



Drug-Free Communities Support Program

GRANT AWARD RECIPIENT handbook 2017-2018

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

Congratulations on becoming a grant award recipient 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 Grant Award Recipient, also referred to as Recipient, 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 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, a 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 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 Department of Health and Human Services (HHS) Grants Policy Statement, Office of Management and Budget (OMB) circulars and 45 CFR Part 75, or the terms and conditions found in your legally binding Notice of Award (NOA). With the exception of the NoA, you may access these documents through <http://www.samhsa.gov/grants>. Please visit this website regularly to familiarize yourself with this information, developed 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 of 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 grant award recipients 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. Effective substance use prevention is a multiyear process that requires the participation of all sectors in a community working together and utilizing environmental prevention strategies to achieve successful, population-level change.

While achieving the primary goals of the program rests with the grant recipient and the community members, 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, grant award recipients are bound by the specific terms and conditions of the NoA, the applicable statutes and regulations from the HHS 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 important substance use prevention efforts 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.

Table of Contents

Commonly Used Acronyms5

DFC and DFC-M 2017–2018 Calendar Items and Deadlines6

Introduction9

Purpose of the Drug-Free Communities Support Program	10
Office of National Drug Control Policy	10
Substance Abuse and Mental Health Services Administration	11
Center for Substance Abuse Prevention	12
Division of Grants Management.....	12
HHS Payment Management System (PMS)	13
Roles and Responsibilities	14
Drug-Free Communities (DFC) Support Program Partners	14
Roles and Responsibilities of the Grant Recipient.....	14
Roles and Responsibilities of the Office of National Drug Control Policy.....	17
Roles and Responsibilities of the Grants Management Officer	17
Roles and Responsibilities of the Grants Management Specialist.....	17
Roles and Responsibilities of the Office of Financial Advisory Services (OFAS)...	18
Roles and Responsibilities of the Government Project Officer	18
Roles and Responsibilities of the Payment Management System.....	19
Audit Confirmation Procedure	19

Grant Implementation21

The Notice of Award	22
Grant Payments	23
Overview of the Strategic Prevention Framework.....	24
The Importance of the Strategic Prevention Framework.....	24
Overview of Environmental Prevention Strategies	25
Important Points Regarding the Use of Environmental Prevention Strategies...	26

Requirements and Guidelines27

Department of Health and Human Services Grants Policy Statement.....	28
Federal Administrative Regulations.....	28
Allowable Costs and Activities.....	28
What the Drug-Free Communities Support Program Funds	29
Progressive Discipline and Appeals Process.....	30
Restrictions on Grant Award Recipient Lobbying	30
Financial Management Requirements	31
Audit Requirements	34
Public Policy Requirements	34
Publication Guidelines.....	35
Guidelines for Developing Project Material	35

Recordkeeping.....37

General Recordkeeping Guidance	38
--------------------------------------	----

Gross Receipts	38	Submission Requirements.....	49
Expenses.....	38	Prior Approval	50
Employee Records	39	Budget Revisions	51
Volunteer Time.....	39	Sample SF424A Budget Summary Form.....	52
Proof of Payment.....	39	Change in Scope	53
Understanding Match.....	40	Change in Key Personnel and Level of Effort .	53
Cash Match	40	Carryover Funds.....	53
In-Kind Match.....	40	Change in Recipient Organization Requests (Transfer, Merger, and Successor-in-Interest) .	54
Third-Party In-Kind Contributions	40	No-Cost (Time) Extension	55
Valuation of In-Kind Contributions	42	Required (Supporting) Documentation for Prior Approval Submissions.....	55
Reporting Requirements	43	Continuation Application Process.....	57
System for Award Management.....	44	Grant Closeout.....	58
Federal Funding Accountability and Transparency Act	44	Grant Closeout.....	59
DFC National Cross-site Evaluation	44	Assistance and Resources	61
Progress Reports.....	45	CSAP Government Project Officer DFC Program Site Visit.....	62
DFC Semi-Annual Progress Reports	45	Community Anti-Drug Coalitions of America	63
DFC-M Annual Progress Report.....	46	National Coalition Institute.....	63
Annual Federal Financial Report.....	46	DFC Me.....	65
All DFC Grant Award Recipients Annual Federal Financial Report	46	Reference Guide	67
Quarterly Federal Financial Report (Cash Transactions)	47	Glossary.....	68
All DFC and DFC-M Grant Award Recipients Quarterly Cash Transactions Report.....	47	Quick Links	72
Post-Award Changes	48	Standard Form (SF) 425: Division of Grants Management.....	74
Post-Award Changes.....	49		

Commonly Used Acronyms

CADCA	Community Anti-Drug Coalitions of America	GMS	Grants Management Specialist
CCT	Coalition Classification Tool	GPO	Government Project Officer
CFR	Code of Federal Regulations	GSA	General Services Administration
DFC Me	DFC Management and Evaluation	HHS	Department of Health and Human Services
DCP	Division of Community Programs	NCA	National Coalition Academy
DGM	Division of Grants Management	NCI	National Coalition Institute
DPM	Division of Payment Management	NoA	Notice of Award
DUNS	Dun & Bradstreet DUNS Number	OFAS	Office of Financial Advisory Services
eRA	Electronic Research Administration	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	FOA	Funding Opportunity Announcement
FSRS	Federal Sub-award Reporting System	SAM	System for Award Management
GMO	Grants Management Officer	SF	Standard Form
		SPF	Strategic Prevention Framework
		TA	Technical Assistance

DFC and DFC-M 2017–2018 Calendar Items and Deadlines

Date	Event	Description
JANUARY		
January	Continuation Applications	An application for continuation funding for future Budget Years is due. Budgets that do not change more than 25% and with no contractual changes have the option to submit an Attestation letter stating that the budget will not change in place of submitting the budget narrative/justification. SF 424A Standard Budget Forms are required, which should also include itemized Federal and non-Federal matching requirement budget columns.
January 30	1st - Quarterly Cash Transaction Report	(Standard Form 425) The quarterly FFR Cash Transaction Report is due 30 days after the quarter ends (October 1–December 31). Quarterly FFR information is provided on the Division of Payment website at https://pms.psc.gov . (FFR Quarterly report due to PMS is different from FFR Annual report due to DGM.)
FEBRUARY		
February 5–8	Community Anti-Drug Coalitions of America's 28th National Leadership Forum and SAMHSA's 14th Prevention Day—Gaylord National Hotel & Convention Center, National Harbor, MD	Join us for the 28th National Leadership Forum, the premier and largest training conference for community prevention leaders, treatment professionals, and researchers, and SAMHSA's 14th Prevention Day.
February	DFC Semi-Annual Progress Report & Sustainability Plan	The DFC Semi-Annual Progress Report is due in February 2018. ONDCP will provide all DFC grant recipients with training on how to submit the progress report via the DFC <i>Me</i> system. DFC grant recipients in Year 3 and Year 7 are also required to submit a Sustainability Plan through DFC <i>Me</i> .
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 Payment Management System (PMS) website at https://pms.psc.gov . All FFR Quarterly Reports are to be submitted to PMS.

DFC 2017–2018 and DFC-M Calendar Items and Deadlines

Date	Event	Description
MAY		
Currently no scheduled events		
JUNE		
Currently no scheduled events		
JULY		
July 15–19	CADCA Mid-Year Training Institute—Gaylord Palms, Orlando, FL	A 4-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.
July 28	No Cost Extension	A no-cost time extension may be requested if the recipient requires additional time beyond the established expiration date (project end-date). The recipient 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 https://pms.psc.gov . Submit to DPM.
AUGUST		
August	DFC Semi-Annual Progress Report and Coalition Classification Tool (CCT)	The DFC Semi-Annual Progress Report is due in August 2018. ONDCP will provide all DFC grant recipients with training on how to submit the progress report via the DFC <i>Me</i> system. DFC grant recipients are also required to submit the Coalition Classification Tool (CCT).
August	DFC Mentoring Program Progress Report	Guidance regarding the submission of DFC Mentoring Progress Report will be sent out via the GPO.
SEPTEMBER		
September 29	End of Fiscal Year	12-month budget period ends.
September 30	New Grant Fiscal Year begins	Notices of Awards are sent out to the Business Official for each DFC grant. 12-month budget period begins.

DFC 2017–2018 and DFC-M Calendar Items and Deadlines

Date	Event	Description
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 https://pms.psc.gov . Submit to DPM.
NOVEMBER		
November 30	New DFC Grant Award Recipient Webinar Training	All DFC Years 1 and 6 recipients must register to participate in the New Recipient Webinar training; two representatives are requested. One must be charged with the daily oversight of the coalition. Two representatives are also required for the DFC Mentoring Program. One must be from the Mentor coalition and one must be from the Mentee coalition.
DECEMBER		
December 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 December 30th. It is required on an annual basis and must be submitted for each 12-month Budget Year period. (FFR Annual report due to DGM is different from FFR Quarterly report due to PMS.)
December 30	Carryover Request	Formal carryover of unspent funds from one fiscal year to the next fiscal year requires prior approval from the GMO. Request submission does not mean guaranteed approval. Expanded Authority (intent): Recipients may carry over up to 10 percent of their unobligated balance of Federal funds from previous budget periods into the current budget period.

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 grant award recipient, 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 grant award recipients 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. The DFC-M Program's goal is to assist newly forming coalitions in becoming eligible to apply for DFC funding.

For the purposes of the DFC Program, a coalition is defined as the following: 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 prevention strategies.

Office of National Drug Control Policy

The Office of National Drug Control Policy (ONDCP) is a component of the Executive Office of the President. ONDCP was created by the Anti-Drug Abuse Act of 1988. ONDCP advises the President on drug-control issues, coordinates drug-control activities and related funding across the Federal government, and produces the annual National Drug Control Strategy, which outlines the Administration's efforts to reduce illicit drug use, manufacturing and trafficking, drug-related crime and violence, and drug-related health consequences.

ONDCP seeks to foster healthy individuals and safe communities by effectively leading the nation's efforts to reduce drug use and its consequences.

ONDCP administers the DFC and DFC-M Program. This program provides grants to community coalitions that mobilize their communities to prevent youth substance use. 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. 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.

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 use 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 use and mental illness on America's communities.

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.

As Federal partners, ONDCP and SAMHSA collaborate to provide comprehensive program management and administrative support to improve and enhance this important national substance use prevention effort.

For more information about SAMHSA, 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 serves as Government Project Officers (GPOs), providing prevention expertise and guidance to all DFC and DFC Mentoring Program grant award recipients.

Substance use 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. Communities and states across the nation are using data-driven decision-making as they decide which evidence-based programs, practices, and policies work best to keep their citizens healthy. Additionally, they continue to invest in prevention because it contributes to better health and improved quality of life.

CSAP's charge is to create prevention efforts that engage individuals, families, schools, workplaces, and support communities. CSAP also works to promote emotional health and prevent and reduce substance use, mental illness, 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 recipients 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 recipients 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 Payment Management System (PMS)

Payments for your grant are made available through the Payment Management System.

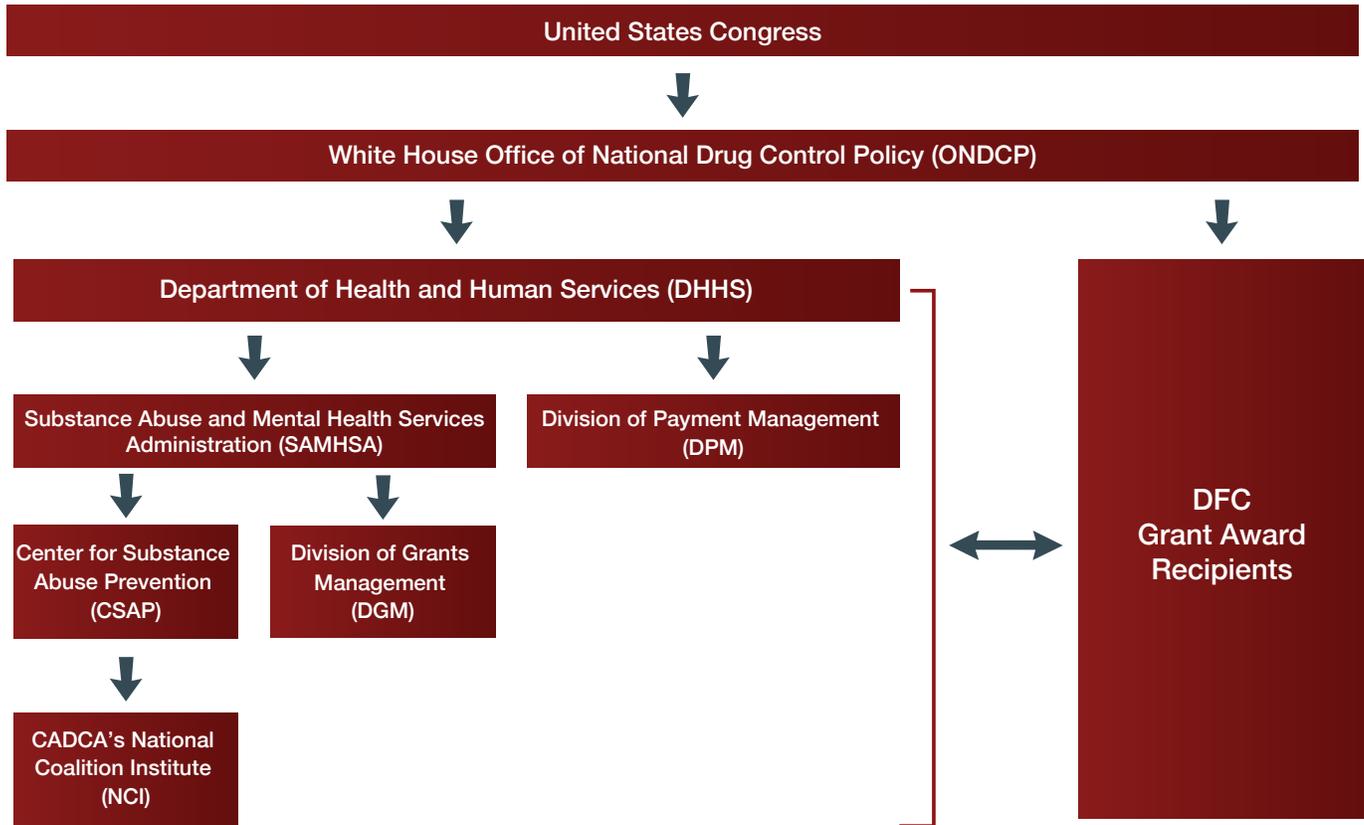
The Payment Management System (PMS) is a centralized grants payment and cash management system, operated by the HHS Program Support Center (PSC).

NOTE: All grant award recipients must register with PMS to begin to draw down funds for their grant. To register with PMS, visit https://pms.psc.gov/resources_and_training/pmshelpdesk.html, or call 1-877-614-5533.

Roles and Responsibilities

The DFC Program is a collaborative effort between the Executive Office of the President’s ONDCP and the Department of Health and Human Services’ SAMHSA.

Drug-Free Communities (DFC) Support Program Partners



Roles and Responsibilities of the Grant Recipient

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 **“recipient”** is either a coalition that has received a grant or an outside agent that is serving as the recipient on behalf of a community coalition under the competitive Funding Opportunity Announcement (FOA) process.

Recipients 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. (However, the Program Director cannot also serve as the Business Official.) 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. The Program Director and Project Coordinator must be listed under “Personnel” in the Budget Narrative and not identified under “Contracts.”

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

DFC Grant Award Recipient Statutory Eligibility Requirements	
Grant Award Recipient Requirements	Requirement Details
Statutory Eligibility Requirements for All DFC Grant Award Recipients (coalitions or outside agents)*	<ul style="list-style-type: none"> • The recipient must be an entity eligible to receive Federal funds. • The recipient must not request more than \$125,000 per year. • The recipient must document the level of non-Federal match defined in the DFC Act. • The recipient cannot be awarded more than one DFC grant at a time.
Other Requirements for All DFC Grant Award Recipients (coalitions or outside agents)	<ul style="list-style-type: none"> • The recipient must continue the implementation of the specific goals and objectives outlined in the approved application for DFC funding. The recipient 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 key personnel (Program Director and Project Coordinator) are required to participate in DFC <i>Me</i>, so that information from DFC is received on a timely basis. • The recipient must use the Strategic Prevention Framework (SPF), a five-step, evidence-based process for community planning and decision-making. • The recipient must plan and implement Environmental Prevention Strategies (see Overview of Environmental Prevention Strategies) as part of his/her Strategic and Action Plans.

DFC Grant Award Recipient Statutory Eligibility Requirements

Grant Award Recipient Requirements	Requirement Details
<p>Statutory Eligibility Requirements for DFC-Funded Coalitions (If you are the grant award recipient for a separate coalition, you are still responsible for ensuring all eligibility criteria are met by the coalition.)</p>	<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 terms and conditions, FOA, 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 12-Month Action Plan 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 for the DFC National Evaluation.

**Requirements for Grant Award Recipients in Years 3 and 7: The coalition must submit via DFC Me a “Strategic Plan for Sustainability” with the February Progress Report.*

<p>Statutory Eligibility Requirements for All DFC-M Grant Award Recipients</p>	<ul style="list-style-type: none"> The Mentor coalition must have been in existence for at least five years. The Mentor coalition must be in compliance with all requirements of their existing DFC grant for the previous year. The Mentor coalition must have achieved, through its own efforts, measurable results in the prevention of substance use among youth. The Mentor coalition must have at least one paid or volunteer staff person, as well as sector volunteers, willing to serve as mentors to the Mentee coalition in the prevention of youth substance use. The Mentee coalition is not currently and never has been funded through the DFC grant program. The Mentor coalition must demonstrate that there is a willingness on the part of the Mentee coalition and its community to actively participate in the mentoring process. The Mentor coalition must submit a detailed Mentoring Plan for the mentoring activities to be supported by the grant. The Mentor coalition must demonstrate a minimum of a 1:1 match in non-Federal funds not previously identified as match to their current DFC grant. The Mentor coalition may not request more than \$75,000 in Federal funds per year.
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For additional information on 2017 DFC Grant Award Recipient terms and conditions, go to <https://www.whitehouse.gov/ondcp/grants-programs>. All DFC grant award recipients 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 recipient at the beginning of each new fiscal year.

Roles and Responsibilities of the Office of National Drug Control Policy

- ONDCP is involved in all administrative aspects of the program at the national level;
- ONDCP makes final funding decisions for new and continuation grants;
- ONDCP makes program policy decisions regarding the DFC Support Program and DFC Mentoring 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;
- ONDCP confers with SAMHSA for day-to-day management of DFC grants; and
- ONDCP provides all DFC-funded community coalitions with access to the DFC *Me* (Management and Evaluation) system.

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 or designee is the SAMHSA official who may grant required prior approvals.** All changes in the terms and conditions of the grant award must be made in writing by the GMO or designee by issuing a revised Notice of Award (NoA).

Roles and Responsibilities of the Grants Management Specialist

Each recipient 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, the following:

- Post-award grant administration activities, including review and approval of budget revisions, carryovers, change in recipient, 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 ensure 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 ensuring that recipients comply with the match requirements.

- Technical Assistance (TA) on various grants management issues to recipients and the GPO.
- In concert with the GPO, site visits to review recipients' 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.

NOTE: All e-mails to the GMS 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 Office of Financial Advisory Services (OFAS)

The OFAS assists DGM by conducting the following grants management activities that result in interactions with DFC grant award recipients:

- Reviews all new grant award recipients' capability to adequately administer Federal awards;
- Reviews grant award recipients' key staff with the same or similar names as excluded individuals;
- Reviews applicants and grant award recipients for delinquent Federal debt;
- Resolves OMB Circular A-133 (45 CFR 75 Subpart F) audit findings;
- Reviews allegations and complaints;
- Requests organizations be classified as restricted status as appropriate;
- Processes restricted status grant award recipients' advance and reimbursement requests; and
- Closes out grants after they end.

Roles and Responsibilities of the Government Project Officer

Each recipient 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 are essential for a successful grant project.

GPO duties include:

- Initiate contact with each recipient shortly after the recipient receives the NoA from SAMHSA. This discussion should include clarification of program goals and objectives; 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.
- Maintain regular and ongoing contact with recipients, at minimum on a monthly basis, through e-mail, phone calls, and site visits.

- Review the semi-annual progress reports submitted via DFC *Me* and provide feedback to the recipient on whether performance is satisfactory.
- Provide ongoing project monitoring and coordinating with SAMHSA's DGM, which conducts the fiscal oversight of the recipient, where appropriate. Program aspects of monitoring are accomplished by collecting and continuously reviewing information from telephone communications, site visits, progress reports, correspondence, technical assistance reports, recipient meetings, and other sources.
- Initiate corrective action plans, as needed.

GPO CONTACT: The NoA lists the GPO assigned to your grant program.

Roles and Responsibilities of the Payment Management System

The **Payment Management System (PMS)** is custom-developed to provide grant award recipients the tools to manage grant payment requests and disbursement reporting activities. The PMS:

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

For more information regarding the DPM, visit <https://pms.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.

Audit Confirmation Procedure

The Payment Management System (PMS) allows grant recipients to provide auditors with confirmation of grant payments during on-site audits. To obtain grant payment confirmation, recipients can:

1. Log into PMS
2. Submit a Payment Data query by entering the account number or sub-account number

A history of all payment-related transactions will be displayed in chronological order beginning with the most recent activity. The list of the transactions may include payments of a specific sub-account, payments within specific start and end dates, or payments with a specific confirmation number.

For assistance with the PMS Payment Data inquiry, contact the Accounting and Reports Branch at PMSOIGAudit@psc.hhs.gov. Please include the contact information of the individual receiving the payment data (name, phone number, fax number, and email address).

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 Drug-Free Communities and/or DFC Mentoring terms and conditions of the grant and Federal funding limits and obligations; and
- Provides the documentary basis for recording the financial and programmatic obligations.

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	<p>The initial DFC project is for a maximum of 5 years. The budget period is for one year only. Recipients 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.</p> <p>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.</p>
Section I	<p>Lists the approved budget as submitted and negotiated by SAMHSA and the recipient. This section further lists the “summary totals for all years.” This is the amount of funding (if available and if recipient is in compliance with the terms of the award) that the recipient may request in each of the continuation years of the award.</p>
Section II	<p>Lists the Payment Management System (PMS) information and the Officer of the Inspector General (OIG) hotline information.</p>
Section III	<p>Explains the “order of precedence” regarding the laws and regulations that govern this award. Note that it is the recipient’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.</p>
Section IV	<p>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.</p>

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 recipients 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	Lists the contact information for the Government Project Officer (GPO) and the GMS assigned to your grant.

Grant Payments

All recipients must register with the Payment Management System (PMS) to begin to draw down funds for their grants.

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

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

To access forms from the PMS website:

- Go to <https://pms.psc.gov/>
- Click on "Grant Recipients"
- Click on "Grant Recipient Forms"
- Help Desk—1-877-614-5533

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 the DFC and DFC-M Program in your community. This framework is integral in monitoring the effectiveness of your prevention efforts.

The Importance of the Strategic Prevention Framework

DFC-funded 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 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 and DFC-M grant recipient, 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 12-month action plan in place;
- Understand the logic incorporated into the SPF;
- Know each of the five steps and the activities involved with each one;
- 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 five-year grant cycle.

For more information on the SPF, please visit the following resource: <https://captus.samhsa.gov/prevention-practice/strategic-prevention-framework>.

Overview of Environmental Prevention 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 prevention 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 prevention strategies, initiatives, measures, and related substance use 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 of or access to alcohol and other harmful drugs; and
- Address other factors affecting public health and safety.

The DFC 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 youth substance use problem being addressed.

A coalition that has effectively implemented environmental prevention strategies has likely taken care to develop the capacity of its members to understand this important prevention approach, and ensures their participation in the process. It is important to directly link your assessed community problems to your coalition's work and its efforts to affect 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 Prevention Strategies

- Environmental prevention 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 prevention strategies focus on changing norms, adopting and enforcing laws and regulations, and reducing the availability of and access to alcohol and other drugs.
- Prevention efforts that use environmental prevention strategies typically are effective to the extent that they demonstrate effects on "bottom line" measures (e.g., key health indicators).
- Often it takes a community coalition to bring about the environmental changes that, over the long term, make meaningful impacts on the problem of substance use. Your DFC coalition makes a difference!

For more information on environmental prevention strategies, please visit <http://www.cadca.org/resources/coalition-impact-environmental-prevention-strategies>.

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.

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 <https://www.hhs.gov/sites/default/files/grants/grants/policies-regulations/hhsgps107.pdf>.

Federal Administrative Regulations

This award is subject to The Uniform Administrative Requirements, Cost Principles, and Audit Requirements in 45 CFR Part 75, as adopted and implemented by the Office of National Drug Control Policy (ONDCP) in 2 C.F.R. Part 3603. For this 2017 award, 45 CFR Part 75 requirements supersede, among other things, the provisions of 28 C.F.R. Parts 66 and 70, as well as those of 2 C.F.R. Parts 215, 220, 225, and 230. For more information on 45 CFR Part 75 Requirements, see <https://cfo.gov/cofar>. For specific award-related questions, recipients should contact their SAMHSA Grants Manager Officer promptly for clarification.

Uniform Administrative Requirements, Cost Principles, and Audit Requirements 2 CFR 45 CFR 75 are a term and condition for all SAMHSA awards.

Uniform Administrative Requirements, Cost Principles, and Audit Requirements 2 CFR 45 CFR 75 are available at: <http://www.ecfr.gov/cgi-bin/text-idx?SID=704835d27377ef5213a51c149de40cab&node=2:1.1.2.2.1&rgn=div5>.

Allowable Costs and Activities

A typical DFC budget submission includes the salary and benefits of an individual who ensures effective day-to-day operations of the coalition, training, 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 Subpart E—Cost Principles of the 2 CFR 200/45 CFR 75. It is available at <http://www.ecfr.gov/cgi-bin/text-idx?SID=704835d27377ef5213a51c149de40cab&node=2%3A1.1.2.2.1&rgn=div5#sp2.1.200.e>.

What the Drug-Free Communities Support Program Funds

The DFC Program funds community coalitions that have been formed to address youth substance use. Local communities often understand that they 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 \$3 per person) to encourage participation in a community-wide event. Food is not allowable for general coalition or subcommittee meetings.
- No more than 10 percent of the total grant award may be used for evaluation.
- DFC grant funds may not be passed through by contract or any other method to another entity to conduct the substantive programmatic work on the program. The funded coalition is expected to perform the substantive role and manage the efforts carried out by this grant.
- 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's progressive discipline and appeals processes have been developed by ONDCP and SAMHSA. There are three progressive discipline actions that can be taken:

1. Restricted status;
2. Suspension; and
3. Termination.

Restrictions on Grant Award Recipient 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

Recipients must have a proper financial management system in place, and it must conform to 45 CFR 75.302. Basic elements of a financial management system must include written accounting and personnel and procedures with the following elements and 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 (e.g., 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. • Must 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.
Annual Audits	<ul style="list-style-type: none"> • Audits must be performed in accordance with 45 CFR 75 200 Subpart F for Fiscal Years (FYs) with expenditures under Federal awards of \$750,000 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 ends.
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 recipient 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 to be opened and reviewed by a recipient 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 that the reconciliation be performed in a timely manner by an employee not authorized to sign checks (timely defined within 14 days).

Element	Standards
<p>Disbursements/Procurement</p>	<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 of more than \$5,000. • Organization officials authorized to sign checks designated in the policies.
<p>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.</p>	<p>Contributions (including cash and third party in-kind) must be:</p> <ul style="list-style-type: none"> • Verifiable from the recipient'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.
<p>Consultants/Subcontracts</p>	<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 the System for Award Management at https://www.sam.gov and HHS Office of Inspector General's (OIG) List of Excluded Individuals and Entities at http://exclusions.oig.hhs.gov.
<p>Expenditure Analysis</p>	<ul style="list-style-type: none"> • Actual versus 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.
<p>Indirect Costs 45 CFR Part 75</p>	<ul style="list-style-type: none"> • With some exceptions, non-Federal entities that have never received a negotiated indirect cost rate may elect to charge a de minimis rate of 10 percent of modified total direct costs. • 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.
<p>Credit Cards</p>	<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.

Element	Standards
<p>Timekeeping Reference – 45 CFR Part 75</p>	<ul style="list-style-type: none"> Salaries and wages based on actual time employees worked and 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.
<p>Travel</p>	<ul style="list-style-type: none"> Expenses must be reasonable, necessary, and pre-approved. Mileage, meals, incidentals, and lodging rates should be limited to rates published in the GSA Federal Travel Regulation, unless an organization has an established travel policy. Where an organization does have its own written travel policy, the GSA travel rates will be used as a reasonableness test.
<p>Property Control</p>	<ul style="list-style-type: none"> Property records must include a description, serial number or equivalent, title, cost, Federal percentage, purchase date, source of funding, location, condition, and disposal information. 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.
<p>Conflict of Interest</p>	<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, ownership by a family member, or through financial or other business ties. Nepotism, where 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>

Element	Standards
Drug-Free Workplace	<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 five 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. • For either option above, may only use program income to pay costs otherwise allowable under the DFC program.

Audit Requirements

45 CFR Part 75 Subpart F requires that a non-Federal entity that expends \$750,000 or more during the non-Federal entity's fiscal year in Federal awards must have a single or program-specific audit conducted for that year, in accordance with the provisions of this part. Recipients must 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 nine months after the fiscal year-end.

For questions and information concerning the submission process, please visit <https://harvester.census.gov/facweb> or call the Federal Audit Clearinghouse at 1–800–253–0696.

Public Policy Requirements

Public policy requirements concerning civil rights, handicapped individuals, sex discrimination, and age discrimination require a 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 acknowledgment of the ONDCP 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.”

Language below must be used on any Spanish language publications:

“Este [nombre del documento] se desarrolló, en parte, bajo el número de concesión [XXXX] de la Oficina de Política Nacional de Control de Drogas (ONDCP), la Administración de Abuso de Sustancias y Servicios de Salud Mental (SAMHSA) y el Departamento de Salud y Servicios Humanos de los Estados Unidos (DHHS). Los puntos de vista, políticas y opiniones expresadas son de los autores y no reflejan los de la ONDCP, SAMHSA o DHHS.”

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.”

All materials developed in Spanish must include the following language:

“Esta [hoja / folleto / sitio de internet / cartelón, etc.] se desarrolló, en parte, bajo el número de concesión [XXXX] de la Oficina de Política Nacional de Control de Drogas (ONDCP), la Administración de Abuso de Sustancias y Servicios de Salud Mental (SAMHSA) y el Departamento de Salud y Servicios Humanos de los Estados Unidos (DHHS). Los puntos de vista, políticas y opiniones expresadas son las de los autores y no reflejan los de la ONDCP, SAMHSA o DHHS.”

Products developed by recipients are not subject to SAMHSA's or the Office of the Assistant Secretary for Public Affairs' (OASPA) review and clearance. They are not considered to be SAMHSA products. However, DFC GPO should be made aware of all products developed by recipients. If deemed necessary, the GPO will request further guidance from ONDCP. In addition, the White House seal and/or ONDCP's seal may not be used without the consent of the White House Communications Office or the consent of the Office of National Drug Control Policy.

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/regulations-and-policy/index.html>.

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, recipients must maintain books and records to show that they comply with restrictions on the expenditure of Federal funds. 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. Recipients should keep supporting documents that show the amounts and sources of gross receipts. Drug-Free Communities (DFC) and DFC Mentoring (DFC-M) recipients 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;
- Credit card charge slips;
- Check and cash receipt copies; and
- Remittance or credit advice (bank transfer).

Expenses

Expenses are the costs a 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;
- Debit advice (bank transfer);
- Invoices; and
- Petty-cash slips for small cash payments.

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.

Employee Records

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 recordkeeping mechanism are types of documents that can be used to reflect 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.

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.

Understanding Match

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

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 (recipient) 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 use 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 grant award recipient at the same level of detail as Federal funds.
- Matching contributions are subject to audit.
- Grant award recipients 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 recipient area;
- Not all areas pay the same rate (Washington, DC, versus Mobile, Alabama);
- Market research may be necessary for the service;
- If the recipient 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 recipient 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 recipient competes for the kind of services involved.

- Rates for volunteers must be consistent with established rates paid for similar work by the grant award recipient.
- 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

Years of DFC-M Funding Received	Match Requirements
Years 1–2	100 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 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 Restricted status, or termination of the grant award and future funding.

System for Award Management

All DFC and DFC-M grant award recipients must be registered in the System for Award Management (SAM). 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 entities, 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. Grant award recipients are required to regularly report all sub-awards over \$25,000 to the Federal Sub-award Reporting System (FSRS)— <http://www.FSRS.gov>.

Additionally, certain grant award recipients 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 recipients 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 2 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 recipients 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 recipient is responsible for providing these data on or before the deadline established for each reporting period via the progress report (see below).

Prior to submitting core measures data, coalitions are required to submit any survey(s) used to collect these data for review and approval through the DFC *Me* system. For questions specific to the DFC data collection requirements, grant recipients should reach out to the DFC National Evaluation team.

Email: DFC_Evaluators@icfi.com

Phone: 1-877-854-0731

Hours: Monday – Friday 9 a.m. to 6 p.m. ET

Progress Reports

DFC *Me* (Management and Evaluation) is ONDCP’s new interactive website designed to assist DFC-funded community coalitions with the tools and resources needed to better manage the DFC grant. DFC progress reports are completed online through DFC *Me*.

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 recipients. The frequency and submission process are indicated in the NoA as follows.

DFC Semi-Annual Progress Reports

All DFC recipients will complete semi-annual reports. Reports for FY 2017 are entered into on or before the following dates:

DFC Grant Award Recipients in Years 1–10

Type of Report	Date
DFC <i>Me</i> Progress Report	February 2018
DFC <i>Me</i> Progress Report	August 2018

All DFC recipients must complete the 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 DFC *Me* system:

DFC Grant Award Recipients in Years 1–10

Type of Report	Date
CCT	August 2018

DFC-M Annual Progress Report

Year 1 and Year 2 Grant Award Recipients

Type of Report	Date
DFC-M Progress Report	August 2018

Programmatic and compliance questions related to the DFC-M Progress Report should be directed to your GPO. Please see Assistance and Resources in this handbook for more information.

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, by December 31. 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. Due to SAMHSA's transition to NIH's electronic Research Administration (eRA) grants system, FFRs must now be submitted through eRA.

All DFC Grant Award Recipients Annual Federal Financial Report

Year 1–10 Grant Award Recipients

Year	Due Date
FY 2017 (September 30, 2017–September 29, 2018)	December 30, 2017 (Only recipients that have completed 12 months funding) Report must be prepared on a cumulative basis. Intent to carry over 10% of unobligated balance is to be stated in the Remarks section of the report.

Quarterly Federal Financial Report (Cash Transactions)

Quarterly cash transactions reports are required by the HHS Payment Management System (PMS). This quarterly reporting requirement provides an overview of the cash status of the account. The 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 PMS. 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 PMS, respectively.

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

All DFC and DFC-M Grant Award Recipients Quarterly Cash Transactions Report Year 1–10 Grant Award Recipients

Quarter	Due Date
1st Quarter October 1, 2017–December 31, 2017	January 30, 2018
2nd Quarter January 1, 2018–March 31, 2018	April 30, 2018
3rd Quarter April 1, 2018–June 30, 2018	July 30, 2018
4th Quarter July 1, 2018–September 30, 2018	October 30, 2018

NOTE: The Quarterly FFR and the Annual FFR are two different reports and are submitted to two different offices. The Annual FFR is submitted to the DGM office directly to DFCFFR@samhsa.hhs.gov inbox. The Quarterly FFR is due to DPM 30 days after the quarter ends and must be submitted through the Payment Management System.

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 Drug-Free Communities (DFC) and DFC Mentoring (DFC-M) 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. Recipients are required to notify SAMHSA of all post-award changes. DGM has 30 days to process Post Award Request, provided all required documents are submitted at time of initial request.

Submission Requirements

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

1. Request Correspondence: must be e-mail submission only
Requests must be submitted to the SAMHSA Grants Management Specialists by the Program 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;
 - Grant award recipient organization name; and
 - Grant award recipient contact information, including address, telephone number, fax number, and e-mail addresses.
2. Supporting documentation
The grant award recipient is responsible for any distribution of the request.
 - Approval will be granted by DGM 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 post-award changes that require notification to SAMHSA.

Change in Grant Award Recipient (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 recipient organization with correct name and EIN Declaration from the state government authority (if applicable).

NOTE: Changes in grant award recipient 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> (A revised checklist is necessary only if the PD or Business Official is changing.)
- 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>

Change in Business Official

- Request Correspondence.
- Revised HHS Checklist—<https://www.samhsa.gov/grants/continuation-grants/dfc-continuations>

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 that have been placed on restricted 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.

The following areas are the most common post-award changes, which require notification to SAMHSA and prior approval.

Budget Revisions

Recipients, unless designated as restricted status, 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 personnel, contract, and indirect cost categories.

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.

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.

*Significant re-budgeting is defined as cost modifications that exceed 25 percent of the approved budget. SF 424A Budget Form Sample provided below:

On the next page is a sample SF424A Budget Form, Sections A and Sections B. This is the budget summary form used for Budget Revisions that requires significant budgeting, which requires prior approval. This is also the budget form submitted annually with continuation applications. This form shows samples of the itemized budget breakdown in the Federal and Non-Federal columns.

Sample SF424A Budget Summary Form

BUDGET INFORMATION - Non-Construction Programs

OMB Approval No. 0348-0044

SECTION A - BUDGET SUMMARY						
Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. Leave Blank	Leave Blank	\$	\$	\$	\$	\$ 0.00
2.						0.00
3.						0.00
4.						0.00
5. Totals		\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
SECTION B - BUDGET CATEGORIES						
6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)	
	(1)	(2)	(3)	(4)		
a. Personnel	\$	\$	\$	\$	\$ 0.00	
b. Fringe Benefits					0.00	
c. Travel					0.00	
d. Equipment					0.00	
e. Supplies					0.00	
f. Contractual					0.00	
g. Construction					0.00	
h. Other					0.00	
i. Total Direct Charges (sum of 6a-6h)		0.00	0.00	0.00	0.00	
j. Indirect Charges					0.00	
k. TOTALS (sum of 6i and 6j)	\$	0.00	0.00	0.00	0.00	
7. Program Income	\$	\$	\$	\$	\$ 0.00	

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Standard Form 424A (Rev. 7-97)
Prescribed by OMB Circular A-102

Previous Edition Usable

SECTION C - NON-FEDERAL RESOURCES				
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS
8.	\$	\$	\$	\$ 0.00
9.				0.00
10.				0.00
11.				0.00
12. TOTAL (sum of lines 8-11)	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

SECTION D - FORECASTED CASH NEEDS					
	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	\$ 0.00	\$	\$	\$	\$
14. Non-Federal	0.00				
15. TOTAL (sum of lines 13 and 14)	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT				
(a) Grant Program	FUTURE FUNDING PERIODS (Years)			
	(b) First	(c) Second	(d) Third	(e) Fourth
16.	\$	\$	\$	\$
17.				
18.				
19.				
20. TOTAL (sum of lines 16-19)	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

SECTION F - OTHER BUDGET INFORMATION	
21. Direct Charges:	22. Indirect Charges:
23. Remarks:	

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Standard Form 424A (Rev. 7-97) Page 2

Change in Scope

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

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:

- 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.

The recipient must make the initial determination of whether a proposed change would be considered a change in scope and should consult with the GMS and GPO as necessary.

Change in Key Personnel and Level of Effort

Any nomination, replacement of, increase, or reduction in level of effort of the DFC Program Director (PD) or Project Coordinator (PC) of the recipient requires the written prior approval of the GMS and GPO.

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, but approval is not guaranteed.

If approved, only one carryover request is allowed per year.

The DFC Program, unless designated as a Restricted Recipient, may carry over previous unobligated balance(s) of funds up to 10 percent of the total Federal share into 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, recipients must submit a formal carryover request that requires prior approval from the GMO. See Carryover Request Expanded Authority on page 56 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.

Change in Recipient Organization Requests (Transfer, Merger, and Successor-in-Interest)

The intent of the DFC program is to fund recipient organizations for up to five years, as stated under the Executive Summary in the Funding Opportunity Announcement (FOA). It is expected that the recipient organization that submitted the application, which served as the basis for the DFC award, will be responsible for the award throughout the project period. The partnership between the recipient organization (fiscal agent) and coalition is expected to be a long-term commitment. Therefore, the approval of a change in recipient organization is not guaranteed.

A relinquishment letter from the recipient organization cannot be retracted, and the authorized award amount is no longer available to the recipient organization or coalition, until an official decision is made by SAMHSA to approve the requested change.

Therefore, it is important to note that the coalition will have to sustain on its own during the review and approval of the request for change of recipient organization and that the review and approval process can take up to 120 days.

No-Cost (Time) Extension

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

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

Recipients 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.

Recipients 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 28).

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 and Level of Effort
<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: 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.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. <p>Note: If a budget revision is required, refer to the Budget Revision instructions.</p>
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.

No-Cost (Time) Extension

- 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.
- 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.

Carryover Request Expanded Authority	Formal Carryover Request
<ul style="list-style-type: none"> • Recipients 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). • Recipients using the 10% Expanded Carryover Authority may not expend a UOB prior to reporting and submitting an intention to carry over a UOB on the annual FFR to their GMS. Example: "This is our intent to utilize the 10% Carryover Authority in the amount of \$[XXXX] from the [XX] budget period." • Recipients using the 10% Expanded Carryover Authority must report the actual carryover in the Remarks section in the following year's annual FFR. • If the recipient 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: Budget Information Form, accessible via http://www.samhsa.gov/grants/continuation-grants. • Coalition meeting minutes approving amount and intended use of carryover funds. • Annual FFR (SF 425) that 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.
<p>No later than the annual FFR due date (refer to your NoA).</p>	

Continuation Application Process

The DGM will send important information and instructions in December 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 compliance with the DFC statutory eligibility requirements, adequate program performance, and fulfilling all reporting requirements and deadlines. Contact your GPO and GMS for further information regarding the continuation process. To apply for continuation funding, recipients must submit either:

- (1) A signed and dated attestation from the authorized representative on the organization's letterhead stating that the budget amounts for the new budget period will not change more than 25 percent from the current budget period.*

The attestation letter must clearly state that the budget will not change by more than 25 percent and also confirm that there are no key personnel changes; the attestation letter must be signed by the authorized representative on the organization's letterhead.

***Recipients classified as Restricted Status are not eligible to submit an attestation letter in lieu of a detailed budget.**

OR

- (2) A new detailed budget and narrative justification for the new budget period.**
- (3) Submit SF 424 Budget Forms including Federal and Non-Federal Matching columns with itemized budgets categories with attestation letter or detailed budget narrative justification.

** If a new detailed budget and narrative justification is being submitted, other Federal and non-Federal funds being utilized to support the grant project should be identified by funding source and amount.

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

Recipients 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 Drug-Free Communities (DFC) and DFC Mentoring (DFC-M) Programs consist of the following reports:

1. Final DFC Semi-Annual Progress Report through DFC *Me*
 - Note: If an extension is provided, then the grant award recipient is required to submit the next Semi-Annual Progress Report through the DFC *Me* system.
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 Payment Management System (PMS).
 - 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 recipient 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: <https://www.samhsa.gov/grants/grants-management/reporting-requirements>.
 - The data can be entered directly on the form and the system will calculate the figures.
 - After the FFR is completed, 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: Grant award recipients must ensure expenditures reported to the Payment Management System (PMS) in quarterly Federal Cash Transaction Reports reflect the actual total expenditures incurred under the grant for the entire period of performance. This amount should reconcile to the total cumulative expenditures under the grant reported in the Final FFR.
- The FFR, including general instructions, may be found at <https://www.samhsa.gov/grants/grants-management/reporting-requirements>.

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 to the SAMHSA DGM: dfcgrantclose@samhsa.hhs.gov.

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 75 Sub Part F;
- Property management requirements specified in 2 CFR 200.311/45 CFR 75.318; and
- Records retention requirements specified in 2 CFR 200.333/45 CFR 75.361.

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 DFC and DFC-M grant award recipient. These include online institutes, traditional classroom trainings and academies, technical assistance resources, materials, and strategy guides, which will maximize your efforts within the Drug-Free Communities Program.

CSAP Government Project Officer DFC Program Site Visit

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

- Review the purpose of the DFC Program with the recipient and members of the coalition;
- Learn about the recipient 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, could be shared nationwide;
- Verify compliance with the DFC Program requirements and make related recommendations; and
- Identify areas of needed training and technical assistance (TA).

During each site visit, GPOs meet with key personnel 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, the recipient must have several 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 for Sustainability; and
- Two or three 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 recipient will receive a report that summarizes the visit findings, recommendations, and any required follow-up actions within 30 days of the site visit.

The DFC GPO for each recipient is identified within the Notice of Award (NoA).

Community Anti-Drug Coalitions of America

When it comes to preventing drug and alcohol use, 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 and teaches them how to assess their local substance use-related problems and 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, technical assistance (TA), evaluation, research, and capacity building, the NCI helps America's community coalitions work more effectively.

Need help with data collection, logic models, or strategic and action plans? Have questions about how to best prepare for the National Coalition Academy? Contact the National Coalition Institute's Senior Coalition Development Manager Jackie Rhodes by email (training@cadca.org), by phone (1-800-54-CADCA) ext. 240, or at <http://www.cadca.org/technical-assistance>.

National Coalition Institute

The NCI offers various training opportunities for DFC recipients 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.

New DFC recipients are required to register and attend an NCA cycle during their first year of funding in the DFC Program (unless the recipient coalition has previously attended an NCA and graduated). It is mandatory that two people from each recipient coalition attend the NCA. DFC recipients receiving Mentor grants are required to register their Mentee coalitions in the NCA during the two-year grant cycle. DFC recipients receiving Year 6 funding are encouraged to attend the NCA if leadership changes occurred in recent years. However, they are not required to attend the NCA. The National Coalition Academy teaches 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 NCA has spaces available for all Year 1 recipients to attend an NCA in one of five locations across the country.

The National Coalition Academy is a year-long intensive training experience that includes classroom, distance learning, and web-based instruction. The classroom instruction occurs in three four-day 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 Academy.

There are no fees for tuition, registration, and instructional materials. CADCA has collaborated with highly rated hotels to provide training facilities in New Mexico, Maryland, Alabama, Florida, and Texas. These hotels provide rooms at a discounted rate for all participants, and it is strongly encouraged that participants stay at these partnering hotels. In addition to lodging, participating recipients are required to pay for all travel, transportation, and meal expenses. New DFC recipients may submit budget revisions to your Grant Management Specialist (GMS) in order to accommodate the NCA training.

NCA registrations will open on October 18 at noon Eastern Time (ET). Please visit www.cadca.org/nca for instructions. To get answers for any questions associated with attending the National Coalition Academy, contact Winta Tedros, CADCA's Training and Technical Assistance Manager, at training@cadca.org; she also serves as the primary point of contact to apply for the Academy.

The NCA schedule for 2018 is provided below.

CADCA National Coalition Academy 2017–2018		
Double Tree Suites by Hilton Tampa Bay 3050 N. Rocky Point Drive West Tampa, FL 33607	Tampa, FL	Classroom training Week 1: March 12–15, 2018 Week 2: June 4–7, 2018 Week 3: August 13–16, 2018
Kimpton Hotel Monaco Baltimore 2 N Charles Street Baltimore, MD 21201	Baltimore, MD	Classroom training: Week 1: March 26–29, 2018 Week 2: June 11–14, 2018 Week 3: August 27–30, 2018
Double Tree Suites by Hilton San Antonio Downtown 502 West Cesar E. Chavez Blvd San Antonio, TX 78207	San Antonio, TX	Classroom training: Week 1: April 9–12, 2018 Week 2: June 18–21, 2018 Week 3: September 10–13, 2018
DoubleTree by Hilton Santa Fe 4048 Cerrillos Road Santa Fe, NM 87507	Santa Fe, NM	Classroom training: Week 1: April 30–May 3, 2018 Week 2: June 25–28, 2018 Week 3: September 17–20, 2018
Embassy Suites by Hilton Birmingham 2300 Woodcrest Place Birmingham, AL 35209	Birmingham, AL	Classroom training: Week 1: May 7–10, 2018 Week 2: July 30–August 2, 2018 Week 3: September 24–27, 2018

DFC Me

DFC Me is the new Management and Evaluation system for DFC grant award recipients. This web-based, password-secured system is designed to help recipients manage the day-to-day work of running a DFC-funded community coalition with the capability of helping recipients document the coalition's progress in each area of the Strategic Prevention Framework (SPF).

DFC Me is a DFC grant recipient's one-stop shop for success. Through DFC Me, DFC-funded community coalitions will be able to:

- Receive up-to-date communications from ONDCP on important DFC news, learning opportunities, and the latest research and drug trends;
- Have access to a simplified portal to review, edit, and submit DFC Semi-Annual Progress Reports;
- Stay up-to-date on meetings, trainings, and other important grant deliverables via the calendar function;
- Access the DFC Learning Center, where DFC grant award recipients can submit and share success stories and best practices on the topics that matter most to coalitions; and
- Have direct access to requests for training and technical assistance (TA) from our partners.

DFC recipients must complete the Semi-Annual Progress Report in the DFC Me system twice a year (refer to the Reporting Requirement Section). These reports are reviewed by the SAMHSA/CSAP GPO and are used to ensure recipient compliance and to monitor progress toward the program goals and the recipients' 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 collected in these reports are utilized by the DFC National Cross-site Evaluation Team to evaluate the effectiveness of the DFC Program on a national scale.

The DFC Me system can be accessed through the following website at <https://dfcme.ondcp.eop.gov/>. ONDCP provides ongoing training on the DFC Me system. Training is always available online. At the DFC Me website, under Training & Help, grant award recipients will find various topics, such as:

- An Introduction to Progress Reporting and DFC Me;
- Progress Reporting 101; and
- The Survey Review Process in DFC Me.

In addition, a DFC *Me* User Guide is available to all users on the DFC *Me* dashboard once you log in. If extra help is needed, do not hesitate to contact the DFC *Me* Team at:

Email: DFC_Evaluators@icfi.com

Phone: 1-877-854-0731

Hours: Monday–Friday 9 a.m. to 6 p.m. ET (except federal holidays)

When sending an email to the DFC *Me* Team, please provide your name, grant award number (i.e., SP0XXX-0X), and a contact phone number, and copy your GPO on the email.

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 grant award recipient and assume the obligations imposed by the Federal laws, regulations, requirements, and conditions that apply to the DFC Support Program grant.

Business Official: A business official is the individual responsible for the financial aspects of the grant.

Center for Substance Abuse Prevention (CSAP): A Center within SAMHSA that seeks to prevent and reduce the use of illegal drugs, alcohol, prescription drugs, and tobacco.

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 recipients. 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 use 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 that is responsible for managing cash flow advances to recipients via a centralized grants payment management system.

Electronic Research Administration (eRA): The electronic Research Administration (eRA) Commons is an online interface managed by NIH that allows grant applicants, grantees, and Federal staff to securely share, manage, and process grant-related information.

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

Federal Financial Report (FFR): Federal Financial Report required of recipients 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.

Grant Award Recipient: Formerly referred to as the Grantee.

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. An applicant without a Federally approved indirect cost rate agreement may elect to use a 10 percent de minimis rate, based on modified total direct costs.

- 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.

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; and
- Provided in the approved budget when required by Federal awarding agency.

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

Office of Financial Advisory Services (OFAS): (1) Analyzes financial and cost information for SAMHSA; (2) evaluates and improves financial management systems, controls, and operations to eliminate waste, fraud, and abuse, and to improve management of assets; and (3) conducts audits and on-site reviews of organizations that receive Federal funds from SAMHSA to ensure compliance with Federal fiscal and management policies and reduce the risk of waste, fraud, and abuse.

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 recipients 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.

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

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

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 use and mental illness on America's communities.

Supplant: To replace funding of a recipient'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-M Program recipient, you will find a wealth of governmental and program support websites that can be of help to you. The links to these agencies and program support websites are listed below.

Topic/Agency/Organization	Link
Accessing Grant Funds	https://pms.psc.gov/
Annual FFR (SF 425)	https://www.samhsa.gov/grants/grants-management/reporting-requirements
Audit Requirements for Federal Award Recipients	http://www.ecfr.gov/cgi-bin/text-idx?node=pt45.1.75#sp45.1.75.f
Capacity Building	http://www.samhsa.gov/capt/applying-strategic-prevention-framework/step2-build-capacity
Center for the Application of Prevention Technologies (CAPT)	http://www.samhsa.gov/capt/
Centers for Disease Control and Prevention (CDC)	http://www.cdc.gov/
Community Anti-Drug Coalitions of America (CADCA)	http://cadca.org/
Community Assessment	http://www.samhsa.gov/capt/applying-strategic-prevention-framework/step1-assess-needs
Cultural Competence	http://www.samhsa.gov/capt/applying-strategic-prevention/cultural-competence
DFC Me (Management and Evaluation) System	https://dfcme.ondcp.eop.gov/
Evaluation	http://www.samhsa.gov/capt/applying-strategic-prevention-framework/step5-evaluation
Grants and General Financial Information	http://www.samhsa.gov/grants/grants-management
HHS Grants Policy Statement	http://www.samhsa.gov/grants/grants-management/policies-regulations/hhs-grants-policy-statement
High Intensity Drug Trafficking Areas (HIDTA)	https://www.whitehouse.gov/ondcp/grants-programs/
Implementation	http://www.samhsa.gov/capt/applying-strategic-prevention-framework/step4-implement
National Institute on Alcohol Abuse and Alcoholism (NIAAA)	http://www.niaaa.nih.gov/

Topic/Agency/Organization	Link
National Institute on Drug Abuse (NIDA)	https://www.drugabuse.gov/
Non-Research Indirect Cost Rate (Cost Allocation Services)	https://rates.psc.gov/fms/dca/map1.html
Office of National Drug Control Policy	https://www.whitehouse.gov/ondcp
Planning	http://www.samhsa.gov/capt/applying-strategic-prevention-framework/step3-plan
Post-Award Changes	http://www.samhsa.gov/grants/grants-management/post-award-changes http://www.hhs.gov/ohrp
Strategic Prevention Framework	http://www.samhsa.gov/spf
Sustainability	http://www.samhsa.gov/capt/applying-strategic-prevention-framework/sustainability
Technical Assistance	http://cadca.org/technical-assistance

The Federal Financial Report (FFR)

DFC Support Programs Edition

Standard Form (SF) 425

Due Date for FFR (SF 425)

No later than December 30th

Refer to your Notice of Award

DFC grant award recipients 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

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 grant award recipients are now required to use the SF 425 (FFR) to report annual expenditures and match. An 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 pages
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 type="checkbox"/> Accrual	
8. Project/Grant Period (Month, Day, Year) From:				To:		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 Grant Award Organization Information.
- 4. DUNS Number/EIN**—Enter Grant Award Organization Information.
- 5. Recipient Account Number**—Leave blank.
- 6. Report Type**—Check Annual or Final (refer to detailed instructions).
- 7. Basis of Accounting**—Your accountant or financial manager will know if you are reporting on cash or an accrual basis.

Additional definitions are on page 77.

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 SF 425. 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
<i>(Use lines a-c for single or combined multiple grant reporting)</i>	
Federal Cash (To report multiple grants separately, also use FFR Attachment):	
a. Cash Receipts	
b. Cash Disbursements	
c. Cash on Hand (line a minus b)	
<i>(Use lines d-o for single grant reporting)</i>	
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 share of 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

- a. **Cash Receipts**—Enter the cumulative amount of actual cash received from the Federal agency as of the reporting period end date.
- b. **Cash Disbursements**—Enter the cumulative amount of Federal fund disbursements (such as cash or checks) as of the reporting period end date.
- c. **Cash on Hand (Line 10a Minus Line 10b)**—Enter the amount of Line 10a Minus Line 10b. This amount represents immediate cash needs. If more than three business days of cash are on hand, SAMHSA may require an explanation.

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.
- 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 grant award recipient institution was awarded but has not obligated (spent).

Carryover Request Expanded Authority

Effective October 1, 2011:

DFC grant award recipients (not on restricted status) may carry over 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 percent threshold, DFC grant award recipients 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 carry over the unobligated balance of funds up to the percentage threshold of the current Federal share must be stated in the remarks section.

Recipient Share: DFC GRANT AWARD RECIPIENTS 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.samhsa.gov/sites/default/files/guide-complete-sf-425.pdf>.

Last, the bottom portion of the FFR contains information on indirect expenses, remarks, and signatures.

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 carry over 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 grant award recipients 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 grant award recipient 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 someone 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 electronically submit the FFR to the attention of your Grants Management Specialist at DFCFFR@samhsa.hhs.gov.

Always make a copy for your file.

References

Federal Financial Report (SF 425) <https://www.samhsa.gov/grants/grants-management/reporting-requirements#ffr>

Detailed instructions to fill out Federal Financial Report (SF 425) <https://www.samhsa.gov/sites/default/files/guide-complete-sf-425.pdf>

SAMHSA Grants Management Website

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

Drug-Free Communities Support Program National Evaluation^a



From first to most recent report, **more youth** in DFC communities **report not-using** each of the following substances in the past 30-days:

- No Alcohol
- No Marijuana
- No Tobacco
- No (Illicit) Prescription Drugs

In 2016, **61.7 million** Americans lived in a community with a DFC funded coalition

2.5 million middle school youth

3.5 million high school youth

48% of Americans have lived in a community with a DFC funded coalition since 2005

More high school youth in DFC communities report not using alcohol or marijuana as compared to youth nationally (2015)^b

DFC Coalitions engage in a comprehensive mix of strategies to be effective!

- 99%** Providing Information
- 96%** Enhancing Skills
- 83%** Enhancing Access/Reducing Barriers
- 78%** Providing Support
- 73%** Changing Consequences
- 65%** Modifying/Changing Policies
- 61%** Changing Physical Design

88% of FY2015 DFC coalitions targeted heroin, prescription drugs or both

21,600 community members mobilized to address youth substance use prevention

^a Drug-Free Communities Support Program National Evaluation: 2016 National Evaluation End-of-Year Report (2017). <https://www.whitehouse.gov/omb/grants-programs>
Based on data provided by FY 2015 DFC coalitions in August 2016.

^b Compared to national Youth Risk Behavior Survey Data (YRBS), 2015. Centers for Disease Control and Prevention. 2015 Youth Risk Behavior Survey Data. Available at: <https://www.cdc.gov/healthyyouth/data/yrbs/data.htm>. Accessed on April 6 2017.

