

**Department of Health and Human Services
Substance Abuse and Mental Health Services Administration
Center for Substance Abuse Prevention**

**Drug Free Communities Support Mentoring Program
SP-06-004
(Initial Announcement)**

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

Key Dates:

Application Deadline	May 12, 2006
Intergovernmental Review (E.O. 12372)	Letters from State Single Point of Contact (SPOC) are due no later than 60 days after application deadline.
Public Health System Impact Statement (PHSIS)/SSA Coordination	Applicants must send the PHSIS to appropriate State and local health agencies by application deadline. Comments from Single State Agency are due no later than 60 days after application deadline.

TABLE OF CONTENTS

I.	FUNDING OPPORTUNITY DESCRIPTION	3
1.	INTRODUCTION	3
2.	EXPECTATIONS.....	4
II.	AWARD INFORMATION	5
1.	AWARD AMOUNT	5
2.	FUNDING MECHANISM	5
III.	ELIGIBILITY REQUIREMENTS	5
1.	ELIGIBLE APPLICANTS	5
2.	COST SHARING.....	6
3.	OTHER	6
IV.	APPLICATION AND SUBMISSION REQUIREMENTS.....	7
V.	APPLICATION REVIEW INFORMATION	8
1.	EVALUATION CRITERIA	8
2.	REVIEW AND SELECTION PROCESS	13
VI.	AWARD ADMINISTRATION INFORMATION.....	13
1.	AWARD NOTICES.....	13
2.	ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS.....	14
3.	REPORTING REQUIREMENTS	14
VII.	AGENCY CONTACTS.....	15
	Attachment 1 - Sample Budget and Justification.....	17
	Attachment 2 – Application and Submission Requirements	23
	Attachment 3 – Sample Program Abstract	33

I. FUNDING OPPORTUNITY DESCRIPTION

1. INTRODUCTION

The Executive Office of the President, Office of National Drug Control Policy (ONDCP) and the Substance Abuse and Mental Health Services Administration (SAMHSA), Department of Health and Human Services (HHS) announce the availability of funds for new FY 2006 Drug Free Communities Support Mentoring Program (DFC Mentoring) grants.

The purpose of the DFC Mentoring Program is to provide grant funds to existing DFC grantees (mentors) to support development and/or expansion of new community coalitions (mentees) that are focused on substance abuse prevention.

The DFC Program, a collaborative initiative sponsored by ONDCP in partnership with SAMHSA, is designed to achieve two goals:

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

Congress signed the Drug-Free Communities Act (P.L. 105-20) into law on June 27, 1997. The Act provides financial assistance and support to community coalitions to carry out the mission of reducing substance abuse among the nation’s youth. On December 14, 2001, P.L. 107-82, 115 Stat. 814 (2001), reauthorized the program for 5 years.

The community sites that have been awarded DFC grants represent a cross-section from every region in the nation and include rural, urban, suburban, and tribal communities. In FY 2005, 24 new DFC mentoring grants and 13 mentoring continuation grants were awarded. More information can be found on the DFC web site (www.dfc.samhsa.gov).

2. EXPECTATIONS

2.1 Strategic Prevention Framework Requirement



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

2.2 Data and Performance Measurements Requirements

The Government Performance and Results Act of 1993 (P.L.103-62, or “GPRA”) requires all Federal agencies to set program performance targets and report annually on the degree to which the previous year’s targets were met. The national DFC Mentoring Program GPRA measures are to:

- Increase the percent of mentored coalitions that have developed baseline measures of drug use and related substance abuse problems for the following:
 - age of onset of any drug use including alcohol, marijuana, and tobacco
 - past 30 day use among youth including alcohol, marijuana, and tobacco
 - perception of risk or harm of alcohol, marijuana, and tobacco use among youth
 - perception of parental disapproval of use by youth including alcohol, marijuana, and tobacco
- Increase the percent of mentored coalitions that have developed a comprehensive substance abuse prevention strategic plan or updated a previous plan.
- Increase the percent of mentored coalitions that have a strategic plan that reflects the use of environmental strategies to reduce youth drug use.

- Increase the percentage of mentored coalitions that use the Strategic Prevention Framework in their planning process

2.3 National DFC Cross-Site Evaluation

DFC Mentoring Coalition applicants must agree to participate in the National Cross-Site Evaluation that consists of two progress reports and an annual report.

II. AWARD INFORMATION

1. AWARD AMOUNT

Approximately \$1.2 million will be available for 15 new DFC Mentoring Grant Awards in FY 2006. Applicants may request up to \$75,000. New mentor applicants may request project periods of up to 2 years. Annual continuation awards will depend on availability of funds, grantee progress in meeting project goals and objectives, and grant terms and conditions.

2. FUNDING MECHANISM

DFC Mentoring Program awards will be made as grants.

III. ELIGIBILITY REQUIREMENTS

1. ELIGIBLE APPLICANTS

DFC Mentoring Applicants must meet the following eligibility criteria or the application will not be forwarded for review. The coalition:

- Must have been in existence for at least 5 years.
- Must be a current DFC New or Continuation grantee.
- Must have achieved, through its own efforts, measurable results in the prevention of substance abuse among youth.
- Must have staff, volunteers, or members willing to serve as mentors for persons seeking to start or expand the activities of other coalitions in the prevention of substance abuse.
- The coalition must have demonstrable support from the coalition to be mentored and from key sectors of the community(ies) where the coalition will carry out the specific mentoring activities supported by the grant. The key sectors are:
 - youth (an individual 18 or under)
 - parents
 - business community
 - media

- school
- youth-serving organizations
- law enforcement agencies
- religious or fraternal organizations
- civic and volunteer groups
- healthcare professionals
- State, local, or tribal governmental agencies with expertise in the field of substance abuse (if applicable, the State authority with primary authority for substance abuse)
- other organizations involved in reducing substance abuse

SAMHSA and ONDCP will consider the information provided in the applicant's project narrative and supporting documentation in order to determine whether or not an individual applicant meets the above criteria.

2. COST SHARING

DFC Mentoring Program grantees must demonstrate they have matching funds from other, non-Federal sources on a dollar-for-dollar basis. Awards will not be made to applicants who do not meet the match requirements. New and/or continuation DFC funds may not be used to meet the matching requirements for mentoring applicants. Applicants must itemize the match separately in the budget justification. A sample budget and budget justification is provided in Attachment 1 of this RFA.

In-kind support may be used for the match requirement. In-kind support includes the value of goods and services donated to the operations of the coalition. Typical examples include donated office space, volunteer secretarial services, pro bono accounting services, or other personnel serving in a voluntary capacity.

Federal funds, including those passed through a State or local government cannot be used as a match. The exception is for funds appropriated for the substance abuse services of a coalition that includes a representative of the Bureau of Indian Affairs, Indian Health Service, or a tribal government agency with expertise in the field of substance abuse may be counted as non-Federal funds raised by the coalition.

3. Other

Applicants must use Application Form PHS 5161-1 or their applications will not be reviewed. Applicants must also adhere to certain submission and formatting requirements provided in Section IV and Attachment 2 of this announcement, or their applications will not be reviewed.

IV. APPLICATION AND SUBMISSION REQUIREMENTS

1. Address to Request Application Package

You may request a complete application kit from SAMHSA's National Clearinghouse for Alcohol and Drug Information (NCADI) at 1-800-729-6686 (TDD 800-487-4889). You also may download the required documents from the SAMHSA web site at www.samhsa.gov/grants/index.aspx. Additional materials available on this web site include:

- a technical assistance manual for potential applicants;
- standard terms and conditions for SAMHSA grants;
- guidelines and policies that relate to SAMHSA grants (e.g., guidelines on cultural competence, consumer and family participation, and evaluation); and
- enhanced instructions for completing the PHS 5161-1 application.

When submitting an application, be sure to type "SP-06-004, "Drug-Free Communities Support Mentoring Program" in Item Number 10 on the face page of the application form. Also, SAMHSA applicants are to provide a DUNS Number on the face page of the application. To obtain a DUNS Number, access the Dun and Bradstreet web site at www.dunandbradstreet.com or call 1-866-705-5711.

2. Content and Form of Application Submission: Information including required documents, required application components, and application formatting requirements is available in Attachment 2 of this RFA.

Applicants are required to complete the Assurance of Compliance with SAMHSA Charitable Choice Statutes and Regulations, Form SMA 170. This form will be posted on SAMHSA's website with this Request for Applications (RFA) and provided in the application kits available at NCADI. **Applicants should note that failure to comply with certain application formatting requirements in Attachment 2 will result in their application being screened out and not reviewed.**

3. Submission Dates and Times: Applications must be received by May 12, 2006. You will be notified by postal mail that your application has been received. Additional submission information is available in Attachment 2 of this RFA. **Applications that are not received by the application deadline, or that do not have proof of timely submission as described in Attachment 2 of this RFA, will be screened out and will not be reviewed.**

4. Intergovernmental Review: Applications for this funding opportunity must comply with Executive Order 12372 (E.O.12372). E.O.12372, as implemented through Department of Health and Human Services (DHHS) regulation at 45 CFR Part 100, sets up a system for State and local review of applications for Federal financial assistance. Instructions for complying with E.O.12372 are provided in Attachment 2 of this RFA. A current listing of State Single Points of Contact (SPOCs) is included in the application kit and is available at www.whitehouse.gov/omb/grants/spoc.html.

5. Funding Restrictions: Grantees in the DFC Mentoring Program must adhere to funding restrictions listed in Attachment 2.

V. APPLICATION REVIEW INFORMATION

1. EVALUATION CRITERIA

Your application will be reviewed and scored according to the quality of your response to the requirements listed in Section V, Evaluation Criteria.

In developing the Project Narrative section of your application, use the following instructions instead of the “Program Narrative” instructions found in the PHS 5161-1. The Project Narrative should be no more than 20 pages.

You should answer every question in each category of the Project Narrative below and provide a narrative response with the question shown directly above each response. Each question has points associated with it and reviewers will judge your response to each question and apply a point value. Peer reviewed applications will receive a score between 0 and 100. The number of points after each heading below is the maximum number of points a review committee may assign to that section of your Project Narrative.

Reviewers will be looking for evidence of cultural competence throughout the application. SAMHSA’s guidelines for cultural competence can be found on the SAMHSA web site at www.samhsa.gov. Click on “Grants”.

The Project Narrative requirements for the DFC Mentoring Program B-F are organized around the five steps of the Strategic Prevention Framework: 1) community assessment; 2) capacity building; 3) project planning; 4) implementation; 5) evaluation.

The Supporting Documentation provided in Sections G-J will also be considered by reviewers.

Section A: General Questions (6 points)

1. Why does the mentor coalition want to mentor? (2 points)
2. What are the benefits of mentoring for the mentor community/ coalition and its prevention agenda? (2 points)
3. How was the mentee community or communities selected? (2 points)

Section B: Community Assessment (16 points)

1. Describe the community or communities that will receive the mentoring assistance. In the description, include basic demographic and socioeconomic information, pertinent data describing drug use problems among youth, and a summary of existing key risk and protective factors relating to drug use. (3 points)
2. How is the mentoring community similar to the community/communities to receive mentoring assistance demographically and in the drug use issues they are trying to solve? (3 points)
3. What is the mentoring coalition's experience with collecting and analyzing community needs and resource assessment data (both quantitative data such as surveys, social indicator data from health departments, criminal justice, etc. and qualitative data such as focus groups, key informant interviews, community forums, etc.)? (4 points)
4. What is the level of community awareness in the mentee community regarding the drug problem? (2 points)
5. How will the mentor community assist the mentee community/communities in conducting, enhancing or updating a comprehensive community needs and resources assessment? (4 points)

Section C: Capacity Building (24 points)

1. Describe previous efforts of the mentor coalition to develop and mentor community anti-drug coalitions. (2 points)
2. Highlight the last five years of the mentor coalition's work, discussing briefly the specific nature and history of the mentoring coalition's most successful strategies, as well as skill sets and capabilities that will be diffused to the mentee coalition(s). (4 points)
3. Describe how the mentor coalition's successful strategies and related assets will be of benefit to the mentee coalition(s) and how they will be used in the mentoring relationship. Specifically, discuss how these strategies/assets will be used to assist the mentee coalition(s) in addressing the five steps of the Strategic Prevention Framework. (3 points)
4. What are the measurable results achieved by the mentor coalition? How do these results relate to the results that the mentee coalition(s) are seeking to achieve? (4 points)
5. Describe the mentor coalition members' and volunteers' commitment to the mentor project. How will the mentor coalition use members from various sectors to recruit, train, and advance the mentee community's prevention work? (3 points)

6. What is the mentee coalition(s) current capacity for developing and/or strengthening as a community anti-drug coalition? Describe any previous or current efforts of the mentee community to develop a community coalition. Does the mentee coalition have an operational structure in place (i.e. bylaws, committee structure, mission statement, etc.)? (4 points)
7. What sectors are currently members of the mentee coalition? What is the plan to recruit additional members? (2 points)
8. What is the mentor coalition's assessment of the mentee coalition's current training needs? (2 points)

Section D: Project Planning (19 points)

1. What is the process that the mentor coalition will use to help the mentee use key assessment findings to create a community prevention plan that addresses the two goals of the DFC program? (3 points)
2. How will the mentor coalition assist the mentee in creating a community prevention plan that: (6 points)
 - a. Enlists the support of multiple sectors of the community to address the prevention needs and priorities of the mentee community and coalition
 - b. Includes multiple strategies to address the drug problems of youth
 - c. Is community focused (A community coalition must focus on changing the full environment by identifying and implementing strategies that will affect community attitudes, perceptions, norms, and beliefs around alcohol and other drugs.)
3. Does the mentor coalition have a long term sustainability plan in place? If so, briefly describe. How does the mentor coalition plan to foster sustainability in the mentee coalition? (3 points)
4. Provide a realistic time line for the project (chart or graph) showing goals, objectives, key activities, milestones and responsible staff. Include a detailed time line for year 1 of the project, focusing on major milestones/activities. (7 points)

Section E: Implementation (18 points)

1. Are there specific resources (e.g. materials, facilities, equipment, etc.) necessary for the implementation of this project? If so, what are they and are these items reflected in your budget? Be sure to reflect this amount in your budget justification. (3 points)
2. Provide a list of individuals (staff and coalition members/volunteers) from the mentor coalition who will participate in the project, showing the role of each and their level of effort and qualifications. Include the project director and other key personnel. (3 points)

3. Provide a list of individuals (staff and coalition members/volunteers) from the mentee coalition who will participate in the project, showing the role of each, their level of effort and their qualifications. Include the project director and other key personnel. (3 points)
4. How will the responsibility for implementing the strategic plan be diffused among mentor coalition members and/or other community partners? (3 points)
5. How will the responsibility for implementing the strategic plan be diffused among mentee coalition members and/or other community partners? (3 points)
6. How will you monitor the implementation of your strategic plan as things change? For example, what specific milestones or key events will the leaders of the coalition use to monitor the success of the implementation of the plan? (3 points)

Section F: Evaluation (17 points).

1. Describe the capability and experience of the mentor coalition in data collection and/or how the mentor coalition has created partnerships in order to collect, analyze, and report data and conduct evaluation activities. (3 points)
2. What past or current experience does the mentee community have in collecting, analyzing and/or reporting evaluation data? (2 points)
3. What outcome measures will be used to measure the progress in addressing the goals and objectives of the proposed DFC mentoring project? (3 points)
4. Describe the current ability of the mentee community to collect and report on the DFC four core measures (age of onset of any drug use including alcohol, marijuana, and tobacco; past 30 day use among youth including alcohol, marijuana, and tobacco; perception of risk or harm of alcohol, marijuana, and tobacco use among youth; and perception of parental disapproval of use by youth including alcohol, marijuana, and tobacco). How will the mentor coalition help the mentee coalition to develop baseline measures of drug use and related substance abuse problems for the DFC four core measures? (3 points)
5. Describe how data collected from the evaluation will influence the overall direction of the DFC Mentoring Project for the mentor and mentee. (3 points)
6. How will evaluation results be communicated to the mentee coalition's community? (2 points)
7. How will the effectiveness of the mentor/mentee relationship be assessed? (1 point)

Supporting Documentation - The following Supporting Documentation, Sections G-J, must be listed as an attachment and labeled "Supporting Documentation, Section G-J."

Section G: Budget and Budget Justification, Existing Resources, Other Support - In Section G, applicants should provide a narrative justification of the items included in the proposed budget, as well as a description of existing resources and other support that the coalition expects to receive for the proposed budget.

Section H: Program Abstract - In Section H, provide a program abstract that is no more than 35 lines. See Attachment 3 for a sample abstract.

Section I: Project Information Summary - Provide the following data/information in Section I. This information should reflect your responses to Section V, Project Narrative: Mentor.

- Name of applicant (fiscal agent);
- Mailing address of applicant (fiscal agent), including zip code;
- Official authorized to accept funds on behalf of the coalition (include phone number, fax number, and email address);
- Name of the mentor coalition (if different from fiscal agent);
- Mailing address of mentor coalition (if different from fiscal agent), including zip code;
- Physical address of mentor coalition (if different from mailing address);
- Date the mentor coalition was established;
- Project director (include phone number, fax number and e-mail address).
- Coalition board chair/president (include phone number and e-mail address).
- Amount of FY 2005 funds requested;
- Congressional district(s) served by the coalition;

Coalition Being Mentored (mentee)– Please provide the following information for each coalition being mentored:

- Name of the coalition;
- Mailing address for the coalition;
- Date coalition was established;
- Congressional district(s) served by the coalition;
- Project director (include phone number, fax number and e-mail address);
- Coalition board chair/president (include phone number and e-mail address);
- Population of target area;
- Geographic boundaries served by the coalition (e.g. city, neighborhood, school district, etc.);
- Population ethnicity of the geographic area served by the coalition (e.g. tribal);
- Geographic type (i.e., urban, suburban, rural, mixed). Select one based on the following definitions:
 - *Rural* – A rural area is defined as a county with a population of no more than 30,000. If rural, please identify the county(ies) served by the coalition.
 - *Suburban* – A suburban area is defined as (a) urban fringe of a large city – any incorporated place, a Census-designated place (CDP), or non-place territory within a consolidated metropolitan statistical area (CMSA) or metropolitan statistical area (MSA) of a large city and defined as urban by the U.S. Bureau of the Census; or (b)

- urban fringe of a midsize city – any incorporated place, CDP, or non-place within a CMSA or MSA of a midsize central city and defined as urban by the U.S. Bureau of the Census.
- *Urban* – An urban area is defined as (a) large city – a central city of a MSA or CMSA with a population of at least 250,000; or (b) midsize city – central city of an MSA or CMSA with a population of less than 250,000.
 - Indicate whether the coalition serves an area that is economically disadvantaged (i.e., 20% or more of the children [under 18 years of age] living in the target area live in a household below the poverty line, as defined by the U.S. Census Bureau)
 - Identify all present federal and state funding streams that are coordinated with or related to the coalition’s efforts. (These would include involvement with officially recognized OJP Weed & Seed sites, drug courts, Enforcing Underage Drinking Laws Program, the Center for Substance Abuse Prevention’s State Incentive sub grants, and U.S. Department of Education’s Safe and Drug-Free Schools sites, among others.) Indicate status of funding.

Section J: Mentee & Mentor Memorandums of Understanding and Supporting

Documents– Please provide letters of understanding or agreements between the mentor and mentee(s) and key sectors in the community covering the project period. The MOU should address the scope of the work and expectations from each entity.

2. REVIEW AND SELECTION PROCESS

ONDCP and SAMHSA are committed to ensuring a competitive and standardized process for awarding DFCSP grants. Applications will be screened initially by ONDCP to determine whether the coalition meets all the eligibility requirements. Only applications submitted by eligible coalitions that meet all other requirements will be evaluated, scored, and rated by a peer review panel according to the selection criteria described in Section V of this announcement. All applications that proceed to peer-review will be rated on a 100-point scale. Point values for individual elements of the application are presented in the project narrative section. Peer reviewers’ ratings and any resulting recommendations are advisory only. All final grant award decisions will be made by the Director of ONDCP. ONDCP may also give consideration to other factors when making awards.

VI. AWARD ADMINISTRATION INFORMATION

1. AWARD NOTICES

After your application has been reviewed, you will receive a letter from SAMHSA through postal mail that describes the general results of the review.

If you are approved for funding, you will receive an **additional** notice, the Notice of Grant Award, signed by SAMHSA’s Grants Management Officer. The Notice of Grant Award is the sole obligating document that allows the grantee to receive Federal funding for work on the grant project. It is sent by postal mail and is addressed to the contact person listed on the face page of the application.

If you are not funded, you can re-apply if there is another receipt date for the program.

2. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS

- You must comply with all terms and conditions of the grant award. SAMHSA's standard terms and conditions are available on the SAMHSA web site at: www.samhsa.gov/grants/generalinfo/useful_info.aspx.
- You must also comply with the administrative requirements outlined in 45 CFR Part 74 or 45 CFR Part 92, as appropriate. For more information see the SAMHSA web site (http://www.samhsa.gov/Grants/generalinfo/grant_reqs.aspx).
- Additional terms and conditions may be negotiated with the grantee prior to grant award. These may include:
 - requirements relating to additional data collection and reporting;
 - requirements relating to participation in a cross-site evaluation; or
 - requirements addressing problems identified in review of the application.
- You will be held accountable for the information provided in the application relating to performance targets. SAMHSA program officials will consider your progress in meeting goals and objectives, as well as your failures and strategies for overcoming them, when making an annual recommendation to continue the grant and the amount of any continuation award. Failure to meet stated goals and objectives may result in suspension or termination of the grant award, or in reduction or withholding of continuation awards.
- In an effort to improve access to funding opportunities for applicants, SAMHSA is participating in the U.S. Department of Health and Human Services "Survey on Ensuring Equal Opportunity for Applicants." This survey is included in the application kit for SAMHSA grants. Applicants are encouraged to complete the survey and return it, using the instructions provided on the survey form. However, your decision to/not to complete this survey will not have any bearing on the evaluation of your application for funding.

3. REPORTING REQUIREMENTS

3.1 Progress and Financial Reports

- Grantees must provide two program progress reports and an annual report each year and financial reports.
 - SF 269 – Financial Status Report is due 90 days after the end of the budget period.
 - PSC 272 – Federal Cash Transaction Report is due 45 days after the end of the quarter.

- SAMHSA will provide guidelines and requirements for these reports to grantees at the time of award. SAMHSA staff will use the information contained in the reports to determine the grantee's progress toward meeting its goals.

3.2 Publications

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

In addition, SAMHSA requests that grantees:

- Provide the GPO and SAMHSA Publications Clearance Officer with advance copies of publications.
- Include acknowledgment of the Drug-Free Communities Support 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 Office of National Drug Control Policy, and should not be construed as such.

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

VII. AGENCY CONTACTS

For questions regarding program issues, contact:

Richard Moore, Branch Chief
Center for Substance Abuse Prevention
Substance Abuse and Mental Health Services Administration
1 Choke Cherry Rd., 4th Floor
Rockville, MD 20857
240-276- 1270
Dfcnew2006@samhsa.hhs.gov

For questions on grants management issues, contact:

Kimberly Pendleton
Office of Program Services, Division of Grants Management
Substance Abuse and Mental Health Services Administration
1 Choke Cherry Road
Room 7-1097
Rockville, Maryland 20857

(240) 276-1421

kimberly.pendleton@samhsa.hhs.gov

Attachment 1 - Sample Budget and Justification

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

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

FEDERAL REQUEST

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

JUSTIFICATION: Describe the role and responsibilities of each position.

The executive director will provide oversight of grant, including fiscal and personnel management, community relations and project implementation and evaluation. The coordinator will coordinate coalition services and project activities, including training, coalition communication, data collection and dissemination. The development specialist will provide training and technical assistance to the five neighborhood groups.

NON-FEDERAL MATCH

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

JUSTIFICATION: Describe the role and responsibilities of each position.

The peer helper will be responsible for peer recruitment, coordination and support. The clerical support will process paperwork, payroll, and expense reports.

FEDERAL REQUEST (enter in Section B column 1 line 6a of form SF424A) **\$23,564**

NON-FEDERAL MATCH (enter in Section B column 2 line 6a of form SF424A) **\$4,788**

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

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

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

JUSTIFICATION: Fringe reflects current rate for agency.

FEDERAL REQUEST (enter in Section B column 1 line 6b of form SF424A) **\$4,866**

NON-FEDERAL MATCH (enter in Section B column 2 line 6b of form SF424A) **\$989**

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

NOTE: Check with grants management on better examples for C.

FEDERAL REQUEST

Purpose of Travel	Location	Item	Rate	Cost
Coalition Development/Prevention Conference	Washington, DC	Airfare	\$200/flight x 6 persons	\$1,200
		Hotel	\$180/night x 6 persons x 2 nights	\$2,160
		Per Diem (meals)	\$46/day x 6 persons x 3 days	\$828
Coalition Training Coalition Institute	Beaver Falls, PA	Air	\$250/flight x 3 flights	\$750
		Ground Transportation (rental car)	\$125/week x 3 weeks	\$375
Local travel		Mileage	3,000 miles @ .38/mile	\$1,140
			TOTAL	\$6,453

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

One person from each of the 5 neighborhood groups and Development Specialist will attend a prevention conference. Coordinator will attend the Coalition Institute's 3 week in-depth coalition training. All airfares are based on retail price as of March 8, 2005. Local travel rates, per diem, and hotel costs are based on agency's reimbursement rate.

NON-FEDERAL MATCH

Purpose of Travel	Location	Item	Rate	Cost
Regional Training Conference	Chicago, IL	Airfare	\$150/flight x 5 persons	\$750
		Hotel	\$155/night x 5 persons x 2 nights	\$1,550
		Per Diem (meals)	\$46/day x 5 persons x 2 days	\$460
Local Travel	Group meetings	Mileage	3,000miles x .38/mile	\$1,140
			TOTAL	\$3,900

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

Mentoring groups agreed to sponsor one member to the regional technical assistance workshop (our closest location is Chicago, IL). Airline costs were suggested retail price as of March 8, 2005. Local travel rates, per diem, and hotel costs are based on agency's reimbursement rate.

FEDERAL REQUEST (enter in Section B column 1 line 6c of form SF424A) **\$6,453**
NON-FEDERAL MATCH (enter in Section B column 2 line 6c of form SF424A) **\$3,900**

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

FEDERAL REQUEST – (enter in Section B column 1 line 6d of form SF424A) **\$ 0**
NON-FEDERAL MATCH – (enter in Section B column 2 line 6d of form SF424A) **\$ 0**

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

FEDERAL REQUEST

Item(s)	Rate	Cost
Presentation supplies	\$30/presentation x 12	\$360
Postage	\$37/mo. x 12 mo.	\$444
Meeting supplies	\$10/meeting x 26 meetings	\$260
Copies	8000 copies x .10/copy	\$800
	TOTAL	\$1,864

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

Postage and copies are needed for general operation of the project. Presentation supplies are needed for the 2 town meetings each group will sponsor. Items to include name tags, flip charts, and handouts. Meeting supplies are materials used at each mentoring meeting/training session.

NON-FEDERAL MATCH

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

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

The mentored groups are donating the additional costs for postage.

FEDERAL REQUEST – (enter in Section B column 1 line 6e of form SF424A) **\$ 1,864**
NON-FEDERAL MATCH - (enter in Section B column 2 line 6e of form SF424A) **\$ 2,220**

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

FEDERAL REQUEST (Consultant)

Name	Service	Rate	Other	Cost
To be selected	Coalition Sustainability	\$150/day	15 days	\$2,250
	Travel	.38/mile	462 miles	\$176
			TOTAL	\$2,426

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

This person will advise mentored groups of ways to maintain, increase membership, and sustain a local coalition. Neither staff nor coalition member's possess the skills needed to provide this service. The rate is based on the average consulting rate in this area. Consultant is expected to make up to 6 trips (each trip averaging 77 miles) to meet with participants. Mileage rate is based on POV reimbursement rate.

FEDERAL REQUEST (Contract)

Entity	Product/Service	Cost
To be selected	1.5 minute Public Service Announcement (PSA)	\$10,000
To be selected	Evaluation Report	\$4,500
	TOTAL	\$14,500

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

A local media outlet will produce five (one for each mentored group) 1.5-minute PSA from the youth drug awareness video for the local television market. Tasks will include cutting and editing the tape, preparing introductory statement, inserting music and/or narrative, and synchronizing the sound track. A local evaluation specialist will be contracted to produce the year-end results of the mentoring efforts and progress.

NON-FEDERAL MATCH (Consultant)

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/wau x 52 s. 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
Community Meeting	Coordination	\$17.50/hr.	4 hr./meeting x 12 meetings x 6 participants x \$17.50/hr.	\$5,040
TOTAL				\$ 30,940

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

Members of the five participating groups have agreed to attend 5 full days of training and complete a needs assessment for each of the five neighborhoods. They agreed to conduct two community meetings in each of the 6 regions (local coalition members will coordinate one of the meetings). MOUs are attached to application.

NON-FEDERAL MATCH (Contract)

Entity	Product/Service	Cost
To be named	PSA production	\$1,500
TOTAL		\$1,500

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

Agency has agreed to reduce price for PSA production.

FEDERAL REQUEST- (enter in Section B column 1 line 6f of form SF424A) **\$16,926**
(combine the total of consultant and contact)

NON-FEDERAL MATCH – (enter in Section B column 2 line 6f of form SF424A) **\$ 32,440**
(combine the total of consultant and contact)

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

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

FEDERAL REQUEST

Item	Rate	Cost
Student Surveys	\$1/survey x 10,153	\$ 10,153
Brochures	.89/brochure X 10,000 brochures	\$ 8,900
TOTAL		\$ 19,053

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

Survey copyright requires the purchase of the ATOD surveys. The neighborhood groups will distribute the brochures at town meetings and various community events.

NON-FEDERAL MATCH

Item	Rate	Cost
Space rental	Varies between \$75/event to over \$300/event	\$11,500
Television time	\$250/spot x 50 spots	\$12,500
Food and beverages	\$2.50/meeting x 40 attendees x 12 meetings	\$ 1,200
Student surveys	\$1/survey x surveys 3,501	\$3,501
Printing	\$300/run x 5 runs	\$1,500
TOTAL		\$ 30,201

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

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

FEDERAL REQUEST – (enter in Section B column 1 line 6h of form SF424A) **\$ 19,053**

NON-FEDERAL MATCH – (enter in Section B column 2 line 6h of form SF424A) **\$ 30,201**

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

FEDERAL REQUEST (enter in Section B column 1 line 6j of form SF424A)
8% of personnel and fringe (.08 x \$28,430) **\$2,274**

NON-FEDERAL MATCH (enter in Section B column 2 line 6j of form SF424A)
8% of personnel and fringe (.08 x \$5,777) **\$462**

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

BUDGET SUMMARY

Category	Federal Request	Non-Federal Match	Total
Personnel	\$23,564	\$4,788	\$28,352
Fringe	\$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
Indirect Costs	\$2,274	\$462	\$2,736
Total Project Costs	\$75,000	\$75,000	\$150,000

*** TOTAL DIRECT COSTS**

FEDERAL REQUEST – (enter in Section B column 1 line 6i of form SF424A) **\$72,726**

NON-FEDERAL MATCH – (enter in Section B column 2 line 6i of form SF424A) **\$74,538**

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

FEDERAL REQUEST (enter in Section B column 1 line 6k of form SF424A) **\$75,000**

NON-FEDERAL MATCH (enter in Section B column 2 line 6k of form SF424A) **\$75,000**

CALCULATION OF FUTURE BUDGET PERIODS

(based on first 12-month budget period)

Input, review and verify the accuracy of your 2nd year budget estimates. Increases or decreases in the future years must be explained and justified.

Total federal share is not to exceed \$75,000 in any year.

Category	2 nd project year	
	Federal	Match
Personnel		
- Executive Director	\$3,245	
- Coordinator	\$11,569	
- Development Specialist	\$8,750	
- Peer Helper		\$3,450
- Clerical Support		\$1,338
TOTAL	\$23,564	\$4,788
Fringe Benefits	\$4,866	\$989
Travel	\$6,453	\$3,900
Equipment	0	0
Supplies	\$1,864	\$4,000
Contract		
- Evaluation	\$4,500	
- Public Awareness	\$10,000	\$1,500
- Coalition members		\$37,500
TOTAL	\$14,500	\$39,000
Other	\$21,479	\$21,861
Total Direct Costs	\$72,726	\$74,538
Total Indirect Costs	\$2,274	\$462
Total Costs	\$75,000	\$75,000

Personnel: Percentage of effort to remain the same

Fringe: Based on current rates

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

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

Contract: Based on current year costs

It is anticipated that the members participating in mentoring process will increase time and effort

Other: All other costs are based on current and anticipated expenses.

Indirect Costs: Based on current negotiated rate

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

Attachment 2 – Application and Submission Requirements

CONTENT AND FORM OF APPLICATION SUBMISSION

APPLICATION KIT

SAMHSA application kits include the following documents:

- PHS 5161-1 (revised July 2000) – Includes the face page, budget forms, assurances, certification, and checklist. You must use the PHS 5161-1. **Applications that are not submitted on the required application form will be screened out and will not be reviewed.**
- Request for Applications (RFA) – Provides specific information about the availability of funds along with instructions for completing the grant application. This document is the RFA. The RFA will be available on the SAMHSA web site www.samhsa.gov/grants/index.aspx and a synopsis of the RFA is available on the Federal grants web site (www.Grants.gov).

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

REQUIRED APPLICATION COMPONENTS

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

- ❑ **Face Page** – Use Standard Form (SF) 424, which is part of the PHS 5161-1. [Note: Applicants must provide a Dun and Bradstreet (DUNS) number to apply for a grant or cooperative agreement from the Federal Government. SAMHSA applicants are required to provide their DUNS number on the face page of the application. Obtaining a DUNS number is easy and there is no charge. To obtain a DUNS number, access the Dun and Bradstreet web site at www.dunandbradstreet.com or call 1-866-705-5711. To expedite the process, let Dun and Bradstreet know that you are a public/private nonprofit organization getting ready to submit a Federal grant application.]
- ❑ **Abstract** – Your total abstract should not be longer than 35 lines. In the first five lines or less of your abstract, write a summary of your project that can be used, if your project is funded, in publications, reporting to Congress, or press releases.
- ❑ **Table of Contents** – Include page numbers for each of the major sections of your application and for each appendix.

- ❑ **Budget Form** – Use SF 424A, which is part of the 5161-1. Fill out Sections B, C, and E of the SF 424A. A sample budget and justification is included in Attachment 1 of this Program Announcement.
- ❑ **Project Narrative and Supporting Documentation** – The Project Narrative describes your project. It consists of Sections A through F. Sections A-F together may not be longer than 20 pages. (For example, remember that if your Project Narrative starts on page 5 and ends on page 25, it is 21 pages long, not 20 pages.) In developing the Project Narrative section of your application, use the instructions in Attachment 2, instead of the “Program Narrative” instructions found in PHS-5161-1. You must use the sections/headings listed in Section V of the grant announcement in developing your Project Narrative. Be sure to place the required information in the correct section, or it will not be considered. Your application will be scored according to how well you address the requirements for each section.

The Supporting Documentation provides additional information necessary for the review of your application.

Appendices – Use only the appendices listed below. If your application includes any appendices not required in this document, they will be disregarded. Do not use appendices to extend or replace any of the sections of the Project Narrative. Reviewers will not consider them if you do.

- *Appendix 1: Single State Authority Letter of Support*
- *Appendix 2: Assurance of Compliance with SAMHSA Charitable Choice and Regulations Form SMA 170.* This form is posted on SAMHSA’s website with the RFA and is provided in the application kit available at the SAMHSA Clearinghouse (NCADI).
- *Appendix 3: **Certifications*** – Use the “Certifications” form found in PHS-5161-1.
- *Appendix 4: **Disclosure of Lobbying Activities*** – Use Standard Form LLL found in the PHS 5161-1. Federal law prohibits the use of appropriated funds for publicity or propaganda purposes, or for the preparation, distribution, or use of the information designed to support or defeat legislation pending before the Congress or State legislatures. This includes “grass roots” lobbying, which consists of appeals to members of the public suggesting that they contact their elected representatives to indicate their support for or opposition to pending legislation or to urge those representatives to vote in a particular way.
- *Appendix 5: **Checklist*** – Use the checklist found in PHS 5161. The Checklist ensures that you have obtained the proper signatures, assurances, and certifications. The Checklist is the last page of your application.

APPLICATION FORMATTING REQUIREMENTS

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

- Use the PHS 5161-1 application.
- Applications must be received by the application deadline or have proof of timely submission, as detailed below.
- Information provided must be sufficient for review.
- Text must be legible. For Project Narratives submitted electronically in Microsoft Word, see separate requirements below under “Guidance for Electronic Submission of Applications.”
 - Type size in the Project Narrative cannot exceed an average of 15 characters per inch, as measured on the physical page. (Type size in charts, tables, graphs, and footnotes will not be considered in determining compliance.)
 - Text in the Project Narrative cannot exceed 6 lines per vertical inch.
- Paper must be white paper and 8.5 inches by 11.0 inches in size.
- To ensure equity among applications, the amount of space allowed for the Project Narrative cannot be exceeded. For Project Narratives submitted electronically in Microsoft Word, see separate requirements below under “Guidance for Electronic Submission of Applications.”
 - Applications would meet this requirement by using all margins (left, right, top, bottom) of at least one inch each, and adhering to the 20-page limit for the Project Narrative.
 - Should an application not conform to these margin or page limits, SAMHSA will use the following method to determine compliance: The total area of the Project Narrative (excluding margins, but including charts, tables, graphs and footnotes) cannot exceed 58.5 square inches multiplied by 20. This number represents the full page less margins, multiplied by the total number of allowed pages.
 - Space will be measured on the physical page. Space left blank within the Project Narrative (excluding margins) is considered part of the Project Narrative, in determining compliance.

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

- ❑ Pages should be typed single-spaced in black ink, with one column per page. Pages should not have printing on both sides.
- ❑ Please number pages consecutively from beginning to end so that information can be located easily during review of the application. The cover page should be page 1, the abstract page should be page 2, and the table of contents page should be page 3. Appendices should be labeled and separated from the Project Narrative and budget section, and the pages should be numbered to continue the sequence.
- ❑ Send the original application and two copies to the mailing address on pages 33-34 of this document. Please do not use staples, paper clips, and fasteners. Nothing should be attached, stapled, folded, or pasted. Do not use heavy or lightweight paper or any material that cannot be copied using automatic copying machines. Odd-sized and oversized attachments such as posters will not be copied or sent to reviewers. Do not include videotapes, audiotapes, or CD-ROMs.

GUIDANCE FOR ELECTRONIC SUBMISSION OF APPLICATIONS

SAMHSA offers the opportunity for you to submit your application to us either in electronic or paper format. Register one time, and Grants.gov will generate your information for future applications so you don't have to re-enter it. Built-in error-checking increases the completeness and accuracy of your application. Electronic submission is voluntary. No review points will be added or deducted, regardless of whether you use the electronic or paper format.

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

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

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

- By e-mail: support@Grants.gov
- By phone: 1-800-518-4726 (1-800-518-GRANTS). The Customer Support Center is open from 7:00 a.m. to 9:00 p.m. Eastern Time, Monday through Friday.

If this is the first time you have submitted an application through Grants.gov, you must complete four separate registration processes before you can submit your application. Allow at least two weeks (10 business days) for these registration processes, prior to submitting your application. The processes are: DUNS Number registration, Central

Contractor Registry (CCR) registration, Credential Provider registration, and Grants.gov registration.

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

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

- *Text legibility:* Use a font of Times New Roman 12, line spacing of single space, and all margins (left, right, top, and bottom) of one inch each. Adhering to these standards will help to ensure the accurate transmission of your document. If the type size in the Project Narrative of an electronic submission exceeds 15 characters per inch, or the text exceeds 6 lines per vertical inch, SAMHSA will reformat the document to Times New Roman 12, with line spacing of single space. Please note that this may alter the formatting of your document, especially for charts, tables, graphs, and footnotes.
- *Amount of space allowed for Project Narrative:* The Project Narrative for an electronic submission may not exceed **10,300** words. Any part of the Project Narrative in excess of the word limit will not be submitted for review. To determine the number of words in your Project Narrative document in Microsoft Word, select file/properties/statistics.

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

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

After you electronically submit your application, you will receive an automatic acknowledgement from Grants.gov that contains a Grants.gov tracking number. It is important

that you retain this number. **Include the Grants.gov tracking number in the top right corner of the face page for any paper submission.**

The Grants.gov Web site does not accept electronic signatures at this time. Therefore, you must submit a signed paper original of the face page (SF 424), the assurances (SF 424B), and the certifications, and hard copy of any other required documentation that cannot be submitted electronically. **You must include the Grants.gov tracking number for your application on these documents with original signatures, on the top right corner of the face page, and send the documents to the following address. The documents must be received at the following address within 5 business days after your electronic submission.** Delays in receipt of these documents may impact the score your application receives or the ability of your application to be funded.

For United States Postal Service:

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

For other delivery service (DHL, Federal Express, United Parcel Service):

Crystal Saunders, Director of Grant Review
Office of Program Services
Substance Abuse and Mental Health Services Administration
Room 3-1044
1 Choke Cherry Road
Rockville, MD **20850**
ATTN: Electronic Applications
If you require a phone number for delivery, you may use (240) 276-1199.

SUBMISSION DATES AND TIMES

Applications are due by close of business on **May 12, 2006**. **Hand carried applications will not be accepted. Applications may be shipped using only DHL, Federal Express (FedEx), United Parcel Service (UPS), or the United States Postal Service (USPS).**

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

- For packages submitted via DHL, Federal Express (FedEx), or United Parcel Service (UPS), proof of timely submission shall be the date on the tracking label affixed to the package by the carrier upon receipt by the carrier. That date must be at least 24 hours

prior to the application deadline. The date affixed to the package by the applicant will not be sufficient evidence of timely submission.

- For packages submitted via the United States Postal Service (USPS), proof of timely submission shall be a postmark not later than 1 week prior to the application deadline, and the following upon request by SAMHSA:
 - proof of mailing using USPS Form 3817 (Certificate of Mailing), or
 - a receipt from the Post Office containing the post office name, location, and date and time of mailing.

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

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

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

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

SAMHSA is collaborating with www.Grants.gov to accept electronic submission of applications. Please refer to the information above for “Guidance for Electronic Submission of Applications.”

INTERGOVERNMENTAL REVIEW (E.O. 12372) REQUIREMENTS

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

- Check the list to determine whether you’re State participates in this program. You **do not** need to do this if you are a federally recognized Indian tribal government.
- If your State participates, contact your SPOC as early as possible to alert him/her to the prospective application(s) and to receive any necessary instructions on the State’s review process.
- For proposed projects serving more than one State, you are advised to contact the SPOC of each affiliated State.
- The SPOC should send any State review process recommendations to the following address within 60 days of the application deadline:

For United States Postal Service:

Crystal Saunders, Director of Grant Review
Office of Program Services
Substance Abuse and Mental Health Services Administration
Room 3-1044
1 Choke Cherry Road
Rockville, MD **20857**
ATTN: SPOC – Funding Announcement No. **SP-06-004**

For other delivery service:

Crystal Saunders, Director of Grant Review
Office of Program Services
Substance Abuse and Mental Health Services Administration
Room 3-1044
1 Choke Cherry Road
Rockville, MD **20850**
ATTN: SPOC – Funding Announcement No. **SP-06-004**

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

The PHSIS consists of the following information:

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

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

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

For United States Postal Service:

Crystal Saunders, Director of Grant Review
Office of Program Services
Substance Abuse and Mental Health Services Administration
Room 3-1044
1 Choke Cherry Road
Rockville, MD **20857**
ATTN: SSA – Funding Announcement No. **SP-06-004**

For other delivery service:

Crystal Saunders, Director of Grant Review
Office of Program Services
Substance Abuse and Mental Health Services Administration
Room 3-1044
1 Choke Cherry Road
Rockville, MD **20850**
ATTN: SSA – Funding Announcement No. **SP-06-004**

In addition:

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

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

FUNDING LIMITATIONS/RESTRICTIONS

Cost principles describing allowable and unallowable expenditures for Federal grantees, including SAMHSA grantees, are provided in the following documents, which are available at <http://www.hhs.gov/grantsnet/roadmap/index.html>:

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

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

- DFC grant funds must be used for purposes supported by the program
- SAMHSA will not accept a "research" indirect cost rate. The grantee must use the "other sponsored program rate" or the lowest rate available.

OTHER SUBMISSION REQUIREMENTS

Where to Send Applications

Guidance for Electronic Submission of Applications is provided above in Appendix 2. Following are instructions for submission of paper applications.

Send applications to the following address:

For United States Postal Service:

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

For other delivery service:

Crystal Saunders, Director of Grant Review
Office of Program Services
Substance Abuse and Mental Health Services Administration
Room 3-1044
1 Choke Cherry Road
Rockville, MD **20850**

Do not send applications to other agency contacts, as this could delay receipt. **Be sure to include the funding announcement number (SP-06-004) in item number 10 on the face page any paper applications.** If you require a phone number for delivery, you may use (240) 276-1199.

How to Send Applications

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

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

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

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

ATTACHMENT 3: SAMPLE PROGRAM ABSTRACT

The X, Y, Z Coalition, that serves Far West, NJ will mentor two emerging community coalitions through the Drug Free Communities Support Mentoring Program (DFC): the Western County Coalition of Western, New Jersey and the Stamp Out Drugs Coalition in Ft. Field, New Jersey. DFC mentor coalitions must have: 1) been in existence for at least 5 years; 2) been a current DFC grantee; 3) achieved measurable results in the prevention of substance abuse among youth; 4) staff, volunteers, or members willing to serve as mentors for persons seeking to start or expand the activities of other coalitions in the prevention of substance abuse; 5) demonstrable support from the coalitions to be mentored. The X, Y, Z Coalition will mentor the mentee coalitions in the Strategic Prevention Framework, an evidence-based process for community planning and decision making in order to achieve outcomes. The five steps of the Strategic Prevention Framework are: community assessment, capacity building, strategic planning, implementation of the plan, and evaluation.