



Drug-Free Communities Support Program

GRANTEE

handbook

2014

Drug-Free Communities (DFC) Support Program
Drug-Free Communities (DFC) Mentoring Program

Congratulations on becoming a grantee in the Drug-Free Communities Support Program or the Drug-Free Communities Mentoring Program!

Your Federal partners hope that you find the transition from applicant to grantee to be an exciting and smooth process. We recognize, however, that this new role may be a bit daunting at times. You will have plenty of support as you begin implementing your grant. This handbook has been given to you as a quick reference tool.

In this Grantee Handbook, you will find helpful information about:

- Your Federal and non-Federal partners;
- Federal requirements and regulations;
- Implementation tips;
- Grant fundamentals; and
- Technical assistance resources.

The handbook outlines key roles and responsibilities, and explains procedures for post-award activities, changes, and the continuation application processes. It also includes helpful reference materials such as an acronym chart, glossary, and helpful Web links.

Please read through the handbook and familiarize yourself with its contents. If you need additional information or direction, please contact your CSAP Government Project Officer (GPO) and/or Grants Management Specialist (GMS). Their contact information is listed at the bottom of your Notice of Award (NoA).

NOTE: This handbook is not intended to replace the detailed information about managing your Federal grant, found in the HHS Grants Policy Statement, OMB Circulars and 45 CFR Part 74 or 92. You may access these documents through <http://www.samhsa.gov/grants>. Please visit this website regularly to familiarize yourself with this information to assist you with managing your Federal grant. This guide may be updated periodically to reflect changes in policies and procedures.

The Drug-Free Communities (DFC) Support Program is a collaborative effort between the White House Office of National Drug Control Policy (ONDCP) and the Substance Abuse and Mental Health Services Administration (SAMHSA).

The primary purpose of the DFC Program is to strengthen collaboration among community entities and reduce substance use among youth. DFC grantees are required to work toward these two goals as the primary focus of their Federally-funded effort.

The DFC Program funds community coalitions that have formed to address youth substance use. Communities often understand that local stakeholders and citizens hold the key to solving local problems. Community-based coalitions are created every day in this country for this reason. We recognize that effective substance abuse prevention requires the participation of all key sector stakeholders in a community working together, and utilizing environmental strategies to achieve successful population level change is a multi-year process.

While responsibility rests with the grantee and the community members for achieving the primary goals of the program, SAMHSA and its designated representatives provide ongoing grant monitoring, technical assistance, consultation, and coordination in the conduct of the project during the funding period. In addition, grantees are bound by the specific terms and conditions of the Notice of Award, the applicable statutes and regulations from the Public Health Service Grants Policy Statement, and all requirements in the Program Announcements.

As Federal partners, ONDCP and SAMHSA collaborate on all aspects of the national DFC Program. Together, we are working to support, improve, and enhance this important national substance use prevention effort in communities across the Nation and the U.S. Territories. To date, more than 2,000 communities have participated in the DFC Program. ONDCP and SAMHSA would like to welcome you as you begin your new grant award period.

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Commonly Used Acronyms

CCR	Central Contractor Registration	GPO	Government Project Officer
CCT	Coalition Classification Tool	GSA	General Services Administration
CFR	Code of Federal Regulations	HHS	Department of Health and Human Services
COMET	Coalition Online Management and Evaluation Tool	NCA	National Coalition Academy
DCP	Division of Community Programs	NCI	National Coalition Institute
DGM	Division of Grants Management	NoA	Notice of Award
DPM	Division of Payment Management	OIG	Office of the Inspector General
FFATA	Federal Funding Accountability and Transparency Act	OMB	Office of Management and Budget
FFR	Federal Financial Report	PMS	Payment Management System
FSR	Financial Status Report	RFA	Request for Applications
FSRS	Federal Sub-award Reporting System	SAM	System for Award Management
GMO	Grants Management Officer	SF	Standard Form
GMS	Grants Management Specialist	SPF	Strategic Prevention Framework
		TA	Technical Assistance

DFC 2015 Calendar Items and Deadlines

Date	Event	Description
January		
January	Continuation Applications	An application for continuation funding for future Budget Years.
January 30	1st - Quarterly Federal Financial Report (FFR)	(Standard Form 425) The quarterly FFR is due 30 days after the quarter ends (October 1 – December 31). Quarterly FFR information is provided on the DPM website at http://www.dpm.psc.gov/ (Not the same as annual FFR) .
January 30	Annual Federal Financial Report (FFR) (SF 425)	Annual FFRs (SF 425) must be submitted to your Grants Management Specialist. A financial report is due 90 days after the end of each budget year and must be submitted no later than January 30th. It is required on an annual basis and must be submitted for each 12-month budget year period.
January 30	10% Expanded Carryover Authority	Annual FFR (SF 425) must be submitted to your Grants Management Specialist to utilize the 10% Expanded Carryover Authority with your intent in the remarks section (Box 12). Example: Intent to utilize the 10% Expanded Carryover Authority in the amount of \$XX,XXX from Year XX to Year XX.
February		
February 2-5	CADCA's 25th National Leadership Forum and SAMHSA's 11th Prevention Day—Gaylord National Hotel & Convention Center, National Harbor, MD	Join us for the 25th National Leadership Forum, the premier and largest training conference for community prevention leaders, treatment professionals and researchers, and SAMHSA's 11th Prevention Day.
First Monday of February	Requests for Carryover funds	Formal Carryover of unspent funds from one fiscal year to the next fiscal year requires prior approval from the GMO.
February 11	DFC Semi-Annual Progress Reports	Due to be submitted through the Coalition Online Management and Evaluation Tool (COMET).
March		
No scheduled events		
April		
April 30	2nd - Quarterly Federal Financial Report (FFR)	(Standard Form 425) The quarterly FFR is due 30 days after the quarter ends (January 1 – March 31). Quarterly FFR information is provided on the DPM website at http://www.dpm.psc.gov/ .

DFC 2015 Calendar Items and Deadlines

May

No scheduled events

June

No scheduled events

July

July 29

No Cost Extension

A no-cost time extension may be requested if the grantee requires additional time beyond the established expiration date (project end-date). The grantee must submit a written request for an extension to the SAMHSA awarding office **no later than 60 days prior to the expiration date of the project period.**

July 30

3rd - Quarterly Federal Financial Report (FFR)

(Standard Form 425) The quarterly FFR is due 30 days after the quarter ends (April 1 – June 30). Quarterly FFR information is provided on the DPM website at <http://www.dpm.psc.gov/>.

August

August 2-6

CADCA Mid-Year Training Institute—JW Marriott Hotel, Indianapolis, IN

A four-day training event with skills-building courses including lectures and “laboratory application” periods. Coalition leaders can use these tools to more effectively plan and implement population-level changes in their communities. Courses vary from half-day to one-day seminars.

August 12

DFC Semi-Annual Progress Reports

Submitted through the Coalition Online Management and Evaluation Tool (COMET).

September

September 30

New Grant Fiscal Year begins

Notices of Awards are sent out to the Business Official for each DFC grant.

October

October 30

4th - Quarterly Federal Financial Report (FFR)

(Standard Form 425) The quarterly FFR is due 30 days after the quarter ends (July 1 – September 30). Quarterly FFR information is provided on the DPM website at <http://www.dpm.psc.gov/>.

November

November 10

Drug-Free Communities Mentoring Program Progress Reports

Guidance regarding the submission of DFC Mentoring Progress Report will be sent out via the Government Project Officer.

DFC 2015 Calendar Items and Deadlines

December

Early December	New Grantee Meeting	All DFC Year 1 and 6 grantees must send two representatives to the New Grantee Meeting; one must be the person charged with the daily oversight of the coalition. DFC Mentoring grant recipients are also required to send two people to the New Grantee Meeting. One must be from the Mentor coalition and one must be from the Mentee coalition.
December	Requirements for Grantees in Year 3 and 7	The coalition must submit, via e-mail, a Sustainability Plan to the Government Project Officer within 60 days after the start of the 3rd and 7th years of DFC funding.

Introduction

In this section, you will find information on the Federal partners that make the Drug-Free Communities Support Program possible. This section also highlights the roles and responsibilities of you, as the grantee, as well as your Drug-Free Communities Support Program partners.

Purpose of the Drug-Free Communities Support Program

The primary purpose of the Drug-Free Communities (DFC) Support Program is to strengthen collaboration among community entities and reduce substance use among youth. DFC grantees are required to work toward these two goals as the primary focus of their Federally-funded effort. Grants awarded through the DFC Program are intended to support established community-based coalitions capable of effecting community-level change. For the purposes of the DFC Program, a coalition is defined as a community-based formal arrangement for cooperation and collaboration among groups or sectors of a community in which each group retains its identity, but agrees to work toward a common goal of building a safe, healthy and drug-free community. Coalitions receiving DFC funds are expected to work with leaders within their communities to identify and address local youth substance use problems and create sustainable community-level change through environmental strategies.

Office of National Drug Control Policy

The White House Office of National Drug Control Policy (ONDCP) administers the DFC Program. This program provides grants to community coalitions that mobilize their communities to prevent youth substance use.

The grants support coalitions of youth; parents; media; law enforcement; school officials; faith-based organizations; fraternal organizations; state, local, and Tribal government agencies; healthcare professionals; and other community representatives. The DFC Program enables coalitions to strengthen their coordination and prevention efforts, encourage citizen participation in substance use reduction efforts, and disseminate information about effective programs.

For more information about ONDCP, visit: <http://www.whitehouse.gov/ondcp/>.

Substance Abuse and Mental Health Services Administration

The Substance Abuse and Mental Health Services Administration (SAMHSA) was established in 1992 and directed by Congress to effectively target substance abuse and mental health services to the people most in need, and to translate research in these areas more efficiently and rapidly into the general health care system. SAMHSA's mission is to reduce the impact of substance abuse and mental illness on America's communities. In order to achieve this mission, SAMHSA has identified six Strategic Initiatives to focus the Agency's work on improving lives and capitalizing on emerging opportunities. These initiatives are:

1. Prevention of Substance Abuse and Mental Illness
2. Health Care and Health Systems Integration
3. Trauma and Justice
4. Recovery Support
5. Health Information Technology
6. Workforce Development

Over the years, SAMHSA has demonstrated that prevention works, treatment is effective, and people recover from mental and substance use disorders. Behavioral health services improve health status and reduce health care and other costs to society. Continued improvement in the delivery and financing of prevention, treatment, and recovery support services provides a cost-effective opportunity to advance and protect the nation's health.

Since 1998, ONDCP has awarded more than 2,000 DFC grants to communities that represent a cross-section of communities from every region in the nation and include rural, urban, suburban, and Tribal communities. As Federal partners, ONDCP and SAMHSA collaborate to provide comprehensive program management and administrative support to improve and enhance this important national substance abuse prevention effort.

For more information about SAMHSA's organizational structure, visit: <http://www.samhsa.gov/about-us>.

Center for Substance Abuse Prevention

The Center for Substance Abuse Prevention's (CSAP's) Division of Community Programs (DCP) provides day-to-day programmatic oversight, monitoring and support of the DFC Program. DCP staff serve as Government Project Officers (GPOs) providing prevention expertise and guidance to all DFC and DFC Mentoring Program grantees.

Substance abuse prevention is one of the greatest public health challenges for our country. Research has shown not only which prevention interventions work, but also that prevention is cost-effective. Now, communities and states are using data-driven decision-making as they decide which evidence-based programs, practices, and policies work best to keep their citizens healthy. Communities and states across the nation continue to invest in prevention because it contributes to better health and improved quality of life.

The goal of prevention of substance abuse and mental illness is SAMHSA's first Strategic Initiative. CSAP's charge is to create prevention efforts that engage individuals, families, schools, workplaces, and support communities to promote emotional health and prevent and reduce mental illness, substance abuse including tobacco, and suicide. For prevention resources, materials and more information about CSAP, visit: <http://www.samhsa.gov/prevention>.

Division of Grants Management

The Division of Grants Management (DGM) strives to meet the SAMHSA mission by leading the agency's financial assistance efforts. The DGM awards and monitors financial assistance effectively and efficiently and ensures compliance with public policy. It is important that all grantees have a common perspective and equality of grant availability.

The DGM performs the following functions:

- Develops, implements, and coordinates the application of Agency standards, methods, and procedures for the management of grants and cooperative agreements;
- Provides guidance to the Agency, prospective applicants, and grantees on the management and administrative aspects of SAMHSA grant programs;
- Reviews applications, reports, and active projects to ensure compliance with management policies, and procedures;
- Prepares, processes, and disseminates award documents;
- Prepares special and recurring reports relating to applications and awards; and
- Measures and tracks grant management performance.

For more information about the DGM, visit: <http://www.samhsa.gov/grants/grants-management>.

HHS Division of Payment Management

Payments for your grant are made available through the Division of Payment Management (DPM).

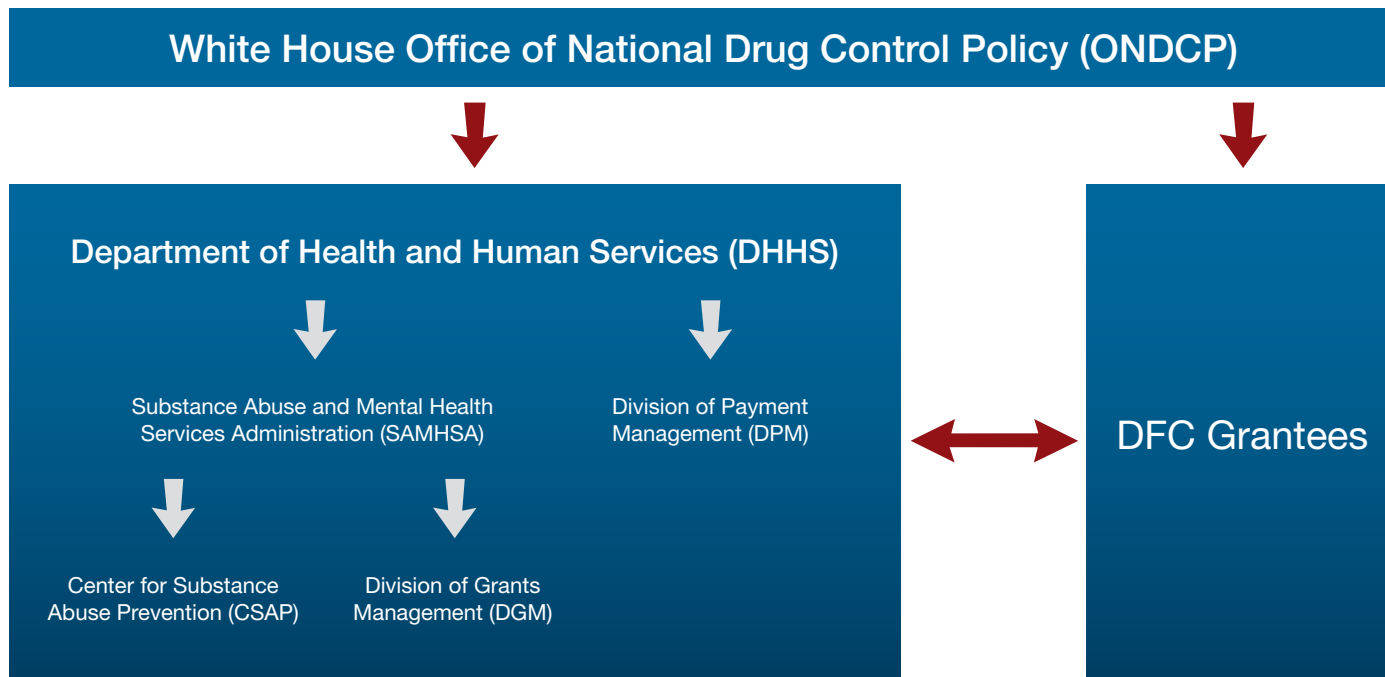
The Payment Management System (PMS) is a centralized grants payment and cash management system, operated by the HHS Program Support Center (PSC), DPM.

NOTE: All grantees must register with DPM to begin to draw down funds for their grant. To register with DPM, visit <http://www.dpm.psc.gov>.

Roles and Responsibilities

The DFC Program is a collaborative effort between the Executive Office of the President's ONDCP and SAMHSA.

Drug-Free Communities (DFC) Federal Partners



Roles and Responsibilities of the Grantee

Along with the acceptance and receipt of a grant award come many responsibilities involving the management and administration of programmatic, financial, and reporting aspects of the grant project.

For the purposes of the DFC Program, a “**grantee**” is either a coalition that has received a grant or an outside agent that is serving as the grantee on behalf of a community coalition under the competitive Request for Applications (RFA) process.

Grantees are required to maintain key personnel. Key personnel are individuals who contribute to the project in a substantive, measurable way, whether or not they receive salaries or other compensation under the grant.

For the purposes of the DFC Program, key personnel are the **Program Director** and **Project Coordinator**. The Program Director and the Project Coordinator may be the same person. The Program Director is an individual who provides daily oversight of the grant, including fiscal and personnel management, community relations, implementation, and evaluation. The Project Coordinator is an individual who coordinates coalition services and DFC project activities, including training, coalition communication, data collection, and information dissemination.

Grantees must meet the following Statutory Eligibility Requirements each year while the coalition is funded by the DFC Program. Failure to meet any one of these requirements is considered non-compliance with grant regulations.

Grantee Requirements	Requirement Details
Statutory Eligibility Requirements for All DFC Grantees (coalitions or outside agents)*	<ul style="list-style-type: none"> The grantee must be an entity eligible to receive Federal funds. The grantee must not request more than \$125,000 per year. The grantee must document the level of non-Federal match defined in the DFC Act. The grantee cannot be awarded more than one DFC grant at a time.
Other Requirements for All DFC Grantees (coalitions or outside agents)	<ul style="list-style-type: none"> The grantee must continue the implementation of the specific goals and objectives outlined in the approved application for DFC funding. The grantee must develop a funding plan that ensures (1) the required match of requested Federal funds, and (2) solicitation of substantial financial support from non-Federal sources for sustainability purposes. The lead paid staff (Program/Project Director) and each sector category representative of the DFC-funded coalition must participate in the DFC Workstation (http://www.drugfreecommunities.org), so that he/she receives information from the DFC on a timely basis. The grantee must use the Strategic Prevention Framework (SPF), a five-step evidence-based process for community planning and decision-making. The grantee must plan and implement environmental strategies (see Overview of Environmental Strategies, page 26) as part of his/her Strategic and Action Plans.
Statutory Eligibility Requirements for DFC-Funded Coalitions (if you are the grantee for a separate coalition, you are still responsible for ensuring all eligibility criteria are met by the coalition)	<ul style="list-style-type: none"> The coalition must have at least one representative from each of the required 12 sectors, as outlined in the RFA and the Drug-Free Communities Act of 1997. The coalition must maintain meeting minutes that demonstrate that it is a unique entity that has substantial involvement from its members and is working toward the two goals of the DFC Program. The coalition must address multiple (more than one) drugs per year in its annual Strategic/Action Plans for each year of funding. The coalition must have as its principal mission the reduction of youth substance use. The coalition has not already received 10 years of DFC funding. The coalition must capture and provide the data required by the DFC National Evaluation.

***Requirements for Grantees in Year 3 and 7:** The coalition must submit, via e-mail, a Sustainability Plan to the GPO within 60 days after the start of the 3rd and 7th years of DFC funding.

For additional information on FY 2014 DFC Grantee Terms and Conditions, go to

<http://www.whitehouse.gov/ondcp/information-for-current-grantees>. All DFC grantees are required to comply with Terms and Conditions related to their grant. If you have questions, contact your GPO (programmatic issues) or Grants Management Specialist (GMS) (fiscal issues). The Terms and Conditions are outlined within the award and all continuation awards sent out by SAMHSA to each grantee at the beginning of each new fiscal year.

Roles and Responsibilities of the Office of National Drug Control Policy

- ONDCP makes final funding decisions for new and continuation grants;
- ONDCP makes program policy decisions regarding the DFC Support Program;
- ONDCP provides oversight of the National Cross-Site Evaluation of the DFC Support Program;
- ONDCP reports to the President and Congress on progress and success of the DFC Support Program; and
- ONDCP confers with SAMHSA for day-to-day management of DFC grants.

Roles and Responsibilities of the Grants Management Officer

The **Grants Management Officer** (GMO) is the individual within SAMHSA's DGM designated to serve as the official responsible for the business and non-programmatic management aspects of a particular grant(s). The GMO is responsible for all Federal business management matters associated with the review, negotiation, award, and administration of the assigned grants and interprets grants administration policies and provisions. **The GMO is the only person who may grant required prior approvals.** All changes in the terms of the grant award must be in writing by the GMO or designee by issuing a revised NoA.

Roles and Responsibilities of the Grants Management Specialist

Each grantee is assigned a **Grants Management Specialist** (GMS), working under the guidance of a GMO, who is the **primary point of contact** for all business and financial management matters related to your grant's review, negotiation, award, and administration, and who interprets and enforces grants administration policies and provisions. Your GMS works closely with your GPO. The GMS is assigned responsibility for the day-to-day management of the DFC Support Program grants. Specialists' activities include, but are not limited to:

- Post-award grant administration activities including: budget revisions; carryovers; change in grantee; change in scope or nature of the annual plan; and change of key personnel.
- Utilization of information from site visits, reviews of expenditure and audit reports, and other appropriate means to assure that the project is operated in compliance with all applicable Federal laws, regulations, guidelines, grant eligibility requirements and terms and conditions of award. Questions concerning the applicability of regulations and policies of this grant program, and all required prior approvals, such as requests for permission to expend funds for certain items, should be directed to the GMS.
- Review and validation of the Federal Financial Reports (FFR) at the end of each budget year monitoring grant expenditures and assuring that grantees comply with the match requirements.
- Technical Assistance (TA) on various grants management issues to grantees and the GPO.
- In concert with the GPO, site visits to review grantees' financial compliance.
- Along with the GPO, review and processing of no-cost extension requests.

GMS CONTACT: The NoA lists the GMS assigned to your grant, or you may access the name and contact information at: <http://www.whitehouse.gov/ondcp/Drug-Free-Communities-Support-Program/contacts>.

NOTE: All e-mails to GMSs should include the grant number in the subject line. The GPO should be “cc’d” (copied) on all e-mails to the GMS.

Roles and Responsibilities of the Government Project Officer

Each grantee is assigned a **Government Project Officer** (GPO) who works in CSAP and oversees the programmatic aspects of the DFC grants. Communication and coordination between personnel is essential for a successful grant project. GPO duties include:

- Initial contact with each grantee shortly after the grantee receives the NoA from SAMHSA. This discussion, at a minimum, should include clarification of program goals and objectives; review of Government Performance and Results Act (GPRA) targets; a review of staff; a determination of whether there are immediate needs for training or technical assistance; and review of the budget, terms and conditions or other issues.
- Regular and ongoing contact with grantees, at a minimum on a monthly basis, through e-mail, phone calls, and site visits.
- Review of the semi-annual progress reports submitted via the Coalition Online Management and Evaluation Tool (COMET) system and feedback to the grantee on whether performance is satisfactory.
- Ongoing project monitoring and coordinating with SAMHSA's DGM, which conducts the fiscal oversight of the grantee, where appropriate. Program aspects of monitoring are accomplished by collecting and continuously reviewing information from telephone communications, site visits, progress reports, correspondence, COMET submissions, technical assistance reports, grantee meetings, and other sources.
- Initiation of corrective action, as needed.

GPO CONTACT: The NoA lists the GPO assigned to your grant program, or you may access the name and contact information at: <http://www.whitehouse.gov/ondcp/Drug-Free-Communities-Support-Program/contacts>.

Roles and Responsibilities of the Division of Payment Management

The **Division of Payment Management** (DPM) uses a custom-developed PMS that provides grantees the tools to manage grant payment requests, and disbursement reporting activities. The DPM:

- Processes grant fund payment requests (draw downs);
- Responds to questions regarding the PMS application;
- Assists grantees having difficulty navigating through PMS application system menus and processes;
- Resets PMS user passwords; and
- Is responsible for collecting quarterly FFRs (cash transaction reports) via the PMS.

For more information regarding the DPM, visit <http://www.dpm.psc.gov>. To contact the PMS Help Desk, call 1-877-614-5533, Monday-Friday from 7 a.m. to 9 p.m. ET, or e-mail PMSSupport@psc.gov.

Grant Implementation

In this section, you will find information on documents, procedures, and processes you will use during grant implementation.

The Notice of Award

The Notice of Award (NoA) is the official, legally binding document that:

- Notifies the recipient of the award of a grant;
- Contains or references all the terms and conditions of the grant and Federal funding limits and obligations; and
- Provides the documentary basis for recording the financial and programmatic obligations.

Upon receipt of the NoA, the grantee should review the cover letter to ensure that the name and address are correct.

Contact your Grants Management Specialist (GMS) immediately in the event any information is not correct or should you have any questions. NoAs are sent electronically to the business official identified in the DFC application.

The NoA is divided into the following sections:

Sections of the Notice of Award	Descriptions
Project and Budget Periods	The initial DFC project is for several years (usually 5 – including the initial award). The budget period is for 1 year only. Grantees are required to submit a “continuation” application for each budget period. The Project Period and Budget Period are different. A Budget Period is the 12-month period for which funds are allocated. The start date and end date of the Budget Period are indicated on the NoA. The Project Period is the total time period for Government support of the project, usually a fixed number of years. Refer to your NoA for the project period of your award.
Section I	Lists the approved budget as submitted and negotiated by SAMHSA and the grantee. This section further lists the “summary totals for all years.” This is the amount of funding (if available and grantee is in compliance with the terms of the award) that the grantee may request in each of the continuation years of the award.
Section II	Lists the Payment Management System (PMS) information and the Officer of the Inspector General (OIG) hotline information.
Section III	Explains the “order of precedence” regarding the laws and regulations that govern this award. Note that it is the grantee’s responsibility to know and follow the rules and regulations shown in this section. Failure to adhere to these guidelines may result in enforcement actions, up to and including termination of the award.
Section IV	Lists the special, program-specific, and standard terms and conditions of this award. Note that drawing down of funds through the PMS system denotes your acceptance and agreement to follow the terms and conditions of the award.

Sections of the Notice of Award	Descriptions
Reporting Requirements	Outlines the different reporting requirements and specific due dates (as known at the time of the award).
Indirect Costs	SAMHSA allows grantees to submit indirect costs for this grant program. If you chose to have indirect costs, this section directs you to the Division of Cost Allocation for more information.
Contacts	This section lists the contact information for the Government Project Officer (GPO) and the Grants Management Specialist (GMS) assigned to your grant. Note that these may change in the course of the year; therefore, refer to the contact list at http://www.whitehouse.gov/ondcp/Drug-Free-Communities-Support-Program/contacts if you need to update contact information.

Grant Payments

All grantees must register with the Division of Payment Management (DPM) to begin to draw down funds for their grant.

All organizations must submit the following forms in order to become established in the Payment Management System (PMS), regardless of whether they already have a PMS Account Number with a different Federal Agency.

- Direct Deposit Sign-Up Form (SF-1199A)
- DPM PMS System Access Form

To access forms from the DPM website:

- Go to <http://www.dpm.psc.gov>
- Click on “Grant Recipient Info”
- Click on “Forms”

All original* documentation should be forwarded to:

U.S. Department of Health and Human Services
PSC/FMS/Division of Payment Management
7700 Wisconsin Avenue – Suite 920
Bethesda, Maryland 20814

Faxed, scanned, e-mailed, or photocopied documents will **not be accepted.*

Overview of the Strategic Prevention Framework

The Strategic Prevention Framework (SPF) is an important planning process for implementing a DFC grant in your community. This framework is integral in monitoring the effectiveness of your prevention efforts.

The Importance of the Strategic Prevention Framework

DFC coalitions are an important part of the national strategic prevention system. By virtue of your DFC grant award, your community coalition has been asked to use the SAMHSA/CSAP SPF planning process to guide your community-based prevention efforts. It consists of five discrete but interconnected action-oriented planning steps:

- Assessment;
- Capacity building;
- Planning strategically;
- Implementation of a strategic plan; and
- Evaluation of your work.

The major objective for using the SPF in the DFC Program is to fund a large number of communities in all 50 states (plus the U.S. Territories) and enable them to locally develop and maintain coalitions to implement and support the advancement of prevention programs, policies, and practices. The SPF provides an effective prevention planning process and can lead to the development of a common set of coalition goals, objectives, strategies, activities, and tasks.

The five basic action-oriented steps are guided by the principles of cultural competence and sustainability. Each step contains key milestones and products that are essential to the validity of the process. Focused on systems development, the SPF reflects a public health, community-based approach to delivering effective prevention.



As a DFC Program grantee you should routinely use the SAMHSA/CSAP SPF elements in your work activities. It is important to build the capacity of your coalition to:

- Understand the importance of having a strategic prevention plan in place;
- Understand the logic incorporated into the SPF;
- Know each of the five steps and the activities involved with each one;
- Commit to implementation of your DFC SPF plan;
- Review the details of your SPF plan on a regular basis;
- Have a planning approach that is understood, shared and implemented by all members; and
- Implement, routinely monitor and regularly evaluate all SPF effort(s) during the course of each funding year (12 months) and the full 5-year grant cycle.

For more information on the SPF, please visit the following resources:

<http://www.samhsa.gov>

<https://store.samhsa.gov>

<http://www.cadca.org/files/resources/SPF-Competencies.pdf>

Overview of Environmental Strategies

Working to bring about environmental change reflects the most fundamental idea behind the SPF, a public health approach that seeks change for entire populations (the community at large). Environmental strategies complement prevention strategies such as providing information, education, and alternatives to substance use that focus on individuals. These strategies provide a foundation for coalitions to position themselves to achieve environmental and policy changes. This sort of top-down/bottom-up approach reflects the SPF principle that comprehensive strategies – multiple efforts across multiple sectors – work best.

Environmental strategies, initiatives, measures, and related substance abuse prevention efforts aim to change or influence community standards, institutions, structures, attitudes and policies that shape individuals' behaviors (with respect to the use of drugs, alcohol, and tobacco, etc.). Community coalitions have used environmental approaches to:

- Change public perceptions and attitudes regarding the consequences and consumption of drugs, tobacco, and alcohol and the overall impact(s) of drug abuse;
- Improve and enforce laws and regulations;
- Decrease the availability or access to alcohol and other harmful drugs; and
- Address other factors affecting public health and safety.

The DFC grant program specifically aims to mobilize the community in order to leverage the collective “know how” to impact environmental factors and conditions. This is hard work, but the return on the energy and resources expended can be a major force in reducing the specific substance abuse problem/issue being addressed.

A coalition that has effectively implemented environmental strategies has likely taken care to develop the capacity of its members in order to understand this important prevention approach/tool and ensure their participation in the process. It is important to directly link your assessed community problems to your coalition’s work and its efforts to impact environmental factors and influences. This will allow your coalition to select evidence-based environmental interventions and assess the community-level impacts.

Important Points Regarding the Use of Environmental Strategies in Your DFC:

- Environmental strategies differ from individual prevention efforts by focusing on changing the policies, procedures, systems, and attitudes affecting public health at the community level.
- The most effective prevention efforts target the individual **and** the environment.
- Environmental strategies focus on changing norms, adopting and enforcing laws and regulations, and reducing the availability and access to alcohol and other drugs.
- Prevention efforts that use environmental strategies typically are effective to the extent they demonstrate effects on “bottom line” measures (i.e., key health indicators).
- Often it takes a community coalition (just like yours) to bring about the environmental changes that over the long term make meaningful impacts on the problem of substance abuse. Your DFC coalition makes a difference!

For more information on Environmental Strategies, please visit the following resources:

<http://www.samhsa.gov>

<https://store.samhsa.gov>

[http://www.cadca.org/files/resources/Beyond the-Basics-Environmental Strategies-11-2010.pdf](http://www.cadca.org/files/resources/Beyond_the-Basics-Environmental_Strategies-11-2010.pdf)

SAMHSA’s Center for the Application of Prevention Technologies (CAPT) is a national substance abuse prevention training and technical assistance system and has a wealth of information and resources on strengthening prevention systems:

<http://captus.samhsa.gov>.

Requirements and Guidelines

In this section, you will find information on the requirements and guidelines that you will need to follow as you implement your grant, including financial management and reporting requirements.

Drug-Free Communities Act of 1997

ONDCP receives funding for the DFC Program from Congress through the Drug-Free Communities Act of 1997 (Public Law 105-20) to provide support to community-based coalitions that have formed to address local youth substance use and its related consequences. Since 1998, ONDCP has awarded more than 2,000 DFC grants. Grants have been awarded to communities from every region in the nation and include rural, urban, suburban, and Tribal communities.

Drug-Free Communities Statutory Eligibility Requirements

The Drug-Free Communities Act of 1997, along with subsequent reauthorizations of the DFC Program, has created statutory eligibility requirements that all DFC grantees and coalitions must follow and be able to demonstrate their compliance with at all times. These requirements are available at: <http://www.whitehouse.gov/ondcp/information-for-potential-applicants>.

Department of Health and Human Services Grants Policy Statement

The Department of Health and Human Services (HHS) Grants Policy Statement is a term and condition for all SAMHSA awards. This directive covers policy topics including, but not limited to, general administrative and public policy terms, cost considerations, and standards of conduct.

Part II of the HHS Grants Policy Statement describes selected allowable and unallowable cost items and activities.

A PDF version of the HHS Grants Policy Statement is available at:
<http://www.hhs.gov/asfr/ogapa/aboutog/hhsgps107.pdf>.

Federal Administrative Regulations

Administrative regulations Title 45, Code of Federal Regulations (CFR), Part 74 and 45 CFR, Part 92 are a term and condition for all SAMHSA awards.

Federal administrative regulations (45 CFR, Part 74 and 45 CFR, Part 92) are the rules and requirements that govern the administration of grants.

Part 74 applies to all grantees except those covered by Part 92, which governs awards to state and local governments.

The administrative regulations are available at: http://www.access.gpo.gov/nara/cfr/waisidx_04/45cfr74_04.html.

Allowable Costs and Activities

A typical DFC budget submission includes the salary and benefits of an individual that ensures effective day-to-day operations of the coalition, training, and technical assistance for the coalition, travel, and prevention efforts that place emphasis on environmental strategies. Guidelines for determining allowable and unallowable expenditures are outlined in the Federal cost principles. The allowability, reasonableness, and necessity of costs that may be charged to DFC Support Program grants are outlined in the cost principles chart below.

Cost Principle	Applies to
OMB Circular A-21 http://www.whitehouse.gov/omb/circulars_a021_2004	Institutions of Higher Education
OMB Circular A-87 http://www.whitehouse.gov/omb/circulars_a087_2004/	State, Local and Tribal Governments
OMB Circular A-122 http://www.whitehouse.gov/omb/circulars_a122_2004	Nonprofit Organizations
45 CFR Part 74, Appendix E http://www.gpo.gov/fdsys/granule/CFR-2007-title45-vol1/CFR-2007-title45-vol1-part74-appE	Hospitals

What the Drug-Free Communities Support Program Funds

The DFC Program funds one thing: community coalitions that have been formed to address youth substance use. Communities often understand that local stakeholders and citizens hold the key to solving local problems. In realizing this, community-based coalitions are created every day in this country.

DFC does **not** fund programs or services. DFC does **not** fund the following (not a fully exhaustive list):

- Afterschool programs;
- Youth mentoring programs;
- Sports programs;
- Treatment services/programs/facilities;
- Drug courts;
- Anything considered “direct services”;
- Construction; or
- Landscaping/neighborhood revitalization projects.

In addition, DFC Program grant recipients must comply with the following funding restrictions:

- DFC grant funds must be used for purposes supported by the program.
- DFC grant funds may not be used to pay for any lease beyond the project period.
- DFC grant funds may not be used to pay for the purchase or construction of any building or structure to house any part of the grant project.
- **Food is generally unallowable. Exceptions could include when food is used as a small incentive (not to exceed \$2.50 per person) to encourage participation in a community-wide event. Food is not allowable for general coalition or subcommittee meetings.**
- No more than 20 percent of the total grant award may be used for evaluation.
- DFC grant funds may not be passed-through to another entity to conduct the substantive programmatic work on the program. The funded coalition is expected to perform the substantive role in the program.
- DFC grant funds may not be used to provide funding to community organizations through mini-grants, including one coalition funding another coalition.
- DFC grant funds cannot be utilized for the following: law enforcement equipment, drug search detection canines or related training, lighting, or community gardening efforts.
- Incentives should be the **minimum** value that is deemed necessary to meet the program goals. SAMHSA policy provides for the use of grant funds of up to \$30 per participant for each non-cash equivalent incentive, such as coupons, prizes, or small gifts.
- Electronic purchases must be limited to **minimum** amounts needed to carry out the project goals and objectives. Electronics requested for purchase during the final year of the grant, in an effort to spend down remaining funds, will be deemed as unreasonable.

Progressive Discipline and Appeals Process

The DFC Program progressive discipline and appeals processes have been developed by ONDCP and SAMHSA. There are three progressive discipline actions that can be taken:

1. High risk status;
2. Suspension; and
3. Termination.

An overview of this plan and the complete explanation and procedures are posted on the DFC Program website at:

<http://www.whitehouse.gov/ondcp/information-for-current-grantees>.

Restrictions on Grantee Lobbying

Federal regulation regarding lobbying with Federal funds states the following:

(c) Title 18 > Part I > Chapter 93 > Section 1913: No part of the money appropriated by any enactment of Congress shall, in the absence of express authorization by Congress, be used directly or indirectly to pay for any personal service, advertisement, telegram, telephone, letter, printed or written matter, or other device, intended or designed to influence in any manner a Member of Congress, a jurisdiction, or an official of any government, to favor, adopt, or oppose, by vote or otherwise, any legislation, law, ratification, policy, or appropriation, whether before or after the introduction of any bill, measure, or resolution proposing such legislation, law, ratification, policy, or appropriation; but this shall not prevent officers or employees of the United States or of its departments or agencies from communicating to any such Member or official, at his request, or to Congress or such official, through the proper official channels, requests for any legislation, law, ratification, policy, or appropriations which they deem necessary for the efficient conduct of the public business, or from making any communication whose prohibition by this section might, in the opinion of the Attorney General, violate the Constitution or interfere with the conduct of foreign policy, counter-intelligence, intelligence, or national security activities. Violations of this section shall constitute violations of section 1352 (a) of title 31.

Financial Management Requirements

Grantees must have a proper financial management system in place, and it must conform to 45 CFR Part 74 and 45 CFR Part 92. Basic elements of a financial management system include the following standards:

Element	Standards
Allowability of Costs	<ul style="list-style-type: none">• Costs must be reasonable, allocable, and adequately documented.• A cost is reasonable if it does not exceed what a prudent person would incur under similar circumstances.• A cost is allocable if the goods or services benefited the project.• A cost is adequately documented if it is supported by accounting records and source documents (i.e., timesheets and payroll records, invoices).
Cash Management	<ul style="list-style-type: none">• Limited to minimum amounts needed to cover allowable project costs.• Timed in accordance with the actual immediate cash required to carry out the approved project.• Not be made to cover future expenditures. Payment Management System (PMS) permits advance drawdown of funds only for expenditures made within a 72 hour timeframe.

Element	Standards
Annual Audits Reference - Sections 200 and 320 of Office of Management and Budget (OMB) Circular A-133	<ul style="list-style-type: none"> • Audits must be performed in accordance with OMB Circular A-133 for Fiscal Years (FYs) with expenditures under Federal awards of \$500,000 or more. • Reports on these audits must be submitted to the Federal Audit Clearinghouse within the earlier of 30 days after receipt or 9 months after your organization's fiscal year end.
Accounting System	<ul style="list-style-type: none"> • Must be able to separately report revenue and expenditures by Federal program as well as other programs.
Internal Controls Internal controls means a process designed by the grantee organization to provide reasonable assurance the objectives will be achieved.	<ul style="list-style-type: none"> • Effectiveness and efficiency of operations. • Reliability of financial reporting. • Consistency from one grant program to another. • Compliance with applicable laws and regulations.
Bank Statements	<ul style="list-style-type: none"> • Require bank statements be opened and reviewed by a grantee official not authorized to sign checks but who is familiar with the organization's financial activities. • Prohibit the individual reconciling the bank statements from opening them when received. • Require the reconciliation be performed in a timely manner by an employee not authorized to sign checks (timely defined within 14 days).
Disbursements/Procurement	<ul style="list-style-type: none"> • Documentation maintained to support all disbursements. • Blank checks safeguarded. • Disbursements pre-approved (indicate by whom). • Expenditures reasonable. • Two signatures on all checks for purchases over \$1,000. • Organization officials authorized to sign checks designated in the policies.
Matching/Cost Sharing All required matching or cost-sharing, as required by the DFC Support Program, will be shown as part of the total approved budget in the NoA and becomes an award requirement enforceable through the NoA. Reference – 45 CFR 74.23 or 45 CFR 92.24 & Part I-24 <i>HHS Grants Policy Statement</i>	Contributions (including cash and third party in-kind) must be: <ul style="list-style-type: none"> • Verifiable from the grantee's records; • Not included as contributions for any other Federally-assisted project; • Necessary and reasonable for proper and efficient accomplishment of the project or program objectives; • Not paid by the Federal Government under another award (except where authorized by Federal statute); and • Allowable, similar to the grant's Federal expenditures, and provided for in the approved budget.

Element	Standards
Consultants/Subcontracts	<ul style="list-style-type: none"> • Define nature and scope of services that may be outsourced. • In-house capabilities must be evaluated before obtaining external assistance. • Selection process described in policies and procedures. • Method for ensuring costs and fees are reasonable. • Prior to selection, check General Services Administration's (GSA) Excluded Parties List System and HHS Office of Inspector General's (OIG) List of Excluded Individuals and Entities.
Expenditure Analysis	<ul style="list-style-type: none"> • Actual vs. budgeted expenditures are to be compared periodically. • Significant variances investigated, resolved, and documented to ensure actual expenditures do not exceed amounts budgeted for the grant period.
Indirect Costs	<ul style="list-style-type: none"> • Any existing or planned indirect cost rates and the type of rate used. • If all costs are charged directly to the award, the method used to allocate costs that benefit more than one cost objective must be described in detail.
Credit Cards	<ul style="list-style-type: none"> • All expenditures must be pre-approved. • Expenditure amounts and types limited. • Personal expenditures prohibited. • All receipts submitted for review and comparison with credit card statements before payment.
Timekeeping Reference – Attachment B, Sec. 8.h & 8.m, of OMB Circulars A-87 & A-122	<ul style="list-style-type: none"> • Salaries and wages based on actual time employees worked and be supported by timesheets that separately report total time worked on each project and leave. • Timesheets certified as accurate by the employee or supervisor familiar with the employee's activities. • Salaries and wages charged to Federal awards cannot be based on budgets or estimates.
Travel	<ul style="list-style-type: none"> • Expenses be reasonable, necessary, and pre-approved. • Mileage, meals, incidentals, and lodging rates should be limited to rates published in the GSA Federal Travel Regulation. • Airfare limited to coach and car rental limited to mid-size. • Travel costs reimbursed based on travel vouchers, expenditure reports or the like listing each cost individually along with receipts.

Element	Standards
Property Control	<ul style="list-style-type: none"> Property records must include a description, cost, purchase date, source of funding, location, and condition. Physical inventories conducted at least every other year and reconciled with property records. Property purchased with Government funds tagged and safeguarded to prevent loss or theft.
Conflict of Interest Reference – 45 CFR 74.42 & 43; 45 CFR 92.36; Part II-7 of the <i>HHS Grants Policy Statement</i> , issued January 1, 2007	<ul style="list-style-type: none"> Prohibit the appearance and existence of conflict of interest situations for employees, officials, and agents of the organization. Define the code of conduct for conflict of interest situations. <p>Examples:</p> <ul style="list-style-type: none"> An officer or employee has an interest in a company selected for a contract or consulting relationship, such as through their ownership, the ownership by a family member, or through financial or other business ties; Nepotism – an employee is supervised by a family member under the Federally sponsored project; An evaluator contracted under the grant also helped write the grant application under a contract with the organization that received the award. This would violate Federal competition rules. <p>Such costs are unallowable according to regulation and cost principles and will be recovered.</p>
Drug-Free Workplace Reference – 45 CFR 82.205 & 225	<ul style="list-style-type: none"> Unlawful manufacture, distribution, dispensing, possession, or use of controlled substances is prohibited in the workplace. As a condition of employment, employees must notify management in writing within 5 calendar days, if convicted of violating a criminal drug statute. Appropriate personnel action must be taken, within 30 calendar days, against any convicted employee. Federal agencies must be notified in writing, within 10 calendar days, if any employee engaged in the performance of an award is convicted of violating a criminal drug statute.
Program Income	<ul style="list-style-type: none"> Further the eligible project or program objectives. May finance the non-Federal share of the project or program. Deduction from the total Federal share of project or program allowable costs.

Audit Requirements

Office of Management and Budget (OMB) Circular A-133 now requires that all auditees submit a completed data collection form (SF-SAC) in addition to the audit report, within the earlier of 30 days after receipt of the report or 9 months after the fiscal year-end.

For questions and information concerning the submission process, please visit <http://harvester.census.gov/sac> or call the Federal Audit Clearinghouse (800-253-0696).

Audit requirements for Federal award recipients are defined in OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations and may be accessed from the following website at:

http://www.whitehouse.gov/sites/default/files/omb/assets/a133/a133_revised_2007.pdf

An organization is required to have a non-Federal audit if, during its fiscal year, it expended a total of \$500,000 or more in Federal funds. Federal awards are defined in OMB Circular A-133 to include Federal grants, contracts and cooperative agreements both directly from a Federal awarding agency as well as indirectly from a pass-through entity.

SF-SACs and Audit reports **must** be submitted online via:

<https://harvester.census.gov/facides>.

Public Policy Requirements

Public policy requirements concerning civil rights, handicapped individuals, sex discrimination, and age discrimination require the one-time submission of Assurance Form HHS 690 prior to award. All subsequent applications must certify that the form (or the previous forms HHS 441, 641, 639-A, and 680) has been filed. These forms are provided as part of SAMHSA's application kit and can be downloaded from SAMHSA's website

<http://www.samhsa.gov/grants/applying/forms-resources>.

To inquire as to whether your organization has previously filed the HHS 690 or the previous forms, contact the HHS Office for Civil Rights at 202-619-0403.

Publication Guidelines

You are required to notify the Government Project Officer (GPO) who will then be in contact with the SAMHSA Publication Clearance Officer about your interest in publishing any materials based on DFC funds. You must also include acknowledgement of the SAMHSA grant program as the source of funding for the project:

“This (name of document) was developed, in part, under grant number XXXX from the Office of National Drug Control Policy and Substance Abuse and Mental Health Services Administration. The views, opinions, and content of this publication are those of the authors and contributors, and do not necessarily reflect the views, opinions, or policies of ONDCP, SAMHSA, or HHS, and should not be construed as such.”

Guidelines for Developing Project Material

All materials must include the following language:

“This flyer/brochure/website/poster, etc. was developed [in part] under a grant number XXXX from the Office of National Drug Control Policy and Substance Abuse and Mental Health Services Administration, U.S. Department of Health and Human Services. The views, policies, and opinions expressed are those of the authors and do not necessarily reflect those of ONDCP, SAMHSA or HHS.”

Products developed by grantees are not subject to SAMHSA or the Office of the Assistant Secretary for Public Affairs (OASPA) review and clearance. They are not considered to be SAMHSA products. However, SAMHSA requests that grantee products contain a disclaimer statement that SAMHSA funds (specify grant number) supported the project on which the product is based.

For more information about procedures and requirements, contact your GPO or Grants Management Specialist (GMS), who will either answer your questions or direct you to the right resource. For more on Federal grants policies and grants management, go to <http://www.samhsa.gov/grants/grants-management> or <http://www.hhs.gov/ohrp/policy/>.

Recordkeeping

In this section, you will find information on documenting receipts and expenditures, as well as procedures to follow when recording in-kind and matched contributions.

General Recordkeeping Guidance

Purchases, payroll, and other transactions you have in your organization should generate supporting documents for financial recordkeeping. Supporting documents include paid bills, invoices, receipts, Memorandums of Understanding (MOUs), deposit slips, cancelled checks, and tax returns.

These documents support the financial accounting entries in your books and are used for auditing purposes. In general, grantees must maintain books and records to show that they comply with restrictions on the expenditure of Federal funds. Grant recipients must be able to document the sources of receipts and expenditures.

Gross Receipts

Gross receipts are the amounts received from all sources, including contributions. Grantees should keep supporting documents that show the amounts and sources of gross receipts. DFC grantees are required to identify the sources of receipts and the amount of cash contributions or a description of the non-cash contributions received. Documents that show gross receipts include:

- Donor correspondence;
- MOUs;
- Pledge documents;
- Cash register tapes;
- Bank deposit slips;
- Receipt books;
- Invoices; and
- Credit card charge slips.

Expenses

Expenses are the costs a grant recipient incurs to carry on its program. Supporting documents should show the amount paid and the purpose of the expense documents. Documents that show expenses include:

- Canceled checks;
- Cash register tapes;
- Contracts;
- Account statements;
- Credit card sales slips;
- Invoices; and
- Petty-cash slips for small cash payments.

Employee Records

Grant recipients that have employees must keep records of time, compensation, and specific employment tax records.

Volunteer Time

Record the number of hours volunteers work at the time they are incurred. A sign-in sheet or other record keeping mechanism are types of documents that show volunteer time.

The HHS Grants Policy Statement will help you understand allowable costs, volunteer rates, and conflict of interest issues. This document is available at <http://www.samhsa.gov/grants/grants-management>. Another helpful link in determining volunteer rate is: [http://www.independentsector.org/volunteer time](http://www.independentsector.org/volunteer_time).

Proof of Payment

Proof of payment verifies that an expense has been paid. Documents that show proof of payment include:

- Canceled checks;
- Cash register tapes;
- Credit card sales slips; and
- Account statements.

Proof of payment may be documented with certain financial account statements prepared by third-party financial institutions. All information must be highly legible. The following defines acceptable account statements:

IF payment is by	THEN statement must show
Check	Check number, amount, payee's name, and date the check amount was posted to the account by the financial institution.
Electronic Funds Transfer	Amount transferred, payee's name, and date the transfer was posted to the account by the financial institution.
Credit Card	Amount charged, payee's name, and transaction date.

TIP: Keep financial documentation in an orderly fashion and in a secure location. For instance, organize your files by year and type of income or expense.

Understanding Match

All costs and contributions used to satisfy a matching requirement must be documented by the grantee and are subject to audit. All contributions, including cash and third-party in-kind, must be verifiable from the grantee's records.

Cash Match

- Cash spent for project related costs;
- Matching costs must adhere to Federal rules; and
- If not allowed with Federal dollars, not allowable with matching dollars.

In-Kind Match

- The value of goods and/or services third-parties donate for program or project purposes without charge to a grantee.

Third-Party In-Kind Contributions

- May satisfy a matching or cost-sharing requirement only when payment for them would be an allowable cost if the party receiving the contributions (grantee) were to pay for them.

Matching may be provided as direct and/or indirect costs. Recipient contributions may be derived from non-Federal sources.

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

All costs and contributions used to satisfy a matching or cost-sharing requirement must be documented by the grantee at the same level of detail as Federal funds.

Matching contributions are subject to audit.

Grantees are required to provide required matching in proportion to expenditure of the Federal share of the total project costs. **This must be met by the end of the budget period.**

Valuation of In-Kind Contributions

When determining how to make a decision on value, keep in mind that:

- This may require market research for specific grantee area;
- Not all areas pay the same rate (Washington, DC versus Mobile, AL);
- Market research may be necessary for the service;
- If the grantee does not have employees performing similar work, rates used must be consistent with those paid for similar work in the labor market in which the grantee competes for the kind of services involved; and
- If the donated services are in a different line of work, rates used must be consistent with those paid for similar work in the labor market in which the grantee competes for the kind of services involved.

Rates for volunteers must be consistent with established rates paid for similar work by the grantee.

If a third-party donates the use of equipment or space in a building but retains the title, the contribution shall be valued at the fair rental rate of the equipment or space.

If a third-party donates supplies, the contribution shall be valued at the market value of the supplies at the time of donation.

Value is based on the service being provided, not a person’s title or function. For example, an attorney providing services and doing work as a “Data Entry Clerk”:

- Would charge rate of data entry clerk not attorney.
- May be less than hourly rate of position held.

Years of DFC Funding Received	Match Requirements
Years 1 – 6	100 percent match required
Years 7 – 8	125 percent match required
Years 9 – 10	150 percent match required

Reporting Requirements

In this section, you will find information on reporting tools and procedures used to communicate progress of the project to the Government Project Officer (GPO) and monitor use of funds.

Within this section and in your Notice of Award (NoA) you will find your grant's specific reporting requirements. Failure to comply with the reporting requirements identified below may result in suspension, classification as High Risk status, or termination of the grant award and future funding.

Central Contractor Registration/System for Award Management (SAM)

Central Contractor Registration (CCR) was the primary registrant database for the U.S. Federal Government. CCR collects, validates, stores, and disseminates data in support of agency acquisition missions, including Federal agency contract and assistance awards.

The CCR Registration process has changed. Grantees **must** be registered in the new **System for Award Management (SAM)**. The former Central Contractor Registration (CCR) transitioned to the SAM on July 30, 2012. For any registration in process during the transition period between July 16, 2012 and October 15, 2012, the data previously submitted to CCR was migrated to SAM.

SAM is a Federal Government owned and operated free website that consolidates the capability of some systems, e.g., CCR, EPLS. Future phases of SAM will add the capabilities of other systems used in Federal awards processes.

SAM information must be updated at least every 12 months to remain active. Once you update your record in SAM, it will take 48 to 72 hours to complete the validation processes. **Grants.gov will reject submissions from applicants with expired Entity Registrations.** To create a user account, Register/Update entity, and/or Search Records from CCR, refer to <https://www.sam.gov>.

For a Quick Start Guide for Entities Interested in Being Eligible for Grants through SAM, go to: <https://www.sam.gov>.

- Select Help, User Guides, Quick User Guides
- Choose Quick Start Guides for Grant Registrations
- Select Download PDF file

Federal Funding Accountability and Transparency Act

The Federal Funding Accountability and Transparency Act (FFATA) requires reporting of sub-award and executive compensation.

Grantees are required to regularly report on all sub-awards over \$25,000 to the Federal Sub-award Reporting System (FSRS) – <http://www.FSRS.gov>.

Additionally, certain grantees are required to report the total compensation of their most highly compensated executives as part of the registration profile in the CCR.

See <http://www.samhsa.gov/grants/grants-management> for the full SAMHSA award term implementing these requirements and additional award applicability information.

DFC National Cross-site Evaluation

DFC grantees are required to participate in the DFC National Cross-site Evaluation, intended to measure the effectiveness of the DFC Program in preventing youth substance use. Data for the following four core measures must be collected and reported every two years on alcohol, tobacco, marijuana, and prescription drugs for three grades (6th-12th) with a recommended combination of at least one middle school grade and at least one high school grade:

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

ONDCP requires all grantees to collect data specific to the geographic area designated in the approved application. The data collection size must be sufficient to provide an accurate and meaningful statistical representation of the people being surveyed in each of the geographical areas served by the coalition. The grantee is responsible for providing these data on or before the deadline established for each reporting period via the progress report (see below).

For assistance with survey reviews, data analyses, and learning how to use your own local data, contact the DFC National Evaluation Team at ICF International.

Helpline: 877-854-0731

E-mail: dfc_evaluators@icfi.com

Available: 9am-6pm Eastern Time, Monday-Friday except Federal holidays

Progress Reports

DFC progress reports are completed online through the Coalition Online Management and Evaluation Tool (COMET). The Coalition Classification Tool (CCT) measures your coalition's level of development, so that ONDCP and SAMHSA can provide appropriate and targeted assistance. It also helps the DFC National Evaluation Team understand the developmental progress of DFC grantees. The frequency and submission process are indicated in the NoA and below.

DFC Semi-Annual (two times per year) Progress Reports

All DFC grantees will complete semi-annual reports. Reports for FY2014 are entered into COMET on or before the following dates:

DFC Grantees in Years 1-10

Type of Report	Date
COMET Progress Report	February 11, 2015
COMET Progress Report	August 12, 2015

All DFC grantees must complete the Coalition Classification Tool (CCT) once a year. Each coalition should have three individuals collaborate to complete this survey in accordance with the DFC National Evaluation Requirements. All coalitions must complete this survey tool on or before the following date through the COMET system:

DFC Grantees in Years 1-10

Type of Report	Date
CCT	August 12, 2015

DFC Mentoring Annual (one time per year) Progress Reports

Year 1 and Year 2 Grantees

Type of Report	Date
COMET Progress Report	August 28, 2015

Programmatic and compliance questions related to the COMET or CCT should be directed to your Government Project Officer (GPO). Please see Assistance and Resources (page 69) in this handbook for more information.

NOTE: Contact DCAR Support for technical questions or to report system problems (e.g., obtaining log-in information, password resets, and help uploading documents) by calling 1-888-348-4248 Monday – Friday 9 a.m. – 8 p.m. EST, or by e-mailing DCARSupport@kitsolutions.net.

Annual Federal Financial Report

The annual Federal Financial Report (FFR), Standard Form 425, is required on an annual basis and must be submitted to SAMHSA for each budget period as stated.

The FFR is required for each 12-month period, regardless of the overall length of the approved extension period authorized by SAMHSA.

The FFR is due 90 days after the end of each budget year. This report will document spent, unspent, and matching (in-kind) grant funds. The report is prepared on a cumulative basis and all program income (if applicable) must be reported. See page 87 – Annual FFR Illustrative Instructions – for detailed information.

All DFC Grantees Annual (one time per year) Federal Financial Report

Year 1 – 10 Grantees

Year	Due Date
FY 2014 (September 30, 2014 – September 29, 2015)	January 30, 2016

Quarterly Federal Financial Report (Cash Transactions)

Quarterly cash transactions reports are required by the HHS Division of Payment Management (DPM). This quarterly reporting requirement provides an overview of the cash status of the account. The Federal Financial Report (FFR), Standard Form 425, is the mechanism for reporting disbursements.

Failure to submit reports on or by the specified due date can result in fund access restrictions.

Quarterly financial reports are required by the DPM. This quarterly reporting requirement provides an overview of the cash status of the account. The FFR is used for both the annual and quarterly reporting requirements for SAMHSA and DPM, respectively.

Go to the DPM website (<http://www.dpm.psc.gov>) to get information on the quarterly FFR (cash transactions report), the name, and telephone number of your DPM account representative, and other information.

All DFC Grantees Quarterly (four times per year) Federal Financial Report

Year 1 – 10 Grantees

Quarter	Due Date
1st Quarter October 1, 2014 – December 31, 2014	January 30, 2015
2nd Quarter January 1, 2015 – March 31, 2015	April 30, 2015
3rd Quarter April 1, 2015 – June 30, 2015	July 30, 2015
4th Quarter July 1, 2015 – September 30, 2015	October 30, 2015

NOTE: The quarterly FFR is due to DPM **30 days** after the quarter ends.

Post-Award Changes

In this section, you will find information about post-award changes, or changes you may need to make after you have accepted your grant award from SAMHSA. This may include budget revisions, change of key personnel, level of effort, handling carryover funds, asking for a no-cost time extension, or navigating the continuation application process.

Post-Award Changes

As a DFC grant recipient, you may need to modify your grant award or other aspects of your approved application during the year to accomplish certain programmatic objectives. This is defined as a post-award change. Grantees are required to notify SAMHSA of post-award changes.

Submission Requirements

Post-award changes **must** include the following:

1. Request Correspondence: must be either letter or e-mail submission.

Letter Submission:

Actions must be submitted in writing to the SAMHSA Grants Management Specialist (GMS). The request must be on official letterhead and have the signatures of the grantee organization authorizing representative or business official and project director.

E-mail Submission:

E-mail must be sent from the Project Director ending with a signature line with his/her name, title and organization, telephone number, fax number, and e-mail address. The business official/authorizing representative and your Government Project Officer (GPO) must be copied on the e-mail.

- Include justification (summarize request);
- Grant number;
- Grantee organization name; and
- Grantee contact information;
 - Address, telephone number, fax number, and e-mail addresses.

2. Supporting documentation

The grantee is responsible for any distribution of the request.

- Approval may be granted by the Grants Management Officer (GMO) in the form of a revised Notice of Award (NoA).
- No other written or oral approval should be accepted and will not be binding on SAMHSA and HHS.

The following are common post-award changes which require notification to SAMHSA.

Change in Grantee (Organization) Name

- Request Correspondence
 - Specify if there is an EIN or DUNS change.
- Revised SF-424 “Application for Federal Assistance” with authorizing official signature and date – <http://www.samhsa.gov/grants/continuation-grants>
- One of the following documents:
 - Articles of Incorporation
 - Documentation from the IRS to grantee organization with correct name and EIN
 - Declaration from Governor (if applicable)

NOTE: Changes in grantee name is NOT for the transfer of the legal and administrative responsibility for the grant from one legal entity to another.

Change in Coalition Name

- Notify your assigned GPO and copy the GMS.
 - Request Correspondence

Address Change

- Request Correspondence
- Revised SF-424 “Application for Federal Assistance” with authorizing official signature and date – <http://www.samhsa.gov/grants/continuation-grants>
- Revised HHS Checklist – <http://www.samhsa.gov/grants/continuation-grants>
- Revised Project/Performance Site Location(s) Form – <http://www.samhsa.gov/grants/continuation-grants>

Change in Authorized Official

- Request Correspondence
- Revised SF-424 “Application for Federal Assistance” with authorizing official signature and date – <http://www.samhsa.gov/grants/continuation-grants>

Prior Approval

Prior approval is required for a number of circumstances that are outlined in Section II-49 of the HHS Grants Policy Statement. **Federal grant recipients or grantees that have been placed on HIGH RISK status have additional requirements to make grant changes.**

Failure to obtain prior approval, when required, may result in the disallowance of costs, termination of an award, or other enforcement action within SAMHSA's authority.

Listed below are the most common post-award changes, which require notification to SAMHSA **and** prior approval.

Budget Revisions

Grantees, unless designated high risk, have a certain degree of latitude to move funds within and between budget categories to meet unanticipated requirements or to accomplish certain programmatic changes; except from the contract cost category.

If the reallocation of funds modifies the budget significantly*, a budget revision may need to be submitted for prior approval.

Reallocation of funds to a budget category initially funded at “0” dollars requires a revised budget. Purchase of a unit of general purpose or special purpose equipment exceeding \$5,000 and changes within the contract cost category requires prior approval.

**Significant re-budgeting is defined as cost modifications that exceed 25 percent of the approved budget.*

When submitting a budget revision request, keep the following in mind: All of the budget items listed, whether supported by grant funds or match, must be reasonable, necessary to accomplish project objectives, allowable in terms of the applicable Federal cost principles, auditable, and incurred during the project period.

Change in Scope

Indicators of a change in scope or that are likely to be considered a change in scope include, but are not limited to, the following:

- Transfer of the performance of substantive programmatic work to a third-party through a sub-award contract;
- Significant re-budgeting, whether or not the particular expenditures require prior approval; and/or
- Purchase of a unit of general-purpose or special-purpose equipment exceeding \$5,000.

Change in Key Personnel

Any nomination, replacement of, increase or reduction in effort of the DFC Program Director (PD) or Project Coordinator (PC) of the grantee requires the written prior approval of the Grants Management Specialist (GMS) and Government Project Officer (GPO).

Change in Level of Effort

Grantees may make changes in the methodology, approach, or other aspects of the project/program objectives.

A change in scope occurs when the grantee proposes to change (or changes) the objectives, aims, or purposes identified in the approved application.

The grantee must make the initial determination of whether a proposed change would be considered a change in scope and should consult with the Grants Management Specialist (GMS) and Government Project Officer (GPO) as necessary.

NOTE: If the level of effort increases or decreases and this changes the budget by more than 25 percent of the direct costs, you must submit a budget revision.

Carryover Funds

SAMHSA authorizes funding on a budget period basis.

A carryover occurs when unspent funds (unobligated balance) are transferred from one budget period to a separately funded budget period.

Only one carryover request is allowed per year.

The DFC Program, unless designated as a high risk grantee, may carry over previous unobligated balance(s) of funds up to 10 percent of the total Federal share from the current budget period (the year in which the funds will be needed) without prior approval from the GMO.

For carryover balances above the 10 percent threshold, grantees must submit a formal carryover request that requires prior approval from the GMO. See Carryover Request Expanded Authority on page 91 for detailed information.

Carryover of unobligated funds is used to support one-time activities that align with existing goals and objectives. Carryover requests must supplement the new budget year, not supplant the approved budget for that year.

- Supplant: to reduce organizational funds for an activity specifically because Federal funds are available (or expected to be available) to fund that same activity.

No-Cost (Time) Extension

This request only applies to grantees in their last year of funding or project period.

A no-cost time extension may be requested if the grantee requires additional time beyond the established project end date to fully complete its program plans and objectives proposed in the original application.

Grantees may request a one-time extension of up to 12 months to ensure adequate completion of the originally approved project or program, or to permit an orderly phase-out of a project or program that will not receive continued support.

SAMHSA will not approve any extension request if the primary purpose of the proposed extension is to permit the use of unobligated balances of funds.

Grantees must submit a written request for an extension to SAMHSA no later than 60 days prior to the expiration date of the project period (July 29).

The request cannot be used to hire new staff, buy equipment/supplies, attend conferences/meetings, or begin new activities or programs.

Required (Supporting) Documentation for Prior Approval Submissions

Budget Revisions / Change in Scope	Change in Key Personnel
<ul style="list-style-type: none">Request Correspondence: Indicate in the correspondence the bona-fide need of the revision; provide a detailed description of the changes within the budget and what budget categories will be affected.SF 424A (available via http://www.samhsa.gov/grants/continuation-grants);Budget Narrative Justification: Provide a breakdown of all costs. Please note that the budget must not exceed the amount of the unobligated balance. All budgets should be in dollar amounts only. Do not include cents.If requesting a change in indirect cost, provide Current Indirect Cost Rate Agreement Documentation.	<ul style="list-style-type: none">Request Correspondence: The correspondence should give a rationale and justification for the change in personnel at your organization, level of effort and the impact it will have on the budget. Also describe if any proposed duties or responsibilities have changed and why.Curriculum vitae or résumé of new key personnelPosition DescriptionHHS Checklist (for changes in Program Director) accessible via http://www.samhsa.gov/grants/continuation-grants.
Notify SAMHSA as soon as such information is known.	Notify SAMHSA as soon as such information is known but no later than 30 days before the expected date of departure.

Change in Level of Effort	No-Cost (Time) Extension
<ul style="list-style-type: none"> Request Correspondence: The correspondence should give a rationale and justification for the change in level of effort and the impact it will have on the budget. Also describe if any proposed duties or responsibilities have changed and why. SF 424A: Budget Information Form, accessible via http://www.samhsa.gov/grants/continuation-grants. <p>Note: If a budget revision is required, refer to the Budget Revision instructions.</p>	<ul style="list-style-type: none"> Request Correspondence: The correspondence must explain why you did not accomplish your program goals, the duration of the requested extension, the amount of the unobligated balance (if applicable) to be used, and what you intend to accomplish in the requested amount of time. Estimated Federal Financial Report (FFR) (SF 425), which documents total unobligated funds. SF 424A: Budget Information Form, accessible via http://www.samhsa.gov/grants/continuation-grants. Budget Narrative Justification: Provide a breakdown of all costs. Please note that the budget must not exceed the amount of the unobligated balance. All budgets should be in dollar amounts only. Do not include cents. Coalition meeting minutes discussing extension of time and use of funds.
Notify SAMHSA as soon as such information is known but no later than 30 days before the expected date of change in effort level.	No later than 60 days prior to the expiration date of the project period.

Carryover Requests

Carryover Request Expanded Authority	Formal Carryover Request
<ul style="list-style-type: none"> Grantees will be required to report the amount of Unobligated Balance (UOB) of funds to be carried over in the Remarks section of the annual Federal Financial Report (FFR) (SF 425). Grantees using the 10% Expanded Carryover Authority may not expend an UOB prior to reporting and submitting an intention to carry over an UOB on the annual FFR to their Grants Management Specialist (GMS). Grantees using the 10% Expanded Carryover Authority must report the actual carryover in the Remarks section in the following year's annual FFR. If the grantee exceeds the threshold, the Division of Grants Management (DGM) will request funds to be returned for noncompliance. Only one form of carryover can be submitted per budget period 	<ul style="list-style-type: none"> Request Correspondence: The correspondence should give a rationale and justification for use of the UOB. If the UOB is significant (25 percent of the current budget period's total costs), provide an explanation as to why the available funds were not used. Detailed budget narrative outlining intended costs. SF 424A (available via http://www.samhsa.gov/grants/continuation-grants). Coalition meeting minutes approving amount and intended use of carryover funds. Annual FFR (SF 425) which reflects unobligated balance in box 10h. Justification and Remarks section of the annual FFR (box 12) must state the amount of the UOB being requested. Only one form of carryover can be submitted per budget period.
No later than the annual FFR due date (Refer to your NoA).	No later than the first Monday of February; approximately 125 days after the budget period ends (Refer to your NoA).

NOTE: All prior approval Post-award Changes become official only when the grantee receives confirmation from SAMHSA. Verbal approvals are not considered official approval.

Continuation Application Process

The Division of Grants Management (DGM) will send important information and instructions in December 2014 to the business official identified in your DFC application for your coalition to submit the appropriate materials for the continuation of your grant. This **non-competing** continuation application is required annually for the purpose of documenting your program progress and release of additional funds. Continued receipt of project funding is dependent on continued adequate program performance and meeting all reporting requirements and deadlines. Contact your GPO and GMS for further information regarding the continuation process.

Grant Closeout

In this section, you will find information on the Grant Closeout Process, the final steps you will take when you are completing your grant period with SAMHSA.

Grant Closeout

Grantees are responsible for submitting mandatory reports when the grant is in the final budget period of the project.

Closeout of the grant does not automatically cancel any requirements for property accountability, record retention, or financial accountability.

SAMHSA has the right as the awarding agency to disallow and/or recover funds based on a subsequent audit or other review. It is the obligation of the recipient to return any funds due as a result of refunds, corrections, or other transactions.

Grant closeout documents for the DFC Program consist of the following reports:

1. Final Progress Report
2. Coalition Classification Tool (CCT)

The following signed original reports are due to SAMHSA Division of Grants Management (DGM):

3. Federal Financial Report (FFR), Standard Form 425, (SF-425): Disbursements reported on the final FFR must agree with the top portion of the FFR line 10 (a-c) as filed with the Division of Payment Management (DPM).
 - NOTE: SINGLE GRANT REPORTING IS REQUIRED FOR EACH SAMHSA PROJECT AS STATED ON THE FFR FOR LINE 10 (d-o).
 - Include the required match on the FFR under Recipient Share line 10 (i-k). Adjustments to the award amount, if necessary, will be made if the grantee fails to meet the required match.
 - The FFR must be prepared on a cumulative basis and all program income must be reported on line 10 (l-o).
 - THERE MAY BE NO UNLIQUIDATED OBLIGATIONS REPORTED ON THE FINAL FFR.
 - The FFR, including instructions, may be accessed from the following website:
http://www.whitehouse.gov/omb/grants_forms.
 - The data can be entered directly on the form and the system will calculate the figures.
 - After the FFR is completed you should print, sign, and mail the FFR to SAMHSA.
4. Report of Equipment and Supplies: If your organization has tangible personal property (equipment and/or supplies in excess of \$5,000) you must complete the Tangible Personal Property Report:
 - Tangible Personal Property Report, Standard Form – 428;
 - Final Report, Standard Form – 428-B;
 - Disposition Request Report, Standard Form – 428-C; and
 - Supplemental Sheet Standard Form – 428-S.

5. Report of Expenditures: Update disbursements reported to the Division of Payment Management System (DPMS) via the FFR (10 a-c) to agree with final outlays reported on the bottom portion of the FFR (line 10 d-h).
- To ensure closeout of the grant, disbursements reported to DPMS must agree to the penny.
 - The FFR, including general instructions may be found at http://www.whitehouse.gov/omb/grants_forms.

SAMHSA will provide written approval/disapproval of your request for disposition of property/supplies in excess of \$5,000 in total value. All forms should be mailed to the address below.

Please forward the reports as requested above in items #3 and #4 to the SAMHSA DGM:

SAMHSA, Division of Grants Management
Attn: Closeout
1 Choke Cherry Road, Room 7-1091
Rockville, Maryland 20857*
DGMCLOSEOUT@samhsa.hhs.gov

** Use ZIP code 20850 for overnight delivery*

Please be aware that the closeout of the referenced grant does not affect:

- The right of the HHS awarding agency to disallow and/or recover funds on the basis of a subsequent audit or other review;
- Obligation of the recipient to return any funds due as a result of refunds, corrections, or other transactions;
- Audit requirements specified in 45 CFR, Part 74.26 and 45 CFR, Part 96.26;
- Property management requirements specified in 45 CFR, Part 74.31 and in 45 CFR, Parts 92.31-32; and
- Records retention requirements specified in 45 CFR, Part 74.53 and 45 CFR, Part 92.42.

NOTE: If your organization does not have tangible personal property (equipment and/or supplies) in excess of \$5,000, complete only Tangible Personal Property Report, Standard Form – 428. Under question 8, include a statement indicating that you do not have any tangible personal property in excess of \$5,000 to report.

Assistance and Resources

In this section, you will find information about technical and non-technical resources available to you as a SAMHSA grantee. These include online institutes, traditional classroom trainings and academies, technical assistance (TA) resources, materials, and strategy guides, which will maximize your efforts within the Drug-Free Communities Program.

CSAP Government Project Officer DFC Site Visit

The SAMHSA/CSAP Government Project Officers (GPOs) routinely conduct planned site visits to DFC grantees. Objectives for these visits include:

- Review the purpose of the DFC Program with the grantee and members of the coalition;
- Learn about the grantee community and its needs;
- Learn about the DFC coalition and its efforts;
- Explore ways CSAP can support the coalition in achieving its objectives;
- Identify innovative coalition strategies, policies, and practices that might inform the DFC Program and in some cases be shared nationwide;
- Verify compliance with the DFC Program requirements and make related recommendations; and
- Identify areas of needed training and TA.

During each site visit, GPOs meet with key staff and coalition members to discuss topics such as coalition development, community assessment, capacity building, strategic planning, implementation, evaluation, cultural competence, and sustainability. During these visits it is important to have a variety of documents available, including:

- Agency/Coalition organizational chart(s);
- Coalition membership list (noting sectors);
- Minutes from the two most recent coalition meetings;
- Logic model;
- Current 12-month action plan;
- Budget;
- Strategic plan; and
- 2-3 selected sample materials (e.g., brochures, flyers).

After each visit, the GPO will follow up with any TA, information requests, or grants management needs as appropriate. In addition, the grantee will receive a report that summarizes the visit findings, recommendations, and any required follow-up actions within 30 days of the site visit.

Community Anti-Drug Coalitions of America

When it comes to preventing drug and alcohol abuse, there is no one-size-fits-all approach. It takes solutions that are based on a community's unique problems and circumstances. Community Anti-Drug Coalitions of America (CADCA) trains grassroots anti-drug coalitions in effective community problem-solving strategies, teaches them how to assess their local substance abuse-related problems, and to develop comprehensive plans.

CADCA currently administers the National Coalition Institute (NCI) with a SAMHSA grant through the Drug-Free Communities Support Act. As a vehicle for coalition training, TA, evaluation, research and capacity building, the NCI helps America's community coalitions work more effectively.

The NCI offers various training opportunities for DFC grantees throughout the year including webinars available online, the National Coalition Academy (NCA), State and Regional Trainings, and two SAMHSA/CADCA hosted events: the National Leadership Forum and the Mid-Year Training Institute.

National Coalition Academy

New DFC grantees are required to attend and successfully complete a NCA cycle during their first year of funding in the DFC Program. DFC grantees receiving Mentor grants are required to register their Mentee coalitions in the NCA during the two-year grant cycle. DFC grantees receiving Year 6 funding are encouraged, but not required, to attend the NCA, especially if the grantee has experienced staff or other leadership changes in recent years. The NCA will teach leaders "what they need to know" (the core competencies) and "what their team needs to do" (the essential processes) to establish or maintain a highly effective community-wide coalition. The NCI has spaces available for all Year 1 grantees to attend a NCA in one of four locations across the country.

The NCA is a year-long intensive training experience that includes classroom, distance learning, and Web-based instruction. The classroom instruction occurs in three one-week increments during the first six months of the experience. After each week of classroom training, a Web-based reinforcement session will occur. Between each training week and during the six months after the final classroom training week, Web-based and phone support will be provided by the instructor team to assist coalitions with completing the five products introduced during the training.

There are no fees for tuition, registration, and instructional materials. CADCA has a partnership with the National Guard to provide training and housing facilities in Minnesota, Mississippi, New York, and Washington State. Some training locations provide housing facilities at no or low cost. Other training locations do not have lodging facilities so lodging arrangements can be made at local hotels. In addition to lodging, participating grantees are required to pay for all travel, transportation, and meal expenses. It is mandatory that two people from each grantee coalition attend the NCA.

To learn more about the expenses associated with attending the National Coalition Academy, contact Mariam Madanat, CADCA's Training Support Manager, at 800-54-CADCA (22322) or mmadanat@cadca.org. New DFC grantees may submit budget revisions to your GMS in order to accommodate the NCA training.

CADCA's Training Support Manager, Mariam Madanat, also serves as the primary point of contact to register for the Academy. To obtain an application form, please contact her at the phone number or e-mail address listed above. The following is a schedule of NCA cohorts for 2014-2015.

CADCA National Coalition Academy 2014 – 2015		
MN NG 1	Minneapolis, MN	Classroom training: Week 1 March 23-27, 2015 Week 2 July 6-10, 2015 Week 3 September 14-18, 2015
NY NG 1	Albany, NY	Classroom training: Week 1 February 9-13, 2015 Week 2 May 18-22, 2015 Week 3 July 20-24, 2015
NY NG 2	Albany, NY	Classroom training: Week 1 March 30-April 3, 2015 Week 2 June 1-5, 2015 Week 3 August 24-28, 2015
CRTC 1	Gulfport, MS	Classroom training: Week 1 January 12-16, 2015 Week 2 April 13-17, 2015 Week 3 July 6-10, 2015
MCTC 8	Johnston, IA	Classroom training: Week 1 March 2-6, 2015 Week 2 June 15-19, 2015 Week 3 August 31-September 4, 2015
WA 9	DuPont, WA	Classroom training: Week 1 January 5-9, 2015 Week 2 May 4-8, 2015 Week 3 August 17-21, 2015
WA 10	DuPont, WA	Classroom training: Week 1 March 9-13, 2015 Week 2 June 1-5, 2015 Week 3 August 24-28, 2015

To request individualized coalition-specific TA from the CADCA Institute, call 1-800-542-2322, ext. 240, or send an e-mail request to training@cadca.org. Additional CADCA training resources can be accessed by visiting http://www.cadca.org/trainingevents/training_coalitions/national-coalition-academy.

Coalition Online Management and Evaluation Tool

The Coalition Online Management and Evaluation Tool (COMET) is a Web-based system that was corroboratively designed using the SAMHSA/CSAP Strategic Prevention Framework (SPF), the planning process that guides the DFC grant program.

The system is designed to help grantees manage the day-to-day work of running an anti-drug coalition with the capability of helping grantees to document the coalition's progress in each area of the SPF. The COMET system also provides a platform for grantees to submit their required semi-annual progress reports to their CSAP GPO. The COMET system is housed on SAMHSA/CSAP's Prevention Management Reporting and Training System, a password-secure website.

DFC grantees must complete a Semi-Annual Report (often called the "COMET Report") in the COMET system two times a year (refer to the Reporting Requirement Table on page 51). These reports are reviewed by the SAMHSA/CSAP GPO and are used to ensure grantee compliance, to monitor progress towards the program goals, and the grantees' objectives for reaching the goals. It is also the intent of the program to use the semi-annual report as a tool to gauge your coalition's progress and to identify your TA needs so that CSAP may be able to support the coalition in your community through the maximum utilization of available TA resources.

The data (four core measures) in these reports are utilized by the DFC National Cross-site Evaluation Team to monitor the progress of the DFC Program as a whole. It is imperative that DFC grantees enter accurate data, as these data are used to evaluate the effectiveness of DFC on a national scale.

The COMET system can be accessed through the following website at: <https://www.pmrts.samhsa.gov/pmrts/>.

The COMET manual can be accessed at the following website:

<http://www.kitsco.com/PMRTS/COMET%20User%20manual.pdf>.

See page 93 for information on COMET trainings and how to register.

Grantees should contact their GPO regarding content questions on the COMET system. Regarding technical questions, grantees should contact COMET Support utilizing the information below:

E-mail: DCARSupport@kitsolutions.net

When sending an e-mail for COMET Support, you should provide your name, Grantee Award Number, and a contact phone number, and copy your GPO on the e-mail.

Toll Free: 1-888-348-4248

Hours: 9 a.m. to 8 p.m. ET

Reference Guide

In this section, you will find a glossary of key terms and quick links to resources.

Glossary

Authorized Official: The individual authorized with the signatory authority to act on behalf of the grantee and assume the obligations imposed by the Federal laws, regulations, requirements, and conditions that apply to the DFC Support Program grant.

Center for Substance Abuse Prevention (CSAP): Seeks to prevent and reduce the abuse of illegal drugs, alcohol, prescription drugs, and tobacco.

Coalition Online Management and Evaluation Tool (COMET): COMET is a Web-based system that was designed using the Center for Substance Abuse Prevention's (CSAP) Strategic Prevention Framework (SPF).

Coalition Classification Tool (CCT): This survey tool measures your coalition's level of development so that ONDCP and SAMHSA can provide appropriate and targeted assistance. It also helps the national DFC evaluator understand the developmental process of DFC grantees. This Web-based survey is administered annually.

Coalition Involvement Agreement (CIA) / Memorandum of Understanding (MOU): A formal agreement between two or more entities that defines and specifies (1) the responsibilities of each entity in implementing a project or (2) the tangible assets that each will provide.

Community Anti-Drug Coalitions of America (CADCA): The nation's leading drug abuse prevention organization, representing the interests of more than 5,000 community anti-drug coalitions in the country.

Cost Sharing or Matching: Cost sharing refers to the value of allowable non-Federal contributions toward the allowable costs of a Federal grant project or program. Such contributions may be cash or in-kind contributions. (See also "In-Kind Contribution" and "Non-Federal Match")

Cultural Competence: A critical component of all SAMHSA grant programs. The information on the following website can help ensure appropriate attention to cultural competence in planning programs:

<http://captus.samhsa.gov/prevention-practice/strategic-prevention-framework/cultural-competence>.

Department of Health and Human Services (HHS): The Federal department that houses SAMHSA. HHS is the Government's principal agency for protecting the health and safety of all Americans and providing essential human services, especially for those least able to help themselves.

Direct vs. Indirect Costs: Direct costs are those incurred in implementing the grant project. Because these can include both service delivery and program management components, they will include some administrative costs, such as salaries and benefits of program staff and managers, equipment, and training. Indirect costs are often called “overhead” and refer to administrative costs that cannot be assigned to specific projects, such as electricity and central administrative services.

Division of Grants Management (DGM): The division in SAMHSA that is responsible for all business management matters associated with the review, negotiation, award, and administration of grants, and interprets and enforces grants administration policies and provisions.

Division of Payment Management (DPM): The division in HHS which is responsible for managing cash flow advances to grant recipients via a centralized grants payment management system.

Evidence-Based Practice: Programs that have undergone scientific evaluation and have proven to be effective.

Federal Financial Report (FFR): Federal Financial Report required of grantees annually by SAMHSA and quarterly by the Division of Payment Management.

Government Project Officer (GPO): Responsible for overseeing programmatic issues related to implementing SAMHSA grants.

Grant: The funding mechanism the Federal Government uses when the principal purpose of a transaction is to transfer money, property, services, or anything of value to accomplish a public purpose of support or stimulation authorized by Federal statute. The primary beneficiary under a grant or cooperative agreement is the public, not the Government.

Grants Management Officer/Grants Management Specialist (GMO/GMS): Responsible for all business and financial management matters associated with the review, negotiation, award, and administration of SAMHSA grants. The GMO grants required prior approvals. The GMS works under the guidance of the GMO.

Indirect Cost Rate: Non-research indirect cost rates refer to other sponsored activities funded by Federal agencies that involve performance of work other than research. Most colleges or universities that have received Federal grants will have negotiated indirect cost rates or facilities and administrative (F&A) costs with a Federal agency. Typically, an institution’s business or grants office maintains records of negotiated non-research indirect cost rates; a copy should be submitted within the application. Alternative scenarios:

- If an institution does not have a non-research indirect cost rate, it can contact the HHS Division of Cost Allocation (<https://rates.psc.gov>) to begin negotiating a rate. In that case, the application must indicate it is in the negotiations process.

- Alternatively, an application can state that the applicant plans to negotiate and establish an indirect cost rate with HHS. For either of the above scenarios, the applicant can use a 10 percent provision indirect rate on salaries (only) in the budget. When the applicant receives its rate, the budget can be modified to reflect the actual negotiated rate, post-award only in the first year.
- An institution is not required to negotiate an indirect cost rate; it has the option of waiving indirect costs. In that case, the application must indicate that the institution is waiving indirect costs.

In-Kind Contribution: In-kind contributions toward a grant project are non-cash contributions (e.g., facilities, space, services) that are derived from non-Federal sources, such as state or sub-state non-Federal revenues, foundation grants, or contributions from other non-Federal public or private entities. An example of an in-kind contribution would be a university's cost for printing a suicide prevention brochure.

National Registry of Evidence-based Programs and Practices (NREPP): A system designed to support informed decision-making and disseminate timely and reliable information about evidence-based interventions that can effectively prevent or treat mental illness and substance use disorders. The NREPP system allows users to access descriptive information about interventions, as well as peer-reviewed ratings of outcome-specific evidence across several dimensions. (<http://nrepp.samhsa.gov>)

Non-Federal Match: For the purposes of the DFC Program, cash and in-kind contributions that meet all of the following criteria are acceptable as non-Federal cost share/match:

- Verifiable from the recipient's records;
- Not included as contributions for any other Federally assisted project or program;
- Necessary and reasonable for proper and efficient accomplishment of project or program objectives;
- Allowable under the applicable cost principles;
- Not paid by the Federal Government under another award, except where authorized by Federal statute to be used for cost sharing or matching;
- Provided in the approved budget when required by Federal awarding agency; and
- Conform to other provisions of OMB Circular No. A-110-Revised (http://www.whitehouse.gov/omb/circulars_a110), as applicable.

Notice of Award (NoA): Official notification that an applicant has been awarded a Federal grant.

Office of Management and Budget (OMB): An Executive Branch agency with a mission of assisting the President in overseeing the preparation of the Federal budget and supervising its administration in Executive Branch agencies. SAMHSA grantees may hear about "OMB clearance," the process that a Federal agency must follow when it collects data to ensure compliance with the Paperwork Reduction Act of 1995. The goal of this process is to minimize the burden on respondents, avoid duplication, minimize the cost to the Federal Government, and maximize the usefulness of the information collected.

Office of National Drug Control Policy (ONDCP): ONDCP seeks to foster healthy individuals and safe communities by effectively leading the nation's efforts to reduce drug use and its consequences.

Program Director: Key personnel responsible for daily oversight of the DFC Support grant, including fiscal and personnel management, community relations, implementation, and evaluation.

Project Coordinator: Key personnel responsible for coordination of coalition services and DFC project activities, including training, coalition communication, data collection, and information dissemination.

Substance Abuse and Mental Health Services Administration (SAMHSA): SAMHSA is a public health agency within the Department of Health and Human Services. Its mission is to reduce the impact of substance abuse and mental illness on America's communities.

Supplant: To replace funding of a grantee's existing program with funds from a Federal grant.

Sustainability: Ability to continue a program or practice after SAMHSA funding ends.

Target Population: The specific population a particular DFC Program is designed to serve or reach.

Technical Assistance (TA): Expert consultation regarding resources and strategies to enhance the effectiveness of prevention activities.

Quick Links

As a new DFC Program or DFC Mentoring Program grantee there are a wealth of governmental and program support websites that can be of tremendous help to you. The links to these agencies and program support websites are listed below.

Accessing Grant Funds

Go to the Division of Payment Management (DPM) website (www.dpm.psc.gov) to get information on the quarterly Federal Financial Report (FFR) (cash transactions report), the name and telephone number of your DPM account representative, and other information pertaining to accessing grant funds.

The Strategic Prevention Framework (SPF)

<http://www.samhsa.gov>

<https://store.samhsa.gov>

<http://www.cadca.org/files/resources/SPF-Competencies.pdf>

Environmental Strategies

<http://www.samhsa.gov>

<https://store.samhsa.gov>

[http://www.cadca.org/files/resources/Beyond the-Basics-Environmental Strategies-11-2010.pdf](http://www.cadca.org/files/resources/Beyond_the-Basics-Environmental_Strategies-11-2010.pdf)

Cultural Competence

The information on the following website can help ensure appropriate attention to cultural competence in planning programs: <http://captus.samhsa.gov/prevention-practice/strategic-prevention-framework/cultural-competence>.

Grants and General Financial Information

Full text of the financial and management controls that should be incorporated in the P&Ps prior to submission to the Financial Advisory Services Officer (FASO) can be accessed at: <http://www.samhsa.gov/grants/grants-management/policies-regulations/financial-management-requirements>.

Please see the **HHS Grants Policy Statement** under “Cost Principles” for a chart of some allowable costs: <http://www.samhsa.gov/grants/grants-management>.

Please see the **HHS Grants Policy Statement** under “Cost Principles” for information on calculating match: <http://www.samhsa.gov/grants/grants-management>.

Non-Research Indirect Cost Rate

Contact the HHS Division of Cost Allocation to begin negotiating a rate: <http://rates.psc.gov>.

National Registry of Evidence-based Programs and Practices

The National Registry of Evidence-based Programs and Practices (NREPP) system allows users to access descriptive information about interventions, as well as peer-reviewed ratings of outcome-specific evidence across several dimensions. <http://nrepp.samhsa.gov>.

Provisions of OMB Circular No. A-110-Revised

http://www.whitehouse.gov/omb/circulars_a110

Audit Requirements for Federal Award Recipients

Federal award recipients are defined in OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations (revision published June 27, 2003 and June 26, 2007).

45 CFR 74.26(d) discusses the requirements and available non-Federal audit options for Department of Health and Human Services awards.

Post-Award Changes

For more information about procedures and requirements, contact your Government Project Officer (GPO) or Grants Management Specialist (GMS), who will either answer your questions or direct you to the right resource. For more on Federal grants policies and grants management, go to

<http://www.samhsa.gov/grants/grants-management> or <http://www.hhs.gov/ohrp/policy/>.

For prior approval procedures, access <http://www.samhsa.gov/grants/grants-management>. There may be some DFC-specific requirements needed in addition to the ones outlined at the above website.

Under “Making Post-Award Changes to Your Grants,” see the checklist (key staff/level of effort changes) accessible via

<http://www.samhsa.gov/grants/continuation-grants>.

SF 424A: Budget Information Form, accessible via: <http://www.samhsa.gov/grants/continuation-grants>.

Annual FFR (SF 425)

The annual FFR, which reports annual expenditures and match, can be downloaded at:

http://www.whitehouse.gov/omb/grants_forms.

Coalition Online Management and Evaluation Tool

The Coalition Online Management and Evaluation Tool (COMET) system can be accessed at:

<https://www.pmrts.samhsa.gov/pmrts>.

The COMET manual can be accessed at the following website:

<http://www.kitsco.com/PMRTS/COMET%20User%20Manual.pdf>.

Grantees should contact their GPO regarding content questions on the COMET system. Regarding technical questions, grantees should contact COMET Support by e-mailing DCARSupport@kitsolutions.net.

Community Anti-Drug Coalitions of America Training Resources

In addition to these resources, Congress has provided training for all DFC grantees through the National Coalition Institute (NCI) grant mechanism. Currently, this grant is implemented by the Community Anti-Drug Coalitions of America (CADCA).

For more information about CADCA, visit: <http://www.cadca.org/>.

To request TA from the CADCA Institute, call 1-800-542-2322, ext. 240 or send an e-mail request to training@cadca.org.

White House Office of National Drug Control Policy - DFC Program

General information about the DFC Program can be found at the White House Office of National Drug Control Policy Web page at:

<http://www.whitehouse.gov/ondcp/drug-free-communities-support-program>.

WHERE TO GO FOR TECHNICAL ASSISTANCE (TA)

<p>Do you have questions about...</p> <ul style="list-style-type: none"> ➤ DFC core outcome measures? ➤ National Evaluation reporting requirements? ➤ Your survey review or survey guide? ➤ Reporting data in COMET? ➤ Accurate sampling methods? ➤ Youth survey recommendations? <p>➔</p> <p>If so, please contact the DFC National Evaluation Team toll-free at (877) 854-0731 or at dfc_evaluators@icfi.com</p> <p>➔</p> <p>DFC National Evaluation Technical Assistance Team Services:</p> <ul style="list-style-type: none"> ➤ Provides technical assistance related to the National Evaluation to answer any questions about the DFC core outcome measures, assess whether your current survey meets DFC reporting requirements, and provide any necessary support related to National Evaluation, such as guidance on accurate sampling methods and maintaining anonymity of surveyed youth. ➤ Develops products, including Best Practice Briefs and Policy Briefs, using findings from the National Evaluation that DFC coalitions can use in program performance improvement, advocacy work, and to support sustainability planning. 	<p>Do you have questions about...</p> <ul style="list-style-type: none"> ➤ Developing a logic model? ➤ Effective leadership? ➤ Creating and maintaining partnerships? ➤ Sustainability? ➤ Cultural competency? ➤ Program assessment and evaluation? <p>➔</p> <p>If so, please contact the CADCA National Coalition Institute Helpline at (800) 54-CADCA x240 or training@cadca.org</p> <p>➔</p> <p>CADCA National Coalition Institute Services:</p> <ul style="list-style-type: none"> ➤ Provides a variety of technical assistance and training opportunities to community anti-drug coalitions covering various subject areas: creating and maintaining partnerships; sustainability; cultural competency; assessment; prevention planning and implementation; and evaluation. ➤ Provides strategies for collaborating with schools and/or the community to obtain youth data. ➤ Produces and disseminates resource and research materials related to community coalition development and substance abuse prevention. 	<p>Do you have questions about...</p> <ul style="list-style-type: none"> ➤ How to obtain login information for COMET? ➤ How to reset your system password and/or login? ➤ COMET system errors? <p>➔</p> <p>If so, please call 888-348-4248 or e-mail DCARSupport@kitsolutions.net</p> <p>➔</p> <p>KIT Solutions and the DCAR Support Team Services:</p> <ul style="list-style-type: none"> ➤ Provide technical support on login failures and/or system errors; ➤ Provide training videos for COMET and other data reporting systems accessed through the Prevention Management Reporting and Training System Portal; and ➤ Provide an online library of helpful documents related to the COMET system 	<p>Do you have questions about...</p> <ul style="list-style-type: none"> ➤ How to obtain login information for COMET? ➤ How to reset your system password and/or login? ➤ COMET system errors? <p>➔</p> <p>If so, please contact your assigned Government Project Officer (GPO) and Grants Management Specialist (GMS) http://www.whitehouse.gov/sites/default/files/ondcp/grants-content/po_and_gms_chart.pdf</p> <p>➔</p> <p>SAMHSA / CSAP and Division of Grants Management:</p> <ul style="list-style-type: none"> ➤ GPO and GMS: ➤ Serve as primary points of contact for DFC grantees; ➤ Monitor grantees for administrative grant compliance; ➤ Conduct site visits and other support activities; ➤ Monitor grantees for fiscal grant compliance; and ➤ Provide support for financial issues. 	<p>Do you have questions about...</p> <ul style="list-style-type: none"> ➤ How to access your grant funds via the Payment Management System (PMS)? ➤ Updating the bank account for grant funds? ➤ Changing your Payment Management System authorized user or password? <p>➔</p> <p>If so, please contact The Payment Management System (PMS) Help Desk at (877) 614-5533 or PMSSupport@psc.gov or http://www.dpm.psc.gov/help/help.aspx</p> <p>➔</p> <p>The Division of Payment Management and the PMS Help Desk:</p> <ul style="list-style-type: none"> ➤ Respond to questions regarding the PMS application; and ➤ Assist users having difficulty navigating through PMS application system menus and processes
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Standard Form (SF) 425

Due Date for FFR (SF 425)

No later than January 30th

Refer to your Notice of Award

DFC grantees are required to submit the Federal Financial Report within 90 days after the end of each budget period.

The FFR is required for each 12-month period, regardless of the overall length of the approved extension period authorized by SAMHSA. In addition, a final FFR is due within 90 days after the end of the extension.

Check your Notice of Award for the exact due date.

Downloading the SF 425

Download a PDF version of the Federal Financial Report at

<http://www.whitehouse.gov/omb/grants/forms>

In order to take advantage of some of the form's features, including auto-calculations, be sure you have the latest version of Adobe Reader for free at

<http://www.samhsa.gov/viewers-plugins>

Division of Grants Management | October 2014

Q. How do I complete the SF 425?

A. Standard Form (SF) 425, also called the Federal Financial Report (FFR), is the financial reporting form that replaces, and consolidates the Financial Status Report (SF 269) and the Federal Cash Transaction Report (SF 272).

SAMHSA no longer uses the SF 269; DFC grantees are now required to use the SF 425 (FFR) to report annual expenditures and match. A FFR must be prepared for each DFC grant on a cumulative basis.

Filling out the SF 425

Download a PDF version of the SF 425. Start by filling out the top portion. It asks for basic information about your organization, grant and the period covered in the report.

Top Portion of the SF 425

FEDERAL FINANCIAL REPORT (Follow form instructions)				
1. Federal Agency and Organizational Element to Which Report is Submitted		2. Federal Grant or Other Identifying Number Assigned by Federal Agency (To report multiple grants, use FFR Attachment)		Page 1 of 1
3. Recipient Organization (Name and complete address including Zip code)				
4a. DUNS Number	4b. EIN	5. Recipient Account Number or Identifying Number (To report multiple grants, use FFR Attachment)	6. Report Type <input type="checkbox"/> Quarterly <input type="checkbox"/> Semi-Annual <input type="checkbox"/> Annual <input type="checkbox"/> Final	7. Basis of Accounting <input type="checkbox"/> Cash <input checked="" type="checkbox"/> Accrual
8. Project/Grant Period From: (Month, Day, Year)		To: (Month, Day, Year)		9. Reporting Period End Date (Month, Day, Year)

The numbers in the following list correspond to the numbered boxes on the SF 425.

1. *Federal Agency and Organizational Element to Which Report is Submitted* – Enter SAMHSA
2. *Federal Grant or Other Identifying Number Assigned by Federal Agency* – Enter the grant number which may look something like X H79 SP0XXXXX-00, and can be found on the first page of your Notice of Award (single award reporting only).
3. *Recipient Organization* – Enter Grantee Organization Information.
4. *DUNS Number/EIN* – Enter Grantee Organization Information.
5. *Recipient Account Number* – Leave Blank.
6. *Report Type* – Check Annual or Final (refer to detailed instructions).

**Additional definitions are
located on Page 4.**

7. **Basis of Accounting** – Your accountant or financial manager will know if you are reporting on cash or an accrual basis.
8. **Project/Grant Period** – Enter the start and end dates of your award (refer to your Notice of Award).
9. **Reporting Period End Date** – Enter 9/30 and refer to the detailed instructions.

Next, fill out the middle portion of the SF425. It contains the main calculations as outlined below. Some figures will be calculated automatically if you are using Adobe Reader. Once you have finished, double check your figures to make sure all of the calculations are correct.

Middle Portion of the SF 425

10. Transactions	Cumulative
(Use lines a-c for single or multiple grant reporting)	
Federal Cash (To report multiple grants, also use FFR Attachment):	
a. Cash Receipts	
b. Cash Disbursements	
c. Cash on Hand (line a minus b)	
(Use lines d-i for single grant reporting)	
Federal expenditures and Unobligated Balance:	
d. Total Federal funds authorized	
e. Federal share of expenditures	
f. Federal share of unliquidated obligations	
g. Total Federal share (sum of lines e and f)	
h. Unobligated balance of Federal funds (line d minus g)	
Recipient Share:	
i. Total recipient share required	
j. Recipient share of expenditures	
k. Remaining recipient share to be provided (line i minus j)	
Program Income:	
l. Total Federal program income earned	
m. Program income expended in accordance with the deduction alternative	
n. Program income expended in accordance with the addition alternative	
o. Unexpended program income (line l minus line m or line n)	

Box 10: Transactions

Federal Cash

SAMHSA is not required the cash management information reported in lines 10a through 10c. This information is reported to the Division of Payment Management on a quarterly basis.

- a. **Cash Receipts** – Leave Blank.
- b. **Cash Disbursements** – Leave Blank.
- c. **Cash on Hand** – Leave Blank.

Federal Expenditures and Unobligated Balance

- d. **Total Federal Funds authorized** – Enter the total award amount. This refers to the cumulative amount of Federal funds authorized on your Notice of Award for the project period up to the period covered by this FFR.
- e. **Federal share of expenditures** – Enter the amount of expenses.
- f. **Federal share of unliquidated obligations** – Enter the amount of unexpended obligated as of the reporting period (FFR) end date.

Carryover Request Expanded Authority

Effective October 1, 2011: DFC grantees (not on high risk status) may carryover previous unobligated balance(s) of funds up to 10% of the total federal share from the current budget period (the year in which the funds will be needed) without prior approval from the Grants Management Officer.

For carryover requests above the 10% threshold, DFC grantees must submit a formal carryover request that requires prior approval from the Grants Management Officer.

Additional information and restrictions regarding this authority can be found within your SAMHSA Notice of Award.

Your intention to carryover the unobligated balance of funds up to the percentage threshold of the current Federal share must be stated in the remarks section.

- g. Total Federal Share* – Add line 10e to line 10f. This will equal the total federal funds obligated as of the reporting period date.
- h. Unobligated balance of Federal Funds* – Line 10d minus line 10g. *This amount represents funds the grantee institution was awarded but has not obligated (spent).*

Recipient Share: DFC GRANTEES MUST REPORT MATCH

- i. Total recipient share required* – Enter the total required match as listed in the Notice of Award.
- j. Recipient share of expenditures* – Enter the amount of match collected through the reporting period.
- k. Remaining recipient share to be provided* – Line 10i minus line 10j.

Program Income

If your grant has generated program income (see definition), please refer to the detailed instructions on how to complete 10i through 10o at https://www.whitehouse.gov/sites/default/files/omb/grants/standard_forms/SF-425_instructions.pdf

Lastly, the bottom portion of the FFR contains information on indirect expenses, remarks and signature.

Bottom Portion of the SF 425

11. Indirect Expense	a. Type	b. Rate	c. Period From	Period To	d. Base	e. Amount Charged	f. Federal Share
g. Totals:							
12. Remarks: Attach any explanations deemed necessary or information required by Federal sponsoring agency in compliance with governing legislation:							
13. Certification: By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and intent set forth in the award documents. I am aware that any false, fictitious, or fraudulent information may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 18, Section 1001)							
a. Typed or Printed Name and Title of Authorized Certifying Official						c. Telephone (Area code, number and extension)	
						d. Email address	
b. Signature of Authorized Certifying Official						e. Date Report Submitted (Month, Day, Year)	
						14. Agency use only:	

Box 11: Indirect Expense – Complete this information for approved indirect costs only (refer to the Award Data section on your Notice of Award.).

Box 12: Remarks – This section is used to communicate explanations or additional information required by SAMHSA including the intention to carryover an unobligated balance.

Only one (1) carryover request is allowed per year. Please be mindful of the threshold restrictions for the Carryover Request Expanded Authority.

DFC grantees must submit a formal carryover request for request above the Carryover Request Expanded Authority threshold.

Definitions

Obligation/Expenditure – The amount indebted to pay for costs incurred during the budget period.

Unobligated Balance – The difference between the total authorized grant amount and the total amount of obligations (funds spent).

Recipient Share – The portion of costs not covered by Federal funds (match). This may be in the form of cash or in-kind contributions.

Unliquidated Obligation – An obligation that has been incurred, but not yet paid.

Program Income – Gross income earned by a grantee that is directly generated by the grant-supported program or activity.

Authorizing Certifying Official – Authorized Representative (person who signed the SF 424: Application for Federal Assistance) or who has delegated authority (such as Project Director).

For additional help in completing the SF 425, contact your SAMHSA Grants Management Specialist.

Calculation Considerations

The top portion of the FFR submitted to SAMHSA (#10 a-c) should equal/or agree with disbursements drawn from the Payment Management System.

Box 13: Certification/Submission

Once you have completed the FFR, double check the inputted information to make sure all calculations are correct; and fill in lines 13a-13e.

Then submit the FFR to the attention of your Grants Management Specialist

For Regular Delivery	For Overnight or Direct Delivery
Division of Grants Management OFR, SAMHSA 1 Choke Cherry Road, Room 7-1091 Rockville, MD 20857	Division of Grants Management OFR, SAMHSA 1 Choke Cherry Road, Room 7-1091 Rockville, MD 20850

Always make a copy for your file.

References

Federal Financial Report (SF 425)

https://www.whitehouse.gov/sites/default/files/omb/assets/grants_forms/SF-425.pdf

Detailed instructions to fill out Federal Financial Report (SF 425)

http://www.whitehouse.gov/sites/default/files/omb/grants/standard_forms/SF-425_instructions.pdf

SAMHSA Grants Management Website

<http://www.samhsa.gov/grants/grants-management>

This notice is to highlight the Carryover Request Expanded Authority instructions which are available in the 'Remarks' section of the Terms & Conditions of Award.

Carryover Request Expanded Authority

- As of October 1, 2011 – Drug-Free Communities (DFC) Support Program grantees may carryover an unobligated balance (UOB) in the amount up to 10% of the total Federal share from the current budget period (the year which the funds will be needed) without prior approval from the Grants Management Officer (GMO).

- A grantee with a current budget of \$100,000 will be allowed to carryover up to \$10,000 without prior approval.

NOTE: Grantees currently in Year 1 (for FY 14) will not have an unobligated balance to carryover into FY 14.

- This policy does not apply to grants and cooperative agreements that are classified as high risk.
- This policy allows the grantee to carryover from a previous year UOB and authorizes the grantee to combine the current approved Federal share and the prior year UOB for programmatic activities.
- Only one (1) carryover request is allowed per year.
 - If the 10% expanded carryover policy has been utilized, any remaining UOB funds cannot be used until the following budget period.
 - A formal carryover request is required for the following:
 - Carryover of more than 10% of the Federal share from the current budget period;
 - Significant rebudgeting (budget revisions) or change in scope.
 - When submission of a formal carryover request is requested, all necessary documentation must be submitted to the Grants Management Specialist for approval by the GMO. See "Formal" guidance below.
 - DFC grantees are subject to non-Federal match requirements. Match levels must cover the year which the carryover funds will be needed.

Carryover Request Expanded Authority | Submission Guidelines

- Grantees will be required to report the amount of UOB funds to be carried over in the Remarks section of the Annual Federal Financial Report – FFR (SF 425).
 - For example: A grantee has an unobligated balance of \$14,000 (box 10h), but only needs to carryover \$10,000 (10% of \$100,000). The grantee should state the intent to carryover the \$10,000 in box 12 of the SF 425.
- Grantees using the Carryover Request Expanded Authority may not expend an unobligated balance prior to reporting and submitting an intention to carryover an UOB on the Annual FFR to their GMS.
- Grantees using the Carryover Request Expanded Authority must report the actual carryover in the Remarks section in the following year's Annual FFR.
 - If the grantee exceeds the threshold, DGM will request funds to be returned for noncompliance.
- The Annual FFR (SF 425) submission deadline for DFC Support Program is January 30th.

Requirements for the Formal Carryover Request

When submission of a formal carryover request is needed, the documentation for a formal carryover request is as follows:

- Request Correspondence: provide rationale and justification for the amount of the unobligated balance being used as carryover.
 - Supplementary guidance: <http://www.samhsa.gov/grants/grants-management>
 - If the unobligated balance is significant (25% of the current budget period's total costs), provide an explanation as to why the available funds were not used;
- Detailed budget narrat
- SF 424 A (available via <http://www.samhsa.gov/grants/continuation-grants>);
- Coalition meeting minutes approving amount and intended use of carryover funds;
- Annual Federal Financial Report (SF 425) which reflects unobligated balance in box 10h.
 - Justification and Remarks section of the Annual Federal Financial Report (box 12) must state the amount of the unobligated balance being requested.

The DFC Support Program deadline for submission of a formal carryover request is the first Monday of February. Documentation may be sent by e-mail or postal mail to Grants Management. E-mail submission will expedite processing.

Substance Abuse and Mental Health Services Administration
Division of Grants Management
October 2014

COMET Trainings

The Coalition Online Management Evaluation Tool (COMET) is a web-based and user-friendly tool designed to allow Drug-free Community grantees to submit, view, download, and utilize the data required for submission. Data will be submitted on a semi-annual basis.

In order to fully participate in the trainings, you will need an internet connection and a phone, as the trainings contain both audio and visual components. We will try to accommodate everyone's needs but space is limited to only 25 people per training session and registration is on a first come first serve basis.

You can sign up for the Training by going to the following internet URL

<http://kitusers.kithost.net/Support/dcarsupport>

To register, use the following steps:

- 1) Hover your mouse over the **Online Trainings** menu item so that the submenu item appears. You should see something similar to the below screenshot.



- 2) Click **Online Training Registration** to go to the registration form.
- 3) Fill out the necessary fields.
- 4) Click **Submit**.

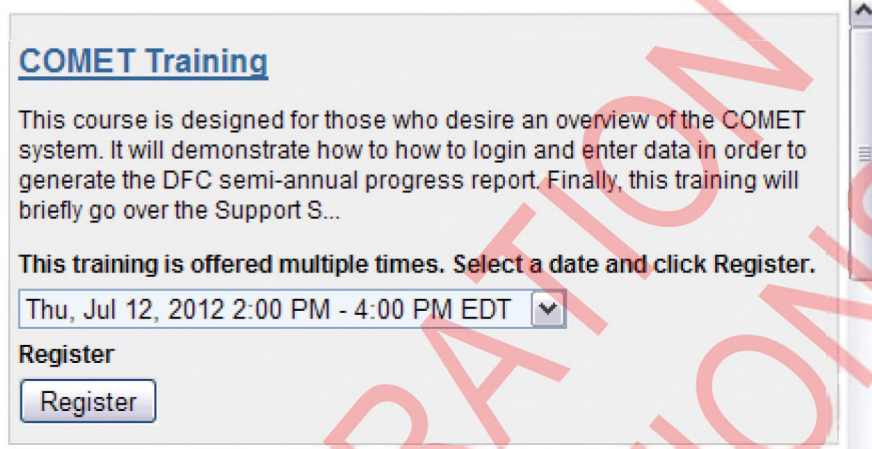
If you have any questions, please contact DCARSupport@kitsolutions.net or call 1-888-348-4248.

DCAR Support: Help Desk Contact Information	
Phone Number	1-888-348-4248
Hours of Operation	Monday-Friday 9:00AM-8:00PM EST
E-mail Address	DCARSupport@kitsolutions.net
Web Site	http://kitusers.kithost.net/Support/dcarsupport

Online Training Registration

Grantees have the opportunity to receive trainings online. To sign up for one of these trainings, a **grantee must first register**. The following instructions will guide you in registering for an online training.

Online Training Registration - scroll down to locate your training



COMET Training

This course is designed for those who desire an overview of the COMET system. It will demonstrate how to login and enter data in order to generate the DFC semi-annual progress report. Finally, this training will briefly go over the Support S...

This training is offered multiple times. Select a date and click Register.

Thu, Jul 12, 2012 2:00 PM - 4:00 PM EDT ▼

Register

Register

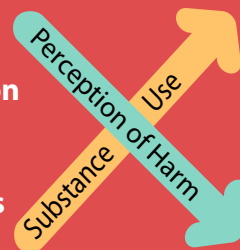
(This is an example of the Registration form)

1. From the DCAR Support Site, click **Online Trainings** from the Support Site menu.
<https://kitusers.kithost.net/support/dcarsupport>
2. Click **Online Training Registration** from the Online Trainings submenu.
3. Scroll down to locate the training you need.
4. Select the date of training you prefer from the dropdown list.
5. Click the **Register** (Register) button.
6. A new window will open. Fill in your information (Name, Email, Phone Number, etc).
***Note:** Your email address must be correct in order to receive the necessary information needed to receive the training.
7. Click the **Register** (Register) button.
8. Once you click the Register button, you should receive a confirmation email with instructions needed for training.

Every day
4,000 12-17 year olds use drugs for the first time

21% of high school students reported binge drinking in the past 30 days

The prevalence of youth substance use increases as their perception of harm from use decreases



Drug-Free Communities



Since its Inception DFC has Funded More Than...

2,000
Community coalitions

DFC supports
4.4 million
middle school students
(age 12-14) and
6.3 million
high school students
(age 15-18)

Representing
36%
of all
United States youth

Coalition Strategies



Providing Information



Enhancing Skills



Changing Physical Design



Providing Support



Enhancing Access/
Reducing Barriers



Changing Consequences



Modifying/
Changing Policies

DFC Works!

Youth substance use has decreased among all grantees since program inception



Sources:
SAMHSA-
NSDUH 2013
Monitoring the
Future 2012
2012 DFC
National
Evaluation
Report
YRBS 2013

