving, and assuring budget compliance with DFC Mentoring grant requirements.
6. Compiling financial reports on a mutually agreed upon schedule.
7. Providing banking services and performing bookkeeping, preparing quarterly and annual financial reports. Wages and payroll taxes due, along with approved invoices, shall be paid from *[Mentor Coalition Name]* funds.
8. Reimbursing *[Mentee Coalition Name]* for any indirect or direct expenses incurred with prior approval of *[Mentor Coalition Name]*.

[Mentee Coalition Name] will be responsible for:

1. Increasing new membership of the coalition and community readiness.

2. Creating and following coalition's by-laws and policies.
3. Formulating coalition goals and objectives.
4. Assessing youth substance use trends and establishing baseline data.
5. Developing a comprehensive and sustainable community prevention plan.
6. Overseeing operations of activities, programs and if applicable, paid staff.
7. Establishing policy for its own programs.

EQUAL OPPORTUNITY

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

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

Mentor Coalition Representative's Name		Mentee Coalition Representative's Name	
Representative's Signature		Representative's Signature	
Title	Date	Title	Date

Appendix K – Intergovernmental Review (E.O. 12373) Requirements

This grant program is covered under Executive Order (EO) 12373, 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. Certain jurisdictions have elected to participate in the EO process and have established State Single Points of Contact (SPOCs). A current listing of SPOCs is included in the application kit and can be downloaded from the Office of Management and Budget (OMB) Website at http://www.whitehouse.gov/omb/grants_spoc.

- Check the list to determine whether your State participates in this program. You do not need to do this if you are an American Indian/Alaska Native Tribe or tribal organization.
- If your State participates, contact your SPOC as early as possible to alert him/her to the prospective application(s) and to receive any necessary instructions on the State's review process.
- For proposed projects serving more than one State, you are advised to contact the SPOC of each affiliated State.
- The SPOC should send any State review process recommendations to the following address within 60 days of the application deadline. For United States Postal Service: Crystal Saunders, Director of Grant Review, Office of Financial Resources, Substance Abuse and Mental Health Services Administration, Room 3-1044, 1 Choke Cherry Road, Rockville, MD 20857. ATTN: SPOC – Funding Announcement No. SP-11-001. Change the zip code to 20850 if you are using another delivery service.

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

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

The PHSIS consists of the following information:

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

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

If applicable, you must include a copy of a letter transmitting the PHSIS to the SSA in **Attachment 9, "Letter to the SSA."** The letter must notify the State that, if it wishes to comment on the proposal, its comments should be sent no later than 60 days after the application deadline to the following address. **For United States Postal Service:** Crystal Saunders, Director of Grant Review, Office of Financial Resources, Substance Abuse and Mental Health Services Administration, Room 3-1044, 1 Choke Cherry Road, Rockville, MD **20857**. ATTN: SSA – Funding Announcement No. SP-12-002. Change the zip code to **20850** if you are using another delivery service.

In addition:

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

Appendix L – Congressional Notification Template

This is a template for the Congressional Notification. This information will be shared with members of Congress and the media, and may be posted to the DFC Website, if the application is funded. Applicants must follow the exact format below and the Project Description section can be no longer that 35 lines. This must be included as **Attachment 10**.

DFC Grant # SP0_____

Mentor Coalition Name:

Mentor Coalition Community:

Mentor Coalition Contact Name:

Mentor Coalition Contact Mailing Address:

Mentor Coalition E-Mail Address:

Mentor Coalition Phone/Fax Number:

Grantee Name:

Grantee Contact Name:

Grantee Contact Mailing Address:

Grantee Contact E-Mail Address:

Grantee Contact Phone/Fax Number:

Mentee Coalition(s) Name(s):

[Coalition Name]

[State]

Serving Congressional District(s) [__]

Project Description

The [Mentor coalition name] was awarded a \$[___] Drug Free Communities Mentoring Program FY 2012 grant by the White House Office of National Drug Control Policy (ONDCP) and the Substance Abuse and Mental Health Services Administration (SAMHSA). The coalition will develop capacity, train, and mentor [Mentee coalition(s) name(s)] and assist them in applying for future Drug Free Communities funding.

The primary goal of the Mentoring grant is to assist newly forming coalitions in becoming eligible to apply for DFC funding on their own. It will achieve this goal by implementing the following objectives: (1) Strengthen Mentee coalition's organizational structure; (2) Increase Mentee coalition's leadership and community readiness to address youth substance use problems in the Mentee community; and (3) Assist the Mentee coalition in working through a strategic planning process that will result in a comprehensive community prevention plan.

[Mentor coalition name] will achieve the objectives by implementing these strategies [below, provide a one-sentence description of each strategy that the Mentor coalition will implement]:

Appendix M – Pre-Submission Verification

Use the form below **Table 27: Pre-Submission Verification Checklist** to ensure that the application meets all submission requirements. Place an “X” beside each completed item or, if applicable, provide the page number where each item can be found. Include the completed verification as the last page of the application.

Table 27: Pre-Submission Verification Checklist

Items to Complete	“X” or Page Number
Did you complete and sign the Application for Federal Assistance (SF-424)?	
Did you complete sections B, C, and E of the Non-Construction Budget Worksheet (SF-424A)?	
Did you include a Table of Contents on which the page numbering starts?	
Did you include the Overview of the Mentor/Mentee Relationship and Mentee Community (no more than 2 pages)?	
Is your Project Narrative no longer than 25 pages?	
Does your Project Narrative address all 10 questions?	
Did you include the Mentoring Plan in <u>Question 3</u> ?	
Did you include a one-year Budget Narrative as required in <u>Part V-1.3, Section B</u> (see <u>Appendix A</u>)?	
Did you include a lease agreement and floor plan for proposed cost for Rent (<u>Part V-1.3, Section B</u>), if applicable?	
Did you include an Indirect Cost Rate Agreement for proposed indirect cost (<u>Part V-1.3, Section B</u>), if applicable?	
Did you demonstrate that your coalition will meet matching fund requirements (<u>Part V-1.3, Section B</u> , SF-424 and SF-424A)?	
Did you meet all eligibility requirements (see <u>Part III</u>)?	
In Attachment 1 , did you include the Mentor Sector Table? (see <u>Appendix D</u>)	

Items to Complete	“X” or Page Number
In Attachment 2 , did you include the Mentor Coalition CIAs? (see Appendix E)	
In Attachment 3 , did you include the Mentee Sector Member Table? (see Appendix F – Mentee Sector Table)	
In Attachment 4 , did you include the Mentee Coalition CIAs? (see Appendix G)	
In Attachment 5 , did you include the Mentor Coalition General Information Table? (see Appendix H)	
In Attachment 6 , did you include the Mentee Coalition General Information Table? (see Appendix I)	
In Attachment 7 , did you include a separate MOU between the Mentor coalition and each Mentee coalition? (see Appendix J)	
In Attachment 8 , did you include the required resumes and job descriptions? (see Part V-1.4, Section H , Appendix N)	
In Attachment 9 , did you include a copy of the Single State Agency Letter? (Appendix K)	
In Attachment 10 , did you include all required forms, certifications, disclosures, and assurances? (see Part IV-2.2)	
In Attachment 11 , did you include a copy of your Congressional Notification? (Appendix L)	
Did you include the Checklist found in the Grant Application Package as the next-to-last page of the application?	
Did you include the Pre-Submission Verification as the last document? (Appendix M)	

Appendix N – Biographical Sketches and Job Descriptions

Biographical Sketch

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

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

Job Description

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

Appendix O – Glossary of Terms

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

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

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

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

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

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

Coalition: A formal arrangement for cooperation and collaboration among groups or sectors of a community in which each group retains its identity, but all agree to work together toward a common goal of building a safe, healthy, and drug free community.

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

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

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

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

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

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

Environmental Strategies: Strategies that incorporate prevention efforts aimed at changing or influencing community conditions, standards, institutions, structures, systems, and policies. These strategies seek to: (1) limit access to substances, (2) change the culture and context within which decisions about substance use are made, and/or (3) shift the consequences associated with substance use.

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

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

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

Implementation: Taking action guided by a strategic/action plan. Progress toward achieving objectives related to the goal of reducing youth substance use is made through the implementation of related activities.

Mentee Coalition: A Mentee coalition is expected to work with the Mentor coalition to complete activities geared toward the Mentee coalition's ability to become DFC eligible.

Mentor Coalition: A Mentor coalition must have been in existence for at least five years (not a DFC grantee for five years); have an active DFC grant at the time of application; and be in good standing (cannot be on high-risk) for the duration of the funding cycle.

Objectives: What is to be accomplished during a specific period of time to move toward achievement of a goal. Objectives should be expressed in specific, measurable terms. Example: By 10/30/16, decrease alcohol sales to youth under 21 by 10% as measured by the rate of failed compliance checks (currently 25%).

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

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

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

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

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

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

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

Youth: Individuals 18 years of age or younger.