

**Dear Drug Free Communities Grantee:**

**Continuation Application must be submitted by March 1, 2008.**

This letter is to provide you with information and instructions for the submission of materials for the continuation of Drug Free Communities (DFC) grant support.

In order to continue grant support for FY2008, the law requires that you submit continuation documentation which includes a budget and work-plan for the next grant year (September 30, 2008 through September 29, 2009). Many of the standard forms you will encounter in this process are referred to as “application” materials. ONDCP and SAMHSA do not consider this a competitive grant application process. In other words, you are not competing against other applicants. However, continued funding is contingent upon:

1. demonstrating reasonable progress toward your coalition’s stated goals; and
2. demonstrating that you continue to meet the statutory eligibility requirements as outlined in the original RFA. (see attached Eligibility Certification Checklist)

It is our intention to use this process to gather required information and documents to continue your Federal grant support.

You may submit your 2008 continuation package through [grants.gov](http://grants.gov) or regular mail. FY 2008 Continuation forms can be obtained either through [grants.gov](http://grants.gov) ([www.grants.gov](http://www.grants.gov)) or at [www.samhsa.gov](http://www.samhsa.gov). (NOTE: the continuation letter and supplemental instructions available on the SAMHSA website are for other SAMHSA programs – not the DFC program.)

## CONTINUATION PROCESS

Complete Form PHS 5161-1. Please prepare your continuation paperwork carefully in accordance with the **Supplementary Instructions** (attached). You must complete and submit:

1. SF-424 (Version 02)– face page
2. SF-424A – budget page
3. Assurances and Certifications – (See Supplementary Instructions)
4. Project/Program narrative outlining the progress and accomplishments resulting from the past year of support. (See Supplementary Instructions).
5. A work-plan for the grant year (September 30, 2008 through September 29, 2009).
6. Resumes and job descriptions for any key staff changes. Please list date changes go into effect.
7. Include your grant number (SP#) as reflected on Page 1 “Grant Number” on your last Notice of Grant Award (NOA) – in item 5b (Federal Identifier) on the SF 424.
8. In addition to the **required detailed budget and narrative justification** for the continuation period, submit an explanation/justification including supporting documentation, if necessary, for any changes from the current budget period.
9. Grantees currently in year 2 or 6 of funding (submitting a continuation application for year 3 or 7) need to submit a separate sustainability plan with this application. (See Supplementary Instructions)
10. PHS 5161-1 Checklist
11. Eligibility Certification Checklist (See attached).
12. Grantee must budget to send two people to one regional training and one national training at dates and locations to be designated by ONDCP. This requirement is in addition to any other training(s) or conferences that applicants may choose to include in their budgets (State Conferences, Federal Agency Sponsored Conferences or the National Leadership Forum, etc). ONDCP will notify DFC grantees as to whether or not a training is mandatory and will provide details (date/time/location) as far in advance as possible. If there are no mandatory meetings or trainings in a given grant year, grantees may work with their SAMHSA Grants Management Specialist and SAMHSA CSAP Project Officers to redirect the money for other trainings and/or activities.

To calculate the costs associated with this requirement, estimate the following expenses:

- The cost of airfare to and from regional training in your area, or the cost of ground transportation if the training is within 500 miles.
- Lodging, per diem, and local transportation costs for participation in a 3-day training.
- The cost of airfare to and from a national training in Washington, DC, or the cost of ground transportation if you are located within 500 miles of DC.
- Lodging, per diem, and local transportation costs for participation in a 3-day training in Washington, DC.

## **SUBMITTING YOUR APPLICATION**

### **ELECTRONIC SUBMISSION THROUGH GRANTS.GOV**

To submit your package electronically at [www.Grants.gov](http://www.Grants.gov) apply site you need to:

At least 10 days before you submit an application through [grants.gov](http://grants.gov) you may need to complete and/or **renew** your organization's registration with that system. Steps for completing the registration can be found at [www.grants.gov](http://www.grants.gov) under "For Applicants – Get Registered".

To submit an application follow the instruction under [www.grants.gov](http://www.grants.gov) "For Applicants – Apply for Grants". You may access the application with either the CFDA no.: 93.276 or the funding opportunity number: SAMHSACONT08-03.

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.

SAMHSA requires original signatures on certain application documents. Therefore, you must submit a signed paper original of the face page (SF 424) and a hard copy of any other required documentation that cannot be submitted electronically. You must reference the Grants.gov tracking number from your application, on these documents with original signatures. The documents must be received, at the SAMHSA Grants Management Office, 1 Choke Cherry Rd. – Room 7-1091, Rockville, MD 20857 (USPS- standard delivery) or 20850 (all overnight deliveries), within five (5) business days of your electronic 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.

For assistance with the [grants.gov](http://grants.gov) contact:

Email: [support@grants.gov](mailto:support@grants.gov)

Telephone: 1-800-518-4726. The Grants.gov Contact Center hours of operation are Monday-Friday, 7 a.m. to 9 p.m., Eastern Standard Time (except legal holidays).

To submit your paper application through a common carrier you need to:

1. Obtain the forms from the SAMHSA website - [www.samhsa.gov](http://www.samhsa.gov) then click on "grants" then click on "applying for a continuation SAMHSA grant"
2. Complete the forms and other documents. Include your grant number
3. Send the original and two copies to this mailing address:

Division of Grants Management  
1 Choke Cherry Rd. – Room 7-1091  
Rockville, MD 20857 (USPS – standard delivery) or 20850 (all overnight deliveries)

If you require a phone number for delivery, you may use (240) 276-1417.

**PLEASE DO NOT:** E-mail applications to your Grants Management Specialist or Project Officer.

For SAMHSA related questions, please contact the Grants Management Contact listed on your Notice of Grant Award Letter.

**Continuation applications must be submitted by March 1, 2008.**

Sincerely,

Kathleen Sample  
Acting Grants Management Officer  
Division of Grant Management  
Office of Program Services

**SUBSTANCE ABUSE AND MENTAL HEALTH SERVICES ADMINISTRATION  
(SAMHSA)  
SUPPLEMENTARY INSTRUCTIONS FOR COMPLETING PHS 5161-1  
APPLICATION FOR DRUG FREE COMMUNITIES (DFC) NON-COMPETING  
CONTINUATION GRANT**

General information and instructions for completing and submitting a non-competing continuation application may be found in the Application Form PHS 5161-1. The following information is specifically directed at SAMHSA programs and is intended to supplement, clarify, or, where necessary, replace those instructions found within application form (PHS 5161-1).

**USEFUL INFORMATION FOR COMPLETING PHS 5161-1**  
(complete all sections applicable to your grant)

I. Face Page – SF 424 (Version 02)

Item 5b – Federal Award Identifier: For a continuation or revision to an existing award, enter the previously assigned Federal award identifier number – on Page 1 “Grant Number” on the Notice of Award (NoA).

Item 8f - Name and contact information of person to be contacted on matters involving this application: enter the name and telephone number of the current Program Director.

Item 11 - Catalog of Federal Domestic Assistance Number: 93.276

Item 12 - Funding Opportunity Number: SAMHSACONT08-03

Item 18 - Estimated Funding: Enter the amount of Federal funds (TOTAL COSTS: Direct and Indirect Costs) being requested from SAMHSA for this continuation grant application. This total should correspond with the figures on the 424A. **NOTE:** Page 2 “Summary Totals for all Years” on your current NOA shows the maximum allowable amount of Federal dollars (contingent on availability of funds) for which you may apply the coming grant year.

Program income is defined as income earned by a grantee from activities part or all of the cost of which is borne as a direct cost by a grant or income that would not have occurred except for the existence of the grant-supported project.

Item 19 - Executive Order 12372: Refer to listing of SPOC. If the State is not listed, it does not participate in the requirements. (<http://www.samhsa.gov/grants/continuation.aspx>)

Item 21 – Assurances and Certificates: Check “I agree” and have authorizing official sign – a copy of the certifications and assurances, for your records, is found at <http://www.samhsa.gov/grants/apply.aspx>.

II. SF 424A – Budget Information – Non-Construction Programs

Section B - Budget Categories

Line 6 Column (1) Enter the Federal dollars being requested for each object class category. The total of Column (1) should equal the amount reflected in Section A Column (e) – this amount should be no more than what was approved for future funding years (See NoA - Page 2 “Summary Totals for all Years”)

Line 6 Column (2) Enter the total non-Federal funds (match) for each object class category. The total of Column (2) should equal the amount reflected in Section A Column (f). Years 7-8 must demonstrate 125% of Federal request. Years 9-10 must demonstrate 150% of Federal request.

If indirect costs are requested, enter the amount on line 6j, Column (1). To substantiate the request, a copy of the applicant organization's most current negotiated indirect cost rate agreement established must be submitted with the application. Failure to submit a copy of this established rate may result in delay of the award.

**INSTRUCTIONS FOR COMPLETING THE PROGRAM NARRATIVE:**

These instructions for completing the program narrative portion of a noncompetitive continuation application replace those found in the PHS 5161-1. NOTE: A complete resubmission of the material contained in the initially approved application is not required. The program narrative for a noncompetitive continuation application consists of:

- Report of Progress of the Project
- Work-plan for the Coming Year
- Sustainability Plan for grantees attempting to enter year 3 or 7

If you are completing the first year of your project, some of the information in the program narrative outline may be difficult to answer. This may be particularly true if there have been delays in starting up portions of your project. When information is not available, indicate so by discussing in appropriate detail.

**Report on Progress of the Project**

Provide a reflective look back over the past year (Oct 2006 – Oct 2007) by providing brief responses to the following questions and requests regarding the identified goals of the DFC Program as outlined in your funded FY07 DFC application. Please limit your responses for Sections I and II to six pages. Part or all of the information may be put into a chart format (as a logic model) rather than narrative format, if it depicts the same information requested.

Strategy	Activity	Outcome	Responsibility	Resources

- I. Goal 1: 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.
- a. Briefly describe the identified strategies and activities implemented toward this goal and identify measurable success of these activities or strategies. Specifically address the work the coalition has done this year with regard to these three strategies:
    - Participation and support of community activities from one or more community sector(s)
    - Resources or social capital generated (new partners, monetary contributions, new volunteers, additional sectors added, etc.)
    - Connection to other funding streams supported by State, Federal or private funding or programs (e.g., Substance Abuse Block Grant, Safe and Drug Free Schools and Communities, Reduce Underage Drinking through Laws, Strategic Prevention Framework State Incentive Grant).
  - b. As a result, what lessons were learned?
  - c. What types of training or technical assistance did the coalition receive this year? Describe how it was beneficial to the work of the coalition.
  - d. Is the coalition meeting the needs of diverse cultural aspects of the community? If not, how can the coalition shift its plan to better address these issues?
- II Goal 2: Reduce substance abuse among youth and, over time, among adults by addressing factors in the community that increase the risk of substance abuse and promoting the factors that minimize the risk of substance abuse.
- a. Briefly describe the strategies and activities from the coalition's annual plan related to this goal that are being implemented this grant year. Listed below are the seven types of strategies that foster community change. Please label the type of each strategy being implemented by the coalition with the appropriate label in bold from the description below. (Choose only those bolded labels that apply)
    1. **Provide Information** – Educational presentations, workshops or other public information (e.g., presentation of data, public announcements, brochures, billboards, community informational meetings, forums, web-based communication, etc.).
    2. **Enhance Skills** – Workshops seminars or other activities designed to increase the skills of participants, members and staff needed to create population level outcomes (e.g., training, technical assistance, distance learning, strategic planning retreats, etc.).
    3. **Provide Pro-Social Support** – Provide opportunities to support people to participate in activities that reduce risk or increase resiliency (e.g., alternative

activities, youth development, social or leadership clubs/organizations, mentoring activities, referrals to services, support groups, etc.).

4. **Changing Consequences** – (Incentives/Disincentives) Increasing or decreasing the probability of a specific behavior that reduces risk or enhances protection by altering the consequences for performing the behavior (e.g., Incentives: reward & recognition or public awards for deserved behaviors, “walls of fame,” newspaper announcements, retailer recognition, etc., Disincentives: citations, consistent penalties & fines, revocation/loss of privileges, price or tax for substance abuse products, random drug testing).
  5. **Modifying /Changing Policies** – Formal changes in written procedures, by-laws, proclamations, rules or laws with written documentation (e.g., drug free school/workplace policies, appropriate and consistent law enforcement and judicial actions, social host liability, keg registration, minimum drinking ages, prescription drug monitoring, marijuana criminal penalties or sanctions, restrictions on sales of meth precursors, etc.).
  6. **Physical Design** – Changing the physical design or structure of the environment to reduce risk or enhance protection (e.g., regulating sales or restricting consumption location of alcohol and tobacco in public places or at public events, creating smoke-free environments, product placement of alcohol and tobacco products, drug paraphernalia or designer drugs/stimulant products, etc.).
  7. **Altering Access to Substance Abuse Systems or Services** – Coalitions should ensure that community services for and systems designed to prevent, interrupt or intervene in substance abuse behaviors are adequate for the community need, easy to access, and utilized by the community. (e.g., parenting education, after-school programs, juvenile court services, treatment and counseling services, etc.) This is the work many of the individual sectors involved in the coalition do and should not be the major work of the coalition to implement these programs or services.
- b. As a result of implementing these strategies and activities, have there been any changes in the underlying causes, problems or associated consequences (drug possession charges, alcohol sales violations, school suspensions for drug use, referrals to juvenile court for drug related charges, etc)? Briefly describe these changes and successes.
  - c. Briefly describe how these collective strategies/activities are impacting the identified core measures (age of onset, 30 day use, perception of risk or harm, perception of disapproval of use by parents). Are there any changes to report in these core measures? Are there changes in substance abuse rates in the community that can potentially be credited to the work of the coalition?
  - d. Is the coalition currently reporting on all required core measures? If not, identify what is not being collected and what actions the coalition has taken this year to resolve the problem. Briefly describe the coalition’s plan to ensure all core measures are reported within the coming year.

- e. What, if any, were the barriers to implementing the identified strategies/activities?
- f. Were resources (time, people, money, and partners) sufficient to carry out the identified activities? If not, how will the coalition adjust the plan or secure the additional resources?
- g. Were there any surprises or unanticipated changes needed in your action plans for the year? If so, how did the coalition cope with them? What lessons were learned that can be applied to future plans?

**III.** Are there any organizational structure changes or staff responsibilities that need to be adjusted? If yes, please describe. Include a description of changes in key staffing, if any, for the project personnel, time spent, and/or responsibilities. **Note: Resumes and qualifications of new key staff must be attached.**

**Work-plan for the Coming Grant Year** (September 30, 2008 through September 29, 2009)

This section serves as the one-year Action Plan (**up to 6 pages**) that puts into action the components necessary to carry out effective community change strategies (seven strategies for community change).

In this section, applicants must describe the following:

Provide an Action Plan for the continuation year of the DFC grant. Include the following for each of the two DFC Program identified goals:

- brief description of what specific strategies and activities the coalition will undertake,
- what outcome(s) each activity will create,
- briefly describe how the coalition will measure progress toward achieving the outcome related to each activity and how that ties into the identified targeted substance abuse and related consequences or problems identified in the grant application, who in your coalition and community is responsible for each activity,
- what resources you will need to achieve the desired outcome for each activity.

Strategy	Activity	Outcome	Responsibility	Resources

### **Sustainability Plan**

Grantees currently in the year 2 or 6 of funding (submitting a continuation application for year 3 or 7) need to submit a separate sustainability plan with this application. Please develop the sustainability plan by addressing the seven areas listed below. The main purpose of the sustainability plan should be to help the community sustain the outcomes or community changes that are reducing substance abuse in the community.

1. Connect the sustainability plan to the coalition's overall strategic plan.
2. Identify what outcomes and strategies need to be sustained to keep substance abuse rates from increasing or to continue driving them down.
3. Identify what resources will be required in the future to keep these strategies or changes in place.
4. Create case statements that describe the community need, the impact of the coalition's work and the consequences of the coalition's work not continuing.
5. Determine funding strategies that will support the work of the coalition in the future, especially after Federal funding is no longer available.
6. Identify potential partners for each identified funding strategy.
7. Create an action plan to contact and present the sustainability plan to potential partners.

Further information on sustainability may be found on the National Coalition Institute's Website at the following address: <http://www.coalitioninstitute.org>

Sustainability is listed under Strategic Prevention Framework in the yellow box on the left side of the Coalition Institute home page.

### III. PHS 5161-1 Checklist

Type of Application: Check "Noncompeting continuation"

Part A - Item 4: List the date the HHS 690 was submitted

Part B - Item 1: Public Health System Impact Statement for the program should have been completed and distributed with the first year of the award.

Part C - The "administrative official to be notified..." should be either the authorizing official identified in Item 21a on SF 424 or the designated business official of the applicant organization.

The individual "designated to direct the proposed project or program" **must be** the same individual (Program Director) identified on SF 424 – Item 8f .

Part D: If non-profit status was previously filed complete bottom portion. If this is a new non-profit designation submit at least one of the required documents with the application.

## SF LLL – Disclosure of Lobbying Activities

If your organization conducts lobbying activities complete all parts of the form and return with the application.

If your organization doesn't conduct lobbying activities indicate "Not Applicable" on the form and return with the application.

## ELIGIBILITY CERTIFICATION CHECKLIST

Complete the attached worksheet.

**Drug Free Communities Support Program (DFC) Continuation Application  
Eligibility Certification Checklist**

In accordance with the criteria set forth in the Drug Free Communities Act, 1997 (Public Law 105-20) and subsequent reauthorizations, coalitions funded through the DFC Program must demonstrate that the coalition continues to meet the statutory eligibility requirements annually as part of the grant renewal or continuation process.

Coalitions who do not continue to meet the statutory eligibility requirements may be placed on a High Risk restriction and may be required to submit supporting documentation regarding the eligibility requirements. Failure to meet eligibility requirements may result in loss of continued grant funding.

The coalition is required to complete this Eligibility Certification Checklist as part of the annual grant renewal process. The Authorized Representative for the coalition should initial next to each numbered item below and check whether or not the coalition is still in compliance with each eligibility requirement. If the Coalition is not in compliance with a given element, an explanation should be documented as to why the coalition is not currently in compliance and what the coalition plans to do to achieve the requirement within the next 90 days.

- | Initials | Yes   | No    |  |
|----------|-------|-------|--|
| _____    | _____ | _____ | 1. The coalition has submitted a continuation (renewal) grant application.   |
| _____    | _____ | _____ | 2. The coalition has one or more representatives of the 12 major sectors of a community including, if applicable, the single State Authority for substance abuse, and, if feasible, an elected official from local or tribal, State and the Federal Government (21 U.S.C. 1532). |
| _____    | _____ | _____ | 3. The coalition has been in existence for at least 6 months, with substantial involvement from volunteer leaders or members.  |
| _____    | _____ | _____ | 4. The coalition has as its principal mission the reduction of substance abuse in a comprehensive and long-term manner, with a primary focus on youth in the community and strategies to achieve the mission.  |
| _____    | _____ | _____ | 5. The coalition can be sustained as an ongoing concern with non-Federal financial support.  |

\_\_\_\_\_ 6. The coalition has established a system to measure and report the DFC program's four required measures [(1) age of onset of any drug (including alcohol, marijuana and tobacco); (2) frequency of drug use in the past 30 days (including alcohol, marijuana and tobacco); (3) perception of risk or harm; and (4) perception of disapproval of use by adults (including alcohol, marijuana and tobacco)].

If an item above is checked "NO", an explanation should be provided in the space below to document what the reason is that the coalition does not currently meet this requirement and what corrective action will the coalition undertake to become fully compliant within the next 90 days.

I hereby acknowledge that the above statements are true and can be verified with supporting documentation upon request.

\_\_\_\_\_  
Authorized Representative

\_\_\_\_\_  
Date