REQUEST FOR APPLICATION No. RM0 DCPC073126

Government of the District of Columbia
Department of Behavioral Health

TITLE: District of Columbia Prevention Centers (DCPC)

Amendment #1
Pages: 33, 43,44;57-66

RELEASE DATE: Friday, July 31, 2026

SUBMISSION DEADLINE: Monday, August 31, 2026 by 12:00 pm ET

PRE-APPLICATION CONFERENCE:
Thursday, August 6, 2026
12:00 pm ET

DEPARTMENT OF BEHAVIORAL HEALTH

NOTICE OF FUNDING AVAILABILITY

District of Columbia Prevention Centers (DCPC)

The District of Columbia, Department of Behavioral Health (DBH) is soliciting applications from qualified applicants for services in the program and service areas described in this Notice of Funding Availability (NOFA). This announcement is to provide public notice of the DBH's intent to make funds available for the purpose described herein. The applicable Request for Application (RFA) will be released under a separate announcement with guidelines for submitting the application, review criteria, and DBH terms and conditions for applying for and receiving funding.

General Information:

Funding Opportunity Title:	District of Columbia Prevention Centers (DCPC)
Funding Opportunity Number:	DCPC073126
Opportunity Category:	Competitive
DBH Branch/Division Unit:	Substance Use Disorders, Prevention Branch
DBH Administrative Unit	Child, Adolescent & Family Services
Program Contact:	Yasir Shah, Grants Specialist 202.727.8601 yasir.shah@dc.gov
Program Description:	The establishment of four (4) District of Columbia Prevention Centers: one (1) in Wards 1 & 2; one (1) in Wards 3 & 4; one (1) in Wards 5 & 6; and one (1) in Wards 7 & 8 to prevent the early onset of alcohol, tobacco, and other drugs (ATOD)use, , including stimulants and opioids, while reducing risk, interrupting the progression of use, and avoiding the consequences of substance use in the District for children, youth, young adults, families and adults.
Eligible Applicants:	Eligible entities who can apply for grant funds under this RFA must: 1. Be a non-profit or community based organization with an established physical presence (office location, program activities, etc.) in the District of Columbia within one of the proposed Wards.
Anticipated Number of Awards:	Four (4) awards
Anticipated Amount Available:	$2,500,000

Floor Award Amount:	$625,000
Ceiling Award Amount:	$625,000

Funding Authorization:

Legislative Authorization:	Department of Health and Human Services, Substance Abuse and Mental Health Services Administration, Center for Substance Use Treatment - Section 1921 of Title XIX, Part B, Subpart II and III of the Public Health Service - Consolidated Appropriations Act of 2022
Assistance Listing#:	93.959 & 93.788
Cost Sharing/Match Required?	No
RFA Release Date:	Friday, July 31, 2026
Pre-Application Conference (Date):	Thursday, August 6, 2026
Pre-Application Conference (Time):	12:00 p.m. ET
Pre-Application Conference (Microsoft Teams Access):	Pre-Application Conference for RFA RM0 DCPC073126
Application Deadline Date:	Monday, August 31, 2026
Application Deadline Time:	12:00 p.m., ET
Links to Additional Information about this Funding Opportunity:	Serve DC: Mayors Office of Community Affairs DBH RFA Opportunities: DBH - Request to Applications

Notes:

A. **DBH reserves the right to issue addenda and/or amendments subsequent to the issuance of the NOFA or RFA, or to rescind the NOFA or RFA.**
B. **Awards are contingent upon the availability of funds.**
C. **Individuals are not eligible for DBH grant funding.**
D. **Applicants must have a UEI#, Tax ID#, and be registered in the federal Systems for Award Management (SAM).**
E. **Contact the program manager assigned to this funding opportunity for additional information.**

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DC Department of Behavioral Health (DBH)
Adult Services Administration

DBH RFA Terms and Conditions

The following terms and conditions are applicable to this and all Requests for Applications (RFA) issued by the District of Columbia Department of Behavioral Health (DBH) and to all awards, if funded under this RFA:

- Funding for a DC DBH award/sub-award is contingent on DBH's receipt of funding (local or federal) to support the services and activities to be provided under this RFA.
- The RFA does not commit DBH to make an award.
- DBH may suspend or terminate any RFA pursuant to its own grant making rule(s) or any applicable federal law, regulation, or requirement.
- Individual persons are not eligible to apply or receive funding under any DBH RFA.
- Eligible applicants must also have the ability to enter into an agreement with DBH requiring compliance with all governing federal and District of Columbia laws and regulations.
- DBH reserves the right to accept or deny any or all applications if DBH determines it is in the best interest of DBH to do so. An application will be rejected if it does not comply with eligibility requirements outlined in the RFA. DBH shall notify the applicant if it rejects that applicant's proposal for review.
- DBH reserves the right to issue addenda and/or amendments subsequent to the issuance of the RFA, or to rescind the RFA. The prospective applicant is responsible for retrieving this information via sources outlined in the RFA (e.g., Serve DC, DBH Website).
- DBH shall not be liable for any costs incurred in the preparation of applications in response to the RFA. Applicant agrees that all costs incurred in developing the application are the applicant's sole responsibility. No funds already awarded to the applicant under other instruments or agreements shall be used by the applicant to fund the preparation of this application.
- DBH may conduct pre-award on-site visits to verify information submitted in the application and to determine if the applicant's facilities are appropriate for the services intended. In addition, DBH may review the fiscal system and programmatic capabilities to ensure that the organization has adequate systems in place to implement the proposed program.
- DBH shall determine an applicant's eligibility by way of local and federal registries for excluded parties, searches and documents, and certifications submitted by the applicant.
- Any entity registering to do business with the government in terms of contracts or grants and assistance awards is required to have a Unique Entity Identification (UEI) number prior to award. UEI's are issued by the federal System for Award Management (SAM) and are a part of an entity's record. (https://sam.gov/content/home).

- DBH reserves the right to require registry into local and federal systems for award management at any point prior to or during the Project Period.
- DBH may enter into negotiations with an applicant and adopt a firm funding amount or other revision of the applicant's proposal that may result from negotiations.
- If funded, the applicant will receive a Notice of Grant Award (NOGA), which shall incorporate the requirements of this RFA and identify the project period and budget period.
- Continuation funding, if awarded, shall be based on availability of funds, documented satisfactory progress in interim and annual reports, continued eligibility, and determination that the continued funding and activities is in the best interest of the District of Columbia.
- OMB 2 CFR Part 200 (effective December 26, 2014) and 2 CFR Part 300, and Title 22A, D.C. Municipal Regulation, Chapter 44, apply to all grants issued under this RFA.
- If there are any conflicts between the terms and conditions of the RFA and any applicable federal or local law or regulation, or any ambiguity related thereto, then the provisions of the applicable law or regulation shall control, and it shall be the responsibility of the applicant to ensure compliance.

Additional information about local grants management policy and procedures may be obtained from the District Grants Manual.

If your agency would like to obtain a copy of the DBH RFA Dispute Resolution Procedures, please contact the DBH Grants Management Office at DBH.Grants@dc.gov or find on the DBH website, www.dbh.dc.gov under Opportunities, Request for Applications. Your request for this document **will not** be shared with DBH program staff or reviewers.

CHECKLIST FOR RFA APPLICATION

A complete DBH RFA Application Package shall **adhere** to the following guidance:

- ☐ Documents requiring signature have been signed by the agency head or **AUTHORIZED** Representative of the applicant's organization.
- ☐ The application must have a UEI number to be awarded funds. Go to SAM.gov to apply for and obtain a UEI # if needed. (https://sam.gov/content/home)(https://sam.gov/content/home)
- ☐ The Project Narrative is typed using the following formats: 8-½ by 11-inch paper, 1.0 spaced, Arial or Times New Roman font 12-point type (10-point font for tables and figures), and a minimum of one-inch margins. **Applications that do not conform to these requirements will not be forwarded to the review panel.**
- ☐ The application proposal format conforms to the "Application Requirements" listed in the RFA.
- ☐ The proposed budget is complete and complies with the allowable items provided in the RFA. All data is captured using the "Budget and Budget Justification" (Attachment F) provided with the RFA. The budget justifications are complete and describe the items proposed in each category.
- ☐ The proposed work plan, staffing plan, Work Plan (Attachment D), Staffing Plan (Attachment E), and any other requested attachments are complete and comply with the forms and format provided in the RFA.
- ☐ Submit your application via email to DBH Grants, DBH.Grants@dc.gov by 12:00 pm ET on the deadline of Monday, August 31, 2026. **Applications will not be accepted late. Applicants are encouraged to submit their applications 24 hours prior to the deadline for any necessary electronic/technical troubleshooting.**

A complete DBH RFA Application Package shall **include** the following:

- ☐ Notice of Eligibility and Experience Requirements (Attachment A)
- ☐ Intent to Apply Notification (Attachment B)
- ☐ Application Profile (Attachment C)
- ☐ Project Abstract (Attachment C)
- ☐ Table of Contents
- ☐ Project Narrative
- ☐ Work Plan (Attachment D)
- ☐ Staffing Plan (Attachment E)
- ☐ Budget and Budget Justification (Attachment F)
- ☐ Advance Payment Request Form (Attachment G)
- ☐ Organizational Risk Self-Assessment (Attachment I)
- ☐ SPF Conceptual Framework (Attachment J)
- ☐ Letters of Agreement
- ☐ Organizational Required Documents:
    - Business License

- Certificate of Clean Hands
- IRS Tax-Exempt Determination Letter (for nonprofits only)
- IRS 990 Form from most recent tax year (for nonprofits only)
- IRS W-9 Form, if applicable
- Audited Financial Statements
- Separation of Duties Policy
- Board of Directors
- Active UEI Number (Unique Entity ID via System for Award Management (SAM))
- Partner Document(s) (if applicable)
- Proof of Insurance for Commercial, General Liability, Professional Liability, Comprehensive Automobile, and Worker's Compensation
- Cyber Liability Policy

☐ General Terms and Conditions (Attachment 1)
☐ Assurances, Certifications, & Disclosures (Attachment 2)
☐ Program Income and Financial Disclosure (Attachment 3)
☐ DC Contribution and Solicitation Certification (Attachment 4)
☐ Federal Assurances and Certifications (Attachment 5)
☐ Special Terms of Award Funding (Attachment 6)
☐ DC Tax Certification (Attachment 7)
☐ Sub-Grantee Single Audit Certification (Attachment 8)
☐ DBH Grant Terms and Conditions (Attachment 9)
☐ SOR Grant Terms and Conditions (Attachment 10)

GENERAL INFORMATION

Key Dates

Notice of Funding Announcement Date:	Friday, July 31, 2026
Request for Application Release Date:	Friday, July 31, 2026
Intent to Apply Notification Date:	Friday, August 21, 2026
Pre-Application Conference Date:	Thursday, August 6, 2026 at 12:00 pm ET
Application Submission Deadline:	Monday, August 31, 2026 by 12:00 pm ET
Anticipated Award Start Date:	Thursday, October 1, 2026

Authority for the Grant

The Department of Behavioral Health (DBH) was established, effective October 1, 2013, by the Department of Behavioral Health Establishment Act, D.C. Law 20-0061, D.C. Official Code § 7-1141.01, et seq., and is the successor-in-interest to the Department of Mental Health, established by the Mental Health Establishment Amendment Act of 2001, effective December 18, 2001 and the Department of Health Addiction Prevention and Recovery Administration, established in the Department of Health by Reorganization Plan No. 4 of 1996, effective July 17, 1996. DBH is responsible, inter alia, for developing and monitoring comprehensive and integrated behavioral health systems of care for adults and for children, youth and their families, and serves as the state mental health authority and as the single state agency for substance abuse services. The Director of DBH has the authority to make grants pursuant to D.C. Official Code § 7-1141.06(7) and has implemented this authority by rulemaking in Title 22A, D.C. Municipal Regulation, Chapter 44.

Overview

The Government of the District of Columbia, Department of Behavioral Health, Children and Youth Services Division is soliciting applications from qualified organizations to implement and establish one of four (4) DC Prevention Centers. This solicitation includes one (1) application opportunity under the District of Columbia Prevention Centers (DCPC).

This initiative is funded by the United States Department of Health and Human Services (DHHS), Substance Abuse and Mental Health Services Administration (SAMHSA), Substance Use Prevention, Treatment, & Recovery Services Block Grant (SUPTRS) and the State Opioid Response (SOR) grant.

The District of Columbia Opioid Response (DCOR) grant, guided by LIVE.LONG.DC., the District's Plan to Reduce Opioid Use, Misuse, and Related Deaths (LLDC), is focused on increasing access to medication for opioid use disorder (MOUD) treatment, reducing unmet treatment needs, and reducing opioid overdose-related deaths in the District of Columbia through the provision of overdose prevention, treatment, and recovery support services (RSS) to individuals with OUD and/or STUD.

This initiative addresses the following LLDC goals:

- PC. 1: Provide age-appropriate, evidence-based, education and prevention initiatives in all public schools and public charter schools regarding the risk of illegal drug use, prescription drug misuse, and safe disposal of medications
- PC 2: Conduct outreach and training activities in community settings to engage youth, parents, educators, school staff, and childcare providers on effective communication and engagement strategies to support individuals impacted by substance use disorders.
- PC 3: Coordinate across stakeholders, wards, and jurisdictional/regional areas to connect consumers, review data, and inform progress

The goal of the DCPCs is to prevent the early onset of alcohol, tobacco, and other drugs (ATOD) use, including stimulants and opioids, while reducing risk and increasing protective factors for children, youth, families, and adults. The geographical locations and coverage areas for the DCPCs are: one (1) serving Wards 1 & 2, one (1) serving Wards 3 & 4, one (1) serving Wards 5 & 6, and one (1) serving Wards 7 & 8.

This solicitation includes one (1) application opportunity.

AWARD INFORMATION

Source of Grant Funding
Funding is made available by the United States Department of Health and Human Services (DHHS), Substance Abuse and Mental Health Services Administration (SAMHSA), Substance Use Prevention, Treatment, & Recovery Services Block Grant (SUPTRS) and the State Opioid Response (SOR) grant.

Award Funding Available
This RFA will make available $2,500,000 for up to four (4) awards of $625,000 over one (1) base year with up to four (4) option years.

Performance and Funding Period
The anticipated performance and funding period is October 1, 2026 – September 29, 2027. Subsequent to the first 12-month budget period, funding will be awarded for up to four (4) option years. The number of awards, budget periods and award amounts are contingent upon the continued availability of funds and the recipient performance.

Eligibility Requirements
Eligible entities who can apply for grant funds under this RFA must:

1. Be a non-profit or community-based organization with an established physical presence (office location, program activities, etc.) in the District of Columbia within one of the proposed Wards.

Non-Supplantation
Recipients must supplement, and not supplant, funds from other sources for initiatives that are the same or similar to the initiatives being proposed in this award. Further, 2 CFR Parts 200 and 300 contains additional restrictions for for-profit commercial entities that may require a reduction of approved grant awards based upon program income earned.

Application Page Limit
The documents that will be counted in the page limit may not exceed the equivalent of **seven (7) pages**. The page limit includes the following documents:

1. Project Narrative – Up to six (6) page(s)
2. Project Abstract – (Attachment C), 1 page

BACKGROUND & PURPOSE

Background

The District of Columbia continues to face a significant and persistent substance use crisis that impacts residents across the District. Federal prevalence estimates from the National Survey on Drug Use and Health indicate ongoing substance use and alcohol misuse in the District (Substance Abuse and Mental Health Services Administration, 2023). According to the Centers for Disease Control and Prevention (2024), DC has one of the highest overdose mortality rates in the nation (Centers for Disease Control and Prevention, 2024) and the DC Office of the Chief Medical Examiner (2023, 2024) reports that fentanyl was involved in the vast majority of opioid-related overdose deaths. (District of Columbia Office of the Chief Medical Examiner, 2023, 2024)

Substance use prevention services in the District are designed to strengthen communities and support the District's behavioral health continuum of prevention, treatment and recovery support services. Substance use prevention services also involve developing and strengthening the capacity of the District's prevention provider network to meet the challenging substance use prevention needs across eight (8) Wards and 131 neighborhoods, and provide more comprehensive, integrated and community-based substance use prevention services.

DBH supports specific prevention approaches to include the establishment of Prevention Centers that are designed to significantly contribute to the development of a sustainable prevention infrastructure in the District of Columbia. This infrastructure will help support efforts to prevent the onset, reduce the risk, interrupt the progression of use, and avoid the consequences of alcohol, tobacco, and other drugs (ATOD) including stimulants and opioid use in the District.

Prevention Centers have shown that they strengthen community capacity by addressing community and system needs, identifying and reducing substance use risk and protective

factors that directly impact youth, families and adults. Prevention Centers are dynamic hubs that engage, support, and help connect the many community elements that are needed for promoting healthy children, youth, families and adults, while supporting the continuum of care that includes substance use prevention, treatment and recovery.

Purpose

The purpose of this RFA is to operate four (4) Prevention Centers that serve residents within the proposed wards (see Location of Services) within the District of Columbia. Prevention Centers are a cornerstone of DBH's approach to reducing substance use — addressing risk factors before a crisis occurs, and reaching residents across all eight wards, age groups, and communities.

Prevention Centers work with communities and neighborhoods to provide substance use education, engage community leaders, youth, and families in taking action to reduce the risks and use of alcohol, tobacco, and other drugs (ATOD) including opioids and stimulants, and address elements that lead to substance use.

The primary goals of prevention programs are to deter the onset or first use of ATOD including opioids and stimulants among children, youth, families and adults and to reduce substance use risk factors for adolescents, families, and communities by changing perceptions, attitudes, and behaviors that increase risk.

Funded organizations are expected to deliver a full range of evidence-based prevention services to residents within their proposed wards to prevent the early onset of alcohol, tobacco, and other drugs (ATOD) use, including opioids and stimulants, while reducing risk and increasing protective factors for children, youth, families and adults. Some of the priority risk factors (SPTAC-SAMHSA, 2024) include:

1. The onset of ATOD use among youth;
2. Low neighborhood attachment and community disorganization;
3. Community laws and norms favorable toward ATOD use among children and youth;
4. Low perception of risk and harm of youth ATOD use among peers and adults; and
5. Favorable attitudes toward youth ATOD use.

Funded organizations will need to engage in universal prevention programming for the general population, implement evidence-based prevention services targeting individuals and groups at elevated risk such as youth, older adults and unhoused individuals.

The Prevention Centers will also be responsible for providing prevention education and training and technical assistance for youth, families, schools, and communities in the use of evidence-based strategies and best prevention practices by increasing the communities knowledge of ATOD including opioids and stimulants.

The Prevention Centers will be crucial partners in the development of various social marketing campaigns to reach youth, families, adults and communities. The social marketing campaigns will be housed across various sites such as the Drug Free Youth DC, LIVE.LONG. DC., and other DBH sites.

Overall, the goal of this funding is to strengthen and expand the District's prevention infrastructure by ensuring that every ward has access to high-quality, responsive prevention services — reducing the risk of substance use initiation, slowing progression to disorder, and decreasing the long-term demand on the District's treatment system with a focus on ATOD including opioids and stimulants. Under this RFA, the following statements and definitions are applicable:

1. Children and youth (including transitional aged youth) are defined as persons aged 0 through 25 to include students on college campuses.
2. Families.
3. Adults 21 and older.
4. Community prevention is defined in terms of locations where people live, work, and play and often results in partnerships or "prevention networks." These partnerships and networks include but are not limited to: (1) geographic and administrative boundaries (i.e., tracts, political, school districts, neighborhoods, housing developments, recreational catchment areas); (2) boundaries of purpose (parents/families/caregivers, faith organizations, community-based organizations, and prevention program services); and (3) boundaries created by shared languages and/or cultural values and norms.
5. Community capacity refers to the ability of individuals at the local level to work together to affect conditions that increase risk for substance use among children and youth. These efforts are strategic and not a one-time response to an issue but rather occur over time and result in incremental community and systems change, reduction in risk, and improvement in targeted outcomes.
6. Community readiness includes but is not limited to a history of community cooperation on substance use prevention issues; financial and human resources dedicated to prevention; strength of community leadership dedicated to prevention; demonstrated commitment to working cooperatively in community partnerships; demonstrated leadership capacity for serving as catalysts for community change; and active prevention efforts already underway as demonstrated by community changes facilitated by multiple sectors, a variety of appropriate strategies, and data driven outcomes.
7. The SPF Conceptual Framework (**Attachment J**) is a visual diagram based on the Theory of Change which describes the problem, the risk factor(s), the local conditions in the designated wards, and also helps identify and select strategies that address the core functions of Community Education, Community Leadership and Community Changes through the creation of local Community Prevention Networks (CPNs) which will address those specific risk factors and local conditions in their proposed wards.

8. Prevention is defined as creating conditions for healthy individuals, families, and communities to reduce risk of and increase protection from substance use for children, youth, families and adults.
9. Risk and Protective Factors: Research has identified risk and protective factors that place individuals at risk for substance use disorders and interrelated problems. DBH is collecting District and Ward data in order to measure levels of risk and protective factors which include the following:
    a. Favorable attitudes towards substance use;
    b. Transitions and mobility;
    c. Low neighborhood attachment and community disorganization;
    d. Family history of substance use and family management problems;
    e. Family conflict and low commitment to school; and
    f. Early initiation of alcohol, tobacco, and other drug use (before age 13).

PERFORMANCE REQUIREMENTS

Experience Criteria

Applicants must meet the following requirements:

1. Be an organization with at least one (1) year experience in addressing community and public health, substance use, and behavioral health issues, in the District of Columbia, particularly in the proposed Wards;
2. At least two (2) years' experience with implementing evidence-based prevention activities to a youth, young adults, collegiate-aged youth, adults, families and community stakeholders.

Target Population

The target population is youth (middle and high school students), collegiate- level students and university staff, adults, older adults 55+ and older, unhoused individuals, parents, caregivers and community networks.

Location of Services

Each applicant proposing to develop a DCPC must serve all wards and neighborhoods that fall within one of the following geographic designations:

1. Wards 1 & 2
2. Wards 3 & 4
3. Wards 5 & 6
4. Wards 7 & 8

Scope of Services

Applicants are expected to address and provide evidence supporting their expertise in providing the following capacity building core functions in ways that address the unique characteristics and priorities of the geographic areas to be served. Strategies should result in targeted community changes and reductions in priority risk factors, and, over time, changes in targeted prevention outcomes.

Successful applicants will provide evidence in the Program Narrative of their strengths, knowledge, and experiences in each of the following core areas.

Community Education

This core function requires the DCPC to serve as sources of current, comprehensive, and relevant prevention information for a wide range of audiences in their respective geographic areas; including members of the community, youth, families, service providers, and policymakers. In addition, the DCPC should have the ability to consistently distribute this information to the community.

Community Leadership

This core function is designed to identify, engage, and strengthen the capacity of community prevention partnerships in order to address the areas that are placing DC residents at risk for alcohol, tobacco, and other drug use including stimulants and opioids.

Community Changes

This core function increases opportunities for proactive prevention action planning around ward-specific risk and protective factors and measurable changes in policy, practice, and programs that reduce risk.

The Strategic Prevention Framework (SPF) conceptual framework template (**Attachment J)** shall be submitted and used for SPF planning once an award has been made.

Problem data and root causes (risk factors) shall be used to identify the applicant's local conditions and thus, develop a conceptual framework with strategies that address the core functions of Community Education, Community Leadership and Community Changes through the creation of local Community Prevention Networks (CPNs) which will result in target outcomes that prevent and reduce risks for the abuse of alcohol, tobacco and other drugs including opioids and stimulants in the proposed wards.

Services to be provided under the District of Columbia Prevention Centers (DCPC) Grant Opportunity project/effort include the following:

1. Administration
    a. Establish a DC Prevention Center (DCPC) that serves respective wards.
    b. Participate in the continued development of the Drug Free Youth DC website, LLDC website, and other social marketing activities.

c. Market the entity as a DCPC using DBH provided templates; use the approved logo, business cards, letterhead and envelopes, graphic design. Must maintain approved visible signage at the DCPC office site at all times.
d. Administrative overhead/indirect costs of the grantee (15% Maximum) – unless a Negotiated Indirect Cost Rate Agreement [NICRA] is already in place).
e. Employ the following staff dedicated to the DC Prevention Center activities:
    i. One (1) FTE Project Director/Coordinator responsible for oversight, reporting and ward-level coordination.

    ii. Applicants should reflect staff needed to implement and complete required activities of the grant. Staff shall be responsible for three (3) core functions: Community Education, Community Leadership and Community Change. Applicants should demonstrate how their staffing plan will ensure deliverables are met.
f. Participate in monthly meetings with DBH Prevention Program Staff to discuss updates and address pending concerns.
g. Maintain and submit monthly Program Calendars. Complete a calendar of grant-related activities, using DBH format.
h. Prepare a line-item categorical budget and budget narrative using standard DBH provided template. Budget shall be submitted to the Programmatic team and DBH Office of Fiscal Services (OFS) for review and approval.
i. Financial Monitoring (submit monthly expenditure reports and participate in onsite or desk fiscal review by the assigned DBH Fiscal Monitor.

2. Assessment
    a. Use DBH Community Conversation protocol to conduct at least eight (8) Community Conversations (2 per quarter) that address the needs of the populations residing within respective Wards (including community stakeholders that directly or indirectly work with the population). Community conversations should focus on discussions and the communities perceptions of ATOD including opioids and stimulants.
        i. Four (4) for primary prevention (children and youth)
        ii. Four (4): Other Populations that can include College Aged young adults, Older Adults 55+ older and Unhoused Population (if applicable)
    b. Identity environmental strategies being used to focus on reducing risk and increasing protective factors.

3. Capacity Building
    a. Attendance at DBH prevention required roundtables, planning, training, and technical assistance meetings and events including – training and technical assistance, approved by DBH.
    b. Participate in meeting with other providers during Ward level calls for assigned wards to discuss collaboration across the District, LLDC quarterly summits, and monthly Prevention Opioid Strategy groups calls.

c. Attendance of at least two (2) staff members at the Substance Abuse and Mental Health Services Administration (SAMHSA) sponsored National Prevention Day Conference.

4. **Planning**
    a. Develop DCPC work plan to ensure measurable results in three (3) levels of evaluation are achieved: priority risk and protective factors; community changes; and behavioral outcomes. To be reviewed and approved by DBH SUD Prevention.
    b. To support the promotion of Substance, Use Disorders (SUD) prevention (focusing on ATOD including opioids and stimulants) within schools, establish a partnership and develop evidence-based programming with at least four (4) middle schools and four (4) high schools across designated wards (8 schools total).
    c. Develop and implement two (2) prevention education activities at universities in assigned wards. Must include opioid overdose education training.
5. **Implementation**
    a. Disseminate science-based substance use prevention education materials developed and/or approved by DBH that are appropriate for the respective populations and documented needs of the two (2) designated wards. At a minimum of 8 (eight) planned events.
    b. Coordinate and support DBH supported activities for:
        i. Substance Abuse and Mental Health Services Administration (SAMHSA) Prevention Week;
        ii. International Overdose Awareness Day/Week (IOAD);
        iii. National Prescription Drug Take Back Day (October and April);
        iv. And other nationally recognized events and campaigns.
    c. Identify and support the development of a minimum of five (5) new community prevention networks (CPNs) annually, who will take part in developing and implementing action plans to promote substance use prevention.
    d. Build the capacity of community prevention networks in the use of the Strategic Prevention Framework (SPF) five (5) step planning process that includes the standard logic model and action plan templates, ultimately resulting in the implementation of plans aimed at preventing substance use within the District.
    e. Develop and maintain a Youth Prevention Leadership Corps (YPLC) with a minimum of ten (10) youth who have been trained in the Strategic Prevention Framework (SPF). The YPLC shall develop and implement a minimum of two (2) community action plans aimed at preventing substance use among District youth.
    f. From YPLC, DCPCs will identify youth stakeholders to participate in a youth advisory board (with a minimum of two (2) representatives). Youth advisory

board will provide feedback on community and social media engagement strategies as well as help guide SUD programs and events.

g. Describe any overdose prevention activities that the DCPC will engage in and how they align with prevention strategies.
h. Maintain a valid naloxone standing order and have all staff complete the District's approved Opioid Overdose Naloxone training and distribute 50 units per quarter.

6. **Evaluation**
    a. Report progress and the impact of grant activities on a monthly basis, using a format prescribed by DBH, that details strides toward meeting the deliverables as outlined in the DBH Scope of Work. Data shall include number of prevention activities such as community conversations, events, programming at schools, development of community prevention networks, etc., and numbers of individuals reached to include demographic information (e.g., age, gender, race and ethnicity).
    b. DCPC shall prepare for and participate in a minimum of one (1) site visit conducted by DBH program staff and complete follow-up corrective action as needed. **Support DBH in collecting local data that measures progress in addressing local conditions, priority risk factors, and community changes.**

Data Collection and Reporting

Grantees will be required to collect, track, and report information on all grant activities, services provided, and individuals served.

1. **Reporting Frequency:** Grantee shall report on grant activities and progress on a monthly basis on a format prescribed by DBH.
    a. Submit monthly data reports through Quickbase (due the 10th business day of the month following the reporting period) that provide status updates related to activities and events included in the overall work plan.
    b. The grantee is responsible for ensuring that reports are accurate, complete, and submitted on time.
    c. Provide DBH with an updated monthly calendar of events, trainings, activities (including school sessions) on the 25th day of the month before the next month so events can be reviewed and uploaded to the LLDC calendar;
    d. Submit event flyers at least seven (7) days in advance and include appropriate branding.
    e. Submit community conversation data forms
    f. Monthly Expenditure Reports by the 15th of the month.

2. **Evaluation:** The grantee will also complete process and outcome evaluation reports specific to their program delivery. The evaluation plan may be developed in collaboration with DBH upon award.

Data Collection and Tracking

1. Grantees must be able to internally track service delivery, accomplishments, challenges and administrative data.
2. Grantees will be responsible for outlining any additional process measures and targets they will use to track and/or evaluate grant activities. DBH will provide technical assistance on effective methods to track output level data.

APPLICATION REQUIREMENTS

Project Narrative

Organizational Capacity (up to three (3) pages)

This section should describe how the applicant will organize staff, and manage a DCPC in the proposed ward that they are applying for. This section must cover the organizational structure for the DCPC, types and qualifications of staff, and overall management approach.

1. Describe in detail your organization's specific involvement and roles in prevention activities over the last five (5) years in the proposed wards, and include involvement with community stakeholders and other leaders, and any measurable results achieved.

2. Describe the mission and compatibility between your organization (parent company) and the DCPC.
   a. Describe how the DCPC will enhance your organization's mission and future plans.
   b. Describe why your organization is "best" qualified to lead the effort in establishing and operating a DCPC in the proposed wards.

3. Describe the staff who will work on this initiative, including anyone who will be hired to run or implement this initiative (corresponds with staffing plan (**Attachment E)**:
   a. Provide an organizational chart that shows how staff and others will be deployed to establish and implement the DCPC work plan.
   b. Describe how the proposed organizational structure will promote and support a DCPC that has a separate identity from the parent company and has the capacity to implement the Base Year Work Plan.

4. Describe DCPC partnerships and leadership development.
   a. Describe current and proposed prevention partnerships within the proposed wards to enhance development of the DCPC. The applicant shall include a minimum of five (5) Memoranda of Understanding with three (3) of them being youth serving organizations.

Project Need (up to one (1) page)

This section must identify the selected geographic areas to be served by the DCPC, describe the applicant's proposed facility and understanding of the communities that the DCPC will serve:

1. Identify the specific designated/proposed wards that your DCPC will serve and present your rationale for the selection.

2. Describe the facility your organization will use to house the DCPC. Identify its specific location, size, attributes, and site control status (e.g., own/lease, etc.). Discuss why this facility has been chosen for DCPC operations.

3. Assess the proposed wards in terms of their unique characteristics, such as resources and local conditions that contribute to stimulant and opioid use disorders and ATOD risk and protection among children, youth, families and adults, and readiness to support substance use prevention. Propose and describe the need to implement innovative strategies for engaging youth, families, adults and the community within the proposed ward This includes developing a data-driven SPF-Conceptual Framework (**Attachment J**) with identified prevention strategies for Community Education, Community Leadership, and Community Changes.

Project Description (up to two (2) pages)

This section should align with the Work Plan (see **Attachment D**) and provide a description on how the organization will establish the Prevention Center so as to successfully achieve the goal of the grant. This section should discuss the process the applicant will use to meet all requirements in the Scope of Work:

1. Describe your process to establish and operate a DCPC in the proposed wards.
    a. Provide a detailed Base Year Work Plan using **Attachment D** that addresses the findings from the assessment of local conditions in the assigned wards and the RFA Scope of Work. The proposed Work Plan does not count toward the page limit for this section.
    b. Develop and submit a SPF-Conceptual Framework (**Attachment J**) that is consistent with the assessment of local conditions and strategies in the Base Year Work Plan.
    c. Discuss any potential challenges anticipated in establishing and operating a DCPC within the proposed wards and how you plan to address them.
    d. Describe proposed plans for prevention services and programs that will be implemented within the community and schools and what specific evidence-based prevention interventions will be used.

e. Describe any overdose prevention activities that the DCPC will engage in and how they align with prevention strategies.
f. Describe the organization's plan to be fully operational within thirty (30) calendar days of the new grant agreement.

Project Evaluation (up to one (1) page)

This section should describe the applicant's plan to evaluate the initiative.

1. Discuss the applicant's approach to tracking implementation of the program deliverables within the proposed work plan and reporting requirements.
    a. Provide specific measures to ensure the effectiveness of programmatic reporting on a monthly and annual basis.
    b. Outline the process measures and targets that will be used to track DCPC Prevention services delivered under the grant.
    c. Briefly describe the infrastructure that will support the following evaluation activities.
        i. Conduct at least eight (8) community conversations (2 per quarter) with key stakeholders and identify the environmental strategies used.
            1. 4 for Primary Population (children and youth)
            2. 4 for Adults including Older Adults 55+
        ii. Host at least eight (8) (2 per quarter) events within proposed wards.
        iii. Plan and implement a minimum of two (2) initiatives targeted to collegiate level students and/or universities to include overdose prevention education
        iv. Develop and implement evidence-based prevention programming in four (4) middle schools and four (4) high schools in proposed wards.
        v. Maintain a standing order to distribute naloxone. Distribute at events such as community meetings, prevention events.
        vi. Submit monthly data reports through Quickbase.
        vii. Provide DBH with an updated monthly calendar of events.
        viii. Identify five (5) new Community Prevention Networks (CPNs) and develop an action and logic model to address a substance use concern in the community.
        ix. Re-engage four (4) former CPNs to develop an action and logic model to address a new and emerging substance use concern in the community.
        x. Develop and maintain a Youth Prevention Leadership Corps (YPLC) with a minimum of ten (10) youth and develop a

minimum of two (2) actions plans which address a substance use concern in the community.

The applicant may propose additional outcome measures specific to their project, subject to DBH approval. The section should also briefly describe the infrastructure that will support evaluation activities.

Project Attachments

Some of the attachments for this application include required templates that the applicants must use, as indicated below.

1. **Project Abstract (up to 1 page)**

   A one-page project abstract is required (see **Attachment C, page 2**.) The project abstract may be completed on page 2 of Attachment C. As an alternative, it may also (no template provided) must be written on 8 ½ by 11-inch paper, 1.0 spaced, Arial or Times New Roman font using 12-point type (10-point font for tables and figures) with a minimum of one-inch margins and limited to one page in length.

   Please provide a one-page abstract that is clear, accurate, concise, and without reference to other parts of the Project Narrative, and includes the following sections:

   a. **Project Description**: Briefly outline how the organization will implement the project in service of the goal and objectives.
   b. **Performance Metrics**: Outline the key outcome and process metrics and associated targets that will be used to assess grantee performance.

2. **Work Plan**

   The work plan template (see **Attachment D**) provided by DBH is required. The work plan describes key activities and tasks to successfully deliver the scope of services and aligns with the Project Description narrative under Application Requirements. The activities and tasks should be organized chronologically, and each should have an identified responsible staff, target completion date, and associated output.

3. **Staffing Plan**

   The applicant's staffing plan template (see **Attachment E**) provided by DBH is required. The staffing plan should describe staff duties, qualifications, and the percent of time to be spent on project activities. The plan should clearly indicate which staff positions will need to be hired. Staff CVs, resumes, and position descriptions shall be submitted and will not count towards the page limit. Staffing should include, at a minimum, the program director responsible for the oversight and day-to-day management of the proposed program; staff responsible for service

delivery; staff responsible for monitoring programmatic activities and use of funds; and staff responsible for data collection, quality and reporting.

4. **Project Budget and Justification**
   The application should include a **two** project budgets **(one for SUPRTS and one for SOR)** (see **Attachment F**) with all applicable justifications using the provided template. The project budgets and justifications should be directly aligned with the work plan and project description. All expenses should relate directly to achieving the key grant outcomes of administration, assessment, capacity building, planning, implementation and Evaluation. The budgets should reflect a 12-month period. Expenditures budgeted for the grant must be for services that will occur during the 12-month grant period.

Restrictions:

a. No mini-grants or sub-grants are permitted for any entity that is awarded funding under this RFA.
b. Attendance at conferences and national workshops through DBH grant funds are limited to only those conferences and national workshops that are approved by DBH in the work plan.
c. Staffing must include one (1) Full Time Equivalent (FTE) employee as DCPC Coordinator or Project Director.

The following categories and descriptions should be covered in the Budget/Justification:

1. ***Personnel:*** Include the title of the position, name (or indicate vacancy), annual salary and level of effort (percentage of time) dedicated to this project. Personnel charges must be based on actual, not budgeted labor. Salaries and other expenditures budgeted in the grant must be for services that will occur during the 12-month grant period.
2. ***Fringe:*** Provide the position, name (or indicate vacancy), total fringe benefit rate used. Fringe must be broken out by category (e.g., health insurance, FICA, etc.).
3. ***Travel***: Only local travel related to the grant and for the project staff will be approved in the grant budget. Provide purpose, destination, and type of travel.
4. ***Equipment:*** Provide the item, quantity, amount, and percent charged to the grant.
5. ***Supplies:*** Include the items being requested and rate. Description should also include how the supplies directly support the project.
6. ***Contractual:*** Provide the name of entity and identify whether it's a sub-recipient, contractor, consultant, or service. Also provide the entity's rate. Any vendors selected under this RFA will be required to provide a breakdown of their personnel costs for each person performing services under the contract. This breakdown shall include: the actual salary paid, the actual fringe rate applied to the salary, any overhead applied and the profit amount.

7. ***Other Direct Costs:*** List any costs not included in any of the other cost categories.
8. ***Indirect Costs:*** Indirect costs should not exceed 15% of direct costs, unless the organization has a negotiated indirect cost rate agreement. Please reference 2 CFR §§ 200.414 and 300.414.

Applicant's indirect costs calculation

An Applicant may include its indirect costs in its budget calculation.
(See the Nonprofit Fair Compensation Act of 2020, DC Act 23-565 [effective March 2021] This may be done through use of a cost rate. In budget backup materials the Applicant should identify the basis for the calculation, addressing one of the following bases that District law permits it to choose:

1. Its current, unexpired, federal Negotiated Indirect Cost Rate Agreement (NICRA) rate, a negotiated rate with the federal government;

   OR

2. One of the following methods:
   a. 10% (local funds only) of the grant's direct costs;
   b. A new negotiated rate with DBH;
   c. The same indirect rate that it has used with any District agency in the past 2 years; or
   d. An independent Certified Public Account's (CPA) calculated rate using federal Office of Management and Budget (OMB) guidelines

The federal de minimums rate is 15%. Federal rules always control federal funding. For federal funding that passes through the District to the grantee, the indirect cost rate must be consistent with federal regulation 2 CFR 200.331 or its successor.

(The cited statute required DBH to provide for at least one of these listed methods. However, the statute excludes the following from the requirement: foundation; hospital; university; college.)

If the Applicant proposes to use the services of a nonprofit subgrantee or contractor, it must propose to apply the same indirect cost rate to that entity's services. (See Attachment-1. General Terms & Conditions, Establishing and Managing Subgrant, #8)

5. **<u>Advances</u>**
   An applicant seeking an advance, must submit a completed Advance Payment Request form signed by the organization's Chair of the Board of Directors and Executive Director, or equivalent positions. Applicants must detail the amount requested per budget category in the budget and justification (see **Attachment G**). **No advance payment will be considered without prior official request and DBH approval.**

a. Advances shall not exceed one month/30 days or 25% of the total grant award.
b. The purpose of advance funding is to assist the grantee with start-up funding for the first month of the grant.
c. Only one advance payment can be made per grant. If an advance payment is needed in subsequent years, it must be for new deliverables requiring start-up funding.

6. **Organization Risk Self-Assessment**
The organization self-risk assessment (**see Attachment I**) is to assess the risk of applicants. The form should be completed by the Executive Director, Board Chairperson, or a delegate knowledgeable of the organization's current and past capabilities.

7. **Letters of Agreement**
Applicant must submit all letters of agreement, from other agencies and organizations that will be actively engaged in the proposed project (no template provided).

8. **Business License**
The applicant must submit a current business license with Active Charitable Solicitation issued by the District of Columbia Licensing and Consumer Protection. If the applicant does not have a current license, a copy of the business license application and receipt filed before the due date of the grant application must be submitted.

9. **Certificate of Clean Hands**
Prior to execution of a grant agreement as a result of this RFA, a recipient must be in compliance with tax requirements as established in the District of Columbia. Each applicant must submit a current Certificate of Clean Hands from the District of Columbia Office of Tax and Revenue (OTR). A Certificate of Clean Hands can be requested via OTR's online portal, https://mytax.dc.gov/. DBH requires that the submitted Certificate of Clean Hands reflect a date within a **60-day period immediately preceding the application's submission. Self-Certification and Certificates of Good Standing will not be accepted.**

10. **IRS Tax-Exempt Determination Letter (for non-profits only)**
The applicant must submit the organization's determination letter approving and/or confirming the tax-exempt status. Please see https://www.irs.gov/charities-non-profits/eo-operational-requirements-obtaining-copies-of-exemption-determination-letter-from-irs for more information. If the group has a supporting organization with an IRS tax-exempt status determination, then that organization's tax exemption affirmation letter should also be submitted.

If there is no IRS tax exemption letter because the organization is a religious organization, then the applicant may submit the best evidence it can of its status. Examples of potential best evidence for this purpose include, but are not limited to (i) a letter from the leader of the organization verifying that the organization is a religious group; (ii) a letter from the group's board chair or similar official, verifying that the organization is a religious group; (iii) If relevant, for the applicant's most recently submitted state sales business status and any correspondence or other tax exemption form, if it exists (Form 164 in the District of Columbia); or (iv) the state's issued tax exemption certificate or card, if it exists. (See IRS publication no. 1828, Tax Guide for Churches and Religious Organizations).communication received from the IRS within the three (3) years before submission of grant application that relates to the applicant's tax status.

11. **IRS 990 Form from (Non-Profits Only)**
    The applicant should provide its most recent IRS Form 990 tax return from the most recent tax year. Please see https://www.irs.gov/forms-pubs/about-form-990 for more information. If no return has yet been filed, the organization can submit its application for tax-exempt status.

12. **IRS W-9 Tax From**
    If the applicant is not a current vendor (receiving funding) from the Department of Behavioral Health, the applicant must submit a completed W-9 form prepared for the U.S. Internal Revenue Service (IRS). The form can also be found at https://www.irs.gov/pub/irs-pdf/fw9.pdf

13. **Audited Financial Statements**
    If the applicant has undergone an audit or financial review, it must provide the most recent audited financial statements or reviews. If audited financial statements or reviews are not available, the applicant must provide the following documents:
    a. Organizational Budget,
    b. Income Statement (Profit and Loss Statement),
    c. Certified Balance Sheet certified by an authorized representative of the organization, and
    d. Any letters, filings, etc. submitted to the IRS within the three (3) years before date of grant application.

14. **Separation of Duties Policy**
    The applicant must state how the organization separates financial transactions and duties among people within the organization in order to prevent fraud or waste. This may be a statement that already exists as a formal policy of the organization, or the applicant may create the statement for purposes of the application. The applicant should state which of these situations apply.

This statement should:

a. Describe how financial transactions are handled and recorded;
b. Provide the names and titles of personnel involved in handling money;
c. Identify how many signatures the financial institution(s) require on the organization's checks and withdrawal slips; and,
d. Address other limits on staff and board members' handling of the organization's money.

15. **Board of Directors**

The applicant must submit a separate official list of the current board of directors. This document must be on applicant's letterhead, signed and dated by the certified official from the Board (not the Executive Director).

16. **Unique Entity Identifier (UEI) and Active SAM Registration**

Applicants must have request and obtain a Unique Entity ID (UEI and an active registration in the System of Award Management (www.sam.gov). To) number to apply for funding. The Applicant must provide evidence of this registration as part of the application package; a copy of the applicant's SAM Entity Overview shall be submitted. Documentation of an active UEI or provide documentation that the UEI has been requested. If awarded funding, documentation of an active UEI is required.

17. **Partner Documents**

If applicable, the applicant must submit the partnering organization's Certificate of Clean Hands from the DC Office of Tax and Revenue (OTR) and documentation of the partner's tax-exempt status.

18. **Proof of Insurance for: Commercial, General Liability, Professional Liability, Comprehensive Automobile and Worker's Compensation (not counted in page limit)**

The applicant must provide in writing the name of all its insurance carriers and type of insurance provided (e.g., its general liability insurance carrier and automobile insurance carrier, worker's compensation insurance carrier), fidelity bond holder (if applicable), and before execution of the grant award, a copy of the binder or cover sheet of the current policy for any policy that covers activities that might be undertaken in connection with performance of the grant award, showing the limits of coverage and endorsements.

All policies, except the Worker's Compensation, Errors and Omissions, and Professional Liability policies that cover activities that might be undertaken in connection with the performance of the grant award shall contain additional endorsements naming the Government of the District of Columbia and its officers, employees, agents and volunteers as additional named insured with respect to liability abilities arising out of the performance of services under the grant award. The

applicant shall require their insurance carrier of the required coverage to waive all rights of subrogation against the District, its officers, employees, agents, volunteers, contractors and subcontractors.

19. **Cyber Liability Policy**
    This document must be issued by your insurance company. All DBH grantees must meet the minimum insurance requirements as outlined in Appendix A: Minimum Insurance Requirements. Should an applicant be awarded the grant, the Office of Risk Management will conduct a review of exposure of the grantee organization based off the final approved workplan and may make changes to the insurance requirements.

EVALUATION CRITERIA

Indicators have been developed for each review criterion to assist the applicant in presenting pertinent information and to provide the reviewer with a standard for evaluation. The five review criteria are outlined below with specific detail and scoring points. These criteria are the basis upon which the reviewers will evaluate the application. The entire proposal will be considered during objective review.

Criterion 1: Capacity (Corresponds to Organizational Capacity Section) – 27

Describe prevention leadership capacity:

1. Describe in detail your organization's specific involvement and roles in prevention activities over the last five (5) years in the proposed wards, and include involvement with community stakeholders and other leaders, and any measurable results achieved. (**6 points**)
2. Describe mission and compatibility between your organization (parent company) and the DCPC:
    a. Describe how the DCPC is compatible with or will enhance your organization's mission and future plans. (**4 points**)
    b. Describe why your organization is "best" qualified to lead the effort in establishing and operating a DCPC in the proposed wards. (**4 points**)
3. Describe the staff who will work on this initiative, including anyone who will be hired to run or implement this initiative (corresponds to staffing plan **Attachment E**):
    a. Provide an organizational chart (see **Attachment J**) that shows how staff and others will be deployed to establish and implement the DCPC work plan. (**3 points**)
    b. Describe how the proposed organizational structure will promote and support a DCPC that has a separate identity from the parent company and has the capacity to implement the Base Year 1 Work Plan. (**4 points**)
4. Describe DCPC partnerships and leadership development.

a. Describe current and proposed prevention partnerships within the proposed wards to enhance development of the DCPC. The applicant shall include a minimum of five (5) Memoranda of Understanding with three (3) of them being youth serving organizations. (**6 points**)

Criterion 2: Need (Corresponds to Need Section) – 25 points

Applicants should provide:

1. Identify your selected geographic area and assess its substance use prevention challenges and readiness for change.
    a. Identify the specific designated/proposed wards that your DCPC will serve and present your rationale for the selection. (**8 points**)
    b. Describe the facility your organization will use to house the DCPC. Identify its specific location, size, attributes, and site control status (e.g., applicant owns, rents). Describe why this facility has been chosen for DCPC operations. (**8 points**)
    c. Assess the proposed wards in terms of their unique characteristics, such as resources and local conditions that contribute to stimulant and opioid use substance use disorders and ATOD risk and protection among children, youth, families and adults, and readiness to support substance use prevention. Propose and describe the need to implement innovative strategies for engaging hard-to-reach youth, families, adults and the community within the proposed ward. This includes developing a data-driven Conceptual Framework (**Attachment J**) with identified prevention strategies for Community Education, Community Leadership, and Community Changes. (**9 points**)

Criterion 3: Strategic Approach (Corresponds to Project Description Section) – 24 points

Applicants should provide:

1. Describe your process to establish and operate a DCPC in the selected wards.
    a. Provide a detailed Base Year 1 Work Plan using **Attachment D** that addresses the findings from the assessment of local conditions in the assigned wards and the RFA Scope of Work. The proposed Work Plan does not count toward the page limit for this section. (**4 points**)
    b. Develop and submit an SPF Conceptual Framework (**Attachment J**) that is consistent with the assessment of local conditions and strategies in the Base Year 1 Work Plan. (**4 points**)
    c. Discuss any potential challenges anticipated in establishing and operating a DCPC within the proposed wards and how you plan to address them. **(4 points**)
    d. Describe proposed plan for prevention services and programs that will be implemented within the community and schools and what specific evidence-based prevention interventions will be used (**4 points**)

e. Describe any overdose prevention activities that the DCPC will engage in and how they align with prevention strategies (**4 points)**
f. Describe the organization's plan to be fully operational within thirty (30) calendar days of the new grant agreement. (**4 points)**

Criterion 4: Evaluation (Corresponds to Project Evaluation Section) – 14 points

1. Discuss the applicant's approach to tracking implementation of the program deliverables within the proposed work plan and reporting requirements.
    a. Provide specific measures to ensure the effectiveness of programmatic reporting on a monthly and annual basis. (**2 points**)
    b. Outline the process measures and targets that will be used to track DCPC Prevention services delivered under the grant. (**2 points**)
    c. Briefly describe the infrastructure that will support the following evaluation activities. (**10 points)**
        a. Conduct at least eight (8) community conversations (2 per quarter) with key stakeholders
            i. 4 for Primary Population (children and youth)
            ii. 4 for Adults including Older Adults 55+
        b. Host at least eight (8) (2 per quarter) events within proposed wards.
        c. Plan and implement a minimum of two (2) initiatives targeted to collegiate level students and/or universities to include overdose prevention education.
        d. Develop and maintain evidence-based prevention programming in four (4) middle schools and four (4) high schools in proposed wards.
        e. Maintain a standing order to distribute naloxone. Distribute at community meetings and prevention events.
        f. Submit monthly data reports through Quick Base
        g. Provide DBH with an updated monthly calendar of events
        h. Identify five (5) new Community Prevention Networks (CPNs) and develop an action and logic model to address a substance use concern in the community.
        i. Re-engage four (4) former CPNs to develop an action and logic model to address a new and emerging substance use concern in the community.
        j. Develop and maintain a Youth Prevention Leadership Corps (YPLC) with a minimum of ten (10) youth and develop a minimum of two (2) actions plans which address a substance use concern in the community.

Criterion 5 : Budget (Corresponds to Project Budget Section) – 10 points

1. The applicant completed the **two** line-item budgets (**Attachment F**) not exceeding $625,000 **($250,000 SUPTRS and $375,000 SOR)** to include all applicable budget categories (including indirect cost/overhead) and provided adequate justification (budget narrative) for proposed costs. All expenses should relate directly to achieving the key grant outcomes. The budgets should reflect a twelve (12) month period. (**10 points**)

REVIEW AND SCORING OF APPLICATION

Pre-Screening Technical Review
All submitted applications will initially be reviewed by DBH Grants Management Office personnel for completeness, formatting, and eligibility requirements prior to being forwarded to the review panel. Applications that did not adhere to the complete guidance, formatting provided, and eligibility requirements will be considered "**Incomplete", and will not advance to be reviewed.** You may not request updates to this process, as DBH will notify applicants of all results after the review panel has closed.

Review Panel
The review panel will be composed of neutral, qualified, professional individuals who have been selected for their unique experiences in behavioral health fields, and the administrative requirements mandated by the source of funds, as applicable. The panel will review, score and rank each applicant's proposal based on the criteria outlined in the RFA. Reviewers are required to provide a summary of strengths and weaknesses found in the application.

Internal Review Panel
DBH program managers will evaluate the individual and summary recommendations of the review panel. Program Managers will weigh the results of the review panel against other factors such as but not limited to; a past performance review, risk assessment and eligibility assessment, including a review of assurances and certification, and business documents submitted by the applicant, as required in the RFA in making the final decision.

In this phase of the review process, DBH reserves the right to request clarifying supplemental information from applicants and request pre-decisional on-site reviews for those applicants being considered for award. Any request for supplemental information or on-site visits is not a commitment by DBH to fund the applicant.

The internal review panel will prepare and submit a formal recommendation of prospective awardees, funding levels and service/activities to the DBH Director for signature. The DBH Grants Management Office is responsible for certifying that all District rules and standards were followed for the RFA process.

APPLICATION PREPARATION & SUBMISSION

Only one (1) application per organization will be accepted, unless multiple competitions included in a single RFA allow multiple submissions per competition by one organization. An application package consists of an Application Profile and Table of Contents, Project Narrative, Project Budget and Justification, and all related Attachments.

Application Package
The following attachments are not included in the **seven (7)** page limit:

1. Notice of Eligibility and Experience Requirements (**Attachment A**)
2. Intent to Apply Notification (**Attachment B**)
3. DBH Application Profile (**Attachment C)**
4. Table of Contents – Lists major sections of the application with quick reference page indexing. Failure to include an accurate Table of Contents may result in the application not being reviewed fully or completely.
5. Work Plan **(Attachment D)**
6. Staffing Plan **(Attachment E)**
7. Project Budget and Justification **(Attachment F)**
8. Advance Payment Request Form **(Attachment G)**
9. Helpful Hints **(Attachment H)**
10. Organizational Risk Self-Assessment **(Attachment I)**
11. SPF-Conceptual Framework **(Attachment J)**
12. Letters of Agreement
13. Business License
14. Certificate of Clean Hands
15. IRS Tax-Exempt Determination Letter (for non-profits only)
16. IRS 990 Form from most recent tax year (for non-profits only)
17. IRS W-9 Form, if applicable
18. Audited Financial Statements
19. Separation of Duties Policy
20. Board of Directors
21. Active UEI Number (Unique Entity ID via System for Award Management (SAM)
22. Partner Document(s) (if applicable)
23. Proof of Insurance for Commercial, General Liability, Professional Liability, Comprehensive Automobile and Worker's Compensation.
24. Cyber Liability Policy
25. General Terms and Conditions (**Attachment 1)**
26. Assurances, Certifications & Disclosure (**Attachment 2)**
27. Program Income and Financial Disclosure (**Attachment 3)**
28. DC Contribution and Solicitation Certification (**Attachment 4)**
29. Federal Assurances and Certifications (**Attachment 5)**
30. Special Terms of Award Funding (**Attachment 6)**
31. DC Tax Certification (**Attachment 7)**
32. Sub-Grantee Single Audit Certification (**Attachment 8**)

33. DBH Grant Terms and Conditions (**Attachment 9**)
34. Special Terms of State Opioid Response Funding (**Attachment 10)**

The following attachments are included in the **seven (7)** page limit:

1. Project Abstract – **1 page**
2. Project Narrative – **Up to six (6) pages**

Note:
Failure to adhere to ANY procedural guidance, and/or failure to submit ANY of the above attachments will result in a rejection of the application, and therefore, will not qualify for review.

Submission
No applications will be accepted by fax, on-site and/or in-person. Applications are due to be submitted electronically **Monday, August 31, 2026**, **no later than 12:00 pm, Eastern Time (ET)**, to DBH.

Applications must only be emailed to the DBH Grants Inbox, (DBH.Grants@dc.gov). Each email must be clearly labeled in the "Subject" line with the organization's name, DBH RFA number, and competition name where applicable. Next, as the 1st line of the email, the project's name, selected geographic designation, and File number attached shall be listed. **No other information or questions should be included in the application submission emails.**

To ensure receipt of a complete application do not send ZIP files, as they will not be accepted. Proper submission requires the applicant to attach all files as PDF's and split documents within each as follows:

1. File #1 – Table of Contents, Notice of Eligibility and Experience Requirements, Applicant Profile, Abstract and Project Narrative.

2. File #2 – **(Attachments D-J)** Work Plan, Staffing Plan, Budget & Budget Justification, and Advance Payment Request Form (if applicable), Organizational Risk Self-Assessment, and Conceptual Framework.

3. File #3 – Letters of Agreement (if applicable), Partner Documents (if applicable), Business License, Active UEI Number, Certificate of Clean Hands.

4. File #4 – 501 (c) (3) Letter, IRS W-9 Form (if applicable), IRS Tax Exemption Letter, Current Fiscal Year Budget, Financial Statements, Separation of Duties Policy, and Board of Directors, and Certificate of Insurance, and Cyber Liability Policy

5. File #5 - Attachment 2*, Attachment 3*, Attachment 4*, Attachment 5*, Attachment 6*, Attachment 7*, Attachment 8*, Attachment 9*, and Attachment 10*.

***These Attachments are in a fillable PDF. Complete, "Save As" with organization's name, and send PDF.**

Please note: Attachment 1, Terms and Conditions does not have to be provided in the application submission.

Applications received at or after **Monday, August 31, 2026, 12:01 pm ET**, will not be accepted as a submission. Any additions or deletions to a submitted application will not be accepted. If you are able to email all five PDF files at one time, please feel free to do so. Sending multiple emails with one PDF file each is acceptable. Application must be labeled and completely packaged for receipt by DBH. Unidentified emails of applications will not be accepted.

Application submissions will be confirmed according to the date and time received in the Grants inbox (dbh.grants@dc.gov) only. An automated email message will be sent to the submitting email address confirming only the **"receipt"** of that submission. You may not request updates to the **"status"** of a submission, as DBH will notify applicants of results after the review panel has closed.

PRE-APPLICATION MEETING

A virtual Pre-Application Webinar will be held on Thursday, August 6, 2026 from **12:00 pm ET** Microsoft Teams with the following link, Meeting ID, and Passcode:

Link: Join Here

Meeting ID: 261 017 679 883 038 **Passcode:** id2Rm7Zg

Phone Number: +1 202-594-9550 **Phone Conference ID:** 573 069 592#

The meeting will provide an overview of the RFA requirements and address specific issues and concerns about the RFA. Do not submit drafts, outlines, or summaries to DBH for review, comment, or technical assistance prior to this meeting.

ADDITIONAL INFORMATION

Applicants who wish to receive updates and/or addenda to this RFA shall provide the information listed below to the District of Columbia, Department of Behavioral Health, Child, Adolescent & Family Services Administration by contacting yasir.shah@dc.gov . Please be sure to put "RFA Contact Information" in the subject box and in the body of the email include:

1. Name, Title
2. Name of Organization
3. Telephone Number, Second Contact Name, Title and Email Address

GRANTEE REQUIREMENTS

If the applicant is considered for funding based on the results of the competition, the following requirements are in effect:

Grant Terms & Conditions

All grants awarded under this program will be subject to the DBH Standard Terms and Conditions for all DBH – issued grants. The Terms and Conditions are located in Attachment 9 for signature and acceptance.

Grant Uses

The grant awarded under this RFA shall be used exclusively to pay costs associated with the implementation of the grant. Payment requests will be monitored by DBH to ensure compliance with the approved budget and work plan. The Department of Behavioral Health requires sub-grantees to identify and document program income that is directly generated by a supported activity or earned as a result of the Federal award during the period of performance. The award package will provide more information on how to report program income on a monthly, no less than quarterly, basis.

Background Checks

The Grantee shall comply with all statutes and regulations governing background checks for unlicensed personnel that work on the grant or sub-grant, including but not limited to D.C. Code §§ 44-552 *et seq*., D.C. Code §§ 4-1501.01 *et seq*., and 22-B DCMR Chapter 47, as applicable. DBH reserves the right to confirm the Grantee's compliance with any applicable statutes governing background checks for unlicensed personnel who work directly on the grant or sub-grant.

When requested, the grantee must provide to DBH evidence of criminal background checks for all unlicensed personnel pursuant to the criminal background check requirements contained in District Official Code §§ 44-551 *et seq*., Unlicensed Personnel Criminal Background Check, and its implementing regulations, 22-B DCMR Chapter 47, as well as child abuse registry checks for both the State(s) of residence and employment.

Conditions of Award

A successful applicant that receives both a Grant Award Letter and Notice of Grant Award (NOGA) will be required to:

1. Meet Pre-Award requirements, including submission and approval of required assurances and certification documents, documentation of non-disbarment or suspension (current or pending) of eligibility to receive local or federal funds.
2. Adhere to mutually agreed upon terms and conditions of the grant award issued by the Department of Behavioral Health and accepted by the grantee organization. The grant award shall outline the scope of work, standards, reporting requirements, fund distribution terms and any special provisions required by federal agreements.
3. Utilize Performance Monitoring & Reporting tools developed and/or approved by DBH.

Indirect Cost
Indirect costs are costs that are not readily identifiable with a particular project or activity but are required for operating the organization and conducting the grant-related activities it performs. Indirect costs encompass expenditures for operation and maintenance of building and equipment, depreciation, administrative salaries, general telephone services and general travel and supplies. Pursuant to 2 CFR §§ 200.332, 200.414, and 300.414, subgrant recipients who are funded under federal awards will be reimbursed for indirect costs under one of three methods: according to an existing federally approved negotiated rate, a new negotiated rate or a default *de minimis* rate of 15% of the modified total direct costs.

Insurance
During the term of the grant, all organizations will be required to obtain and keep in force insurance coverage as detailed in the grant award and must provide in writing the name of all its insurance carriers and the type of insurance provided.

Audits
At any time or times before final payment and three (3) years thereafter, the District may have the applicant's expenditure statements and source documentation audited. Grantees subject to A-133 rules must have documentation available, and submit as requested, the most recent audit reports when requested by DBH personnel.

Nondiscrimination in the Delivery of Services
In accordance with Title VI of the Civil Rights Act of 1964 (Public Law 88-352), as amended, no person shall, on the grounds of race, color, religion, nationality, sex, or political opinion, be denied the benefits of, or be subjected to discrimination under, any program activity receiving funds under this RFA.

Quality Assurance
DBH will utilize a risk-based management and monitoring assessment to establish a monitoring plan for the grantee. Grantees will submit interim and final reports on progress, successes, and barriers.

Funding is contingent upon the Grantee's compliance with terms of the agreement and progress in meeting milestones and targets outlined in the approved work plan and evaluation plan. All programs shall be monitored and assessed by assigned project and grants management personnel. The Grantee will receive a performance rating and subject to review at any time during the budget period.

A final performance report shall be completed by the Department of Behavioral Health and provided and held for record and use by DBH in making additional funding or future funding available to the applicant. All performance reports are subject to review and oversight by the DBH Grants Office.

AGENCY CONTACT INFORMATION

Program Manager

Yasir Shah, yasir.shah@dc.gov
(main point of contact for this funding effort)

Fiscal Management Office
Tywana Reed, tywana.reed@dc.gov

Grants Management Office
Renee Evans Jackman, renee.evans@dc.gov

ATTACHMENTS A – J

Attachment A – Notice of Eligibility and Experience Requirements

District of Columbia Prevention Centers (DCPC)
RFA RM0 DCPC073126
Notice of Eligibility and Experience Requirements

Eligibility Requirements
*Applicants must meet the stated **eligibility** requirements in the RFA. Please describe your organization's eligibility in the applicable boxes below. You may include supporting documents.*

Eligible entities who can apply for grant funds under this RFA must:

1. Be a non-profit or community-based organization with an established physical presence (office location, program activities, etc.) in the District of Columbia within one of the proposed Wards.

Justification:

Experience Requirements

*Applicants must meet the stated **experience** requirements in the RFA. Please describe your organization's experience in the applicable boxes below. You may include supporting documents.*

Eligible entities who can apply for grant funds under this RFA must:

1. Be an organization with at least one (1) year experience in addressing community and public health, substance use, and behavioral health issues, in the District of Columbia, particularly in the proposed Wards;

Justification:

2. At least two (2) years' experience with implementing evidence-based prevention activities to a youth, young adults, collegiate-aged youth, adults, families and community stakeholders.

Justification:

Attachment B – Intent to Apply Notification

District of Columbia Prevention Centers (DCPC)
RFA RM0 DCPC073126
Due Date: August 21, 2026
Intent to Apply Notification

TO: Department of Behavioral Health, Grants Management Office
www.dbh.grants@dc.gov

FROM: _____
Name of Organization

RE: Intent to Apply for District of Columbia Prevention Centers (DCPC), RFA RM0 DCPC072426

Select the box that corresponds to the wards for which this application is being submitted:

1. ☐ Wards 1 & 2
2. ☐ Wards 3 & 4
3. ☐ Wards 5 & 6
4. ☐ **Wards 7 & 8**

Organization Address: _____

Contact Person/Title: _____

Contact Person Telephone Number: _____

Contact Person Email: _____

This notification serves as intent to apply for the abovementioned Request for Application. The notification is due Friday, August 21, 2026 to dbh.grants@dc.gov **Notifications are to be sent to this email address only and will not be received via telephone, fax, any email other than address noted, or in-person**.

_____ _____
Print Name **Date**

_____
Signature

Attachment C – Applicant Profile

Government of the District of Columbia
Department of Behavioral Health (DBH)
District of Columbia Prevention Centers (DCPC)
RFA RM0 DCPC073126
Applicant Profile

Application is being submitted for:

1. ☐ Wards 1 & 2
2. ☐ Wards 3 & 4
3. ☐ Wards 5 & 6
4. ☐ **Wards 7 & 8**

Applicant Name: _____

Type of Organization: __ Non-Profit __ For-Profit __ Religious

EIN/Federal Tax ID No.: _____

UEI No.: _____

Primary Contact Person/Title: _____

Email/Phone Number: _____

Fiscal Contact Person/Title: _____

Email/Phone Number: _____

Street Address: _____

City, State ZIP: _____

Telephone: _____

Email: _____

Serving Ward(s): _____

Organization Website: _____

Do you currently have active grant awards with DBH? ☐Yes ☐No

If yes, provide name of grant award, amount and project period.

1.
2.
3.
4.
5.

If no, have you received grant awards from DBH within the last five (5) years? ☐Yes ☐No

If yes, provide name of grant award, amount and project period.

1.
2.
3.
4.
5.

Name of Authorized Representative (Official Signatory): _____

Title: _____

Email/Phone Number: _____

Signature of Authorized Representative: _____

Please complete RFA Abstract on next page

RFA Abstract (Required, Limit One Page)

Attachment D – Work Plan

WORK PLAN (Template Provided)

Objective(s)	Actions/Activities	Results	Person(s) Responsible	Duration	Fiscal Year XX											
					OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP
Goal 1: Directions: State clearly the goal your program/project will pursue to address the issues identified.																
Objective 1: *Directions: Provide key activity which will directly contribute to the project goal.*	*Directions: Name the key actions to be implemented to achieve this objective.*	*Directions: List the results you expect to achieve which directly contribute to the objective for the goal identified.*	*Directions: Indicate the staff member, group, or other person responsible for overseeing the activity.*	*Directions: Indicate the duration of the activity (for example, 2 weeks, 3 months, etc.). Next, put an 'X' in the corresponding month(s) this activity will occur.*												
Objective 2:																

Objective(s)	Actions/Activities	Results	Person(s) Responsible	Duration	Fiscal Year XX											
					OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP
Goal 2:																

Attachment E – Staffing Plan

STAFFING PLAN (Template Provided)

The staffing plan provides a presentation and justification of all staff required to implement the project. The staffing plan needs to identify the total personnel who will be supported under grant funding and include resumes or curriculum vitae. Include the following elements in the staffing plan:

1. Position Title (e.g., Chief Executive Officer)
2. Staff Name (Note: If the individual has not been identified to occupy this position, please indicate "To Be Determined")
3. Education/Experience Qualifications
4. General Responsibilities
5. Annual Salary
6. Percentage of Full Time Equivalent (FTE) for staff involvement
7. Amount Requested (list the DBH grant funds requested for each position)

Position Title	Staff Name	Education / Experience Qualifications	Resume or CV Included	General Responsibilities	Annual Salary	Percent FTE	Amount Requested
Example… **Project Director**	**Janet Doe**	**PMP Certification, 2019**	**Yes**	**Overseeing all operations of the project.**	**$64,890**	**10%**	**$6,489**

Attachment F – Budget and Budget Justification

The following is provided as an example using theoretical data.

Section A -Personnel (Salary & Wages)

Budget Justification Worksheet v.1, 11/2025

Provide the total proposed project period and funding as follows:

This form is used to apply to DBH grant programs, as it explains how costs were estimated and justifies the need for the cost. This narrative includes descriptive tables for clarification purposes.

An applicant must submit a budget based upon the total estimated costs for the project including. Applicants should also refer to 2 CFR § 200, (Uniform Administrative Requirements, Subpart E - Cost Principles, and Audit Requirements for Federal Awards), cited within these instructions.

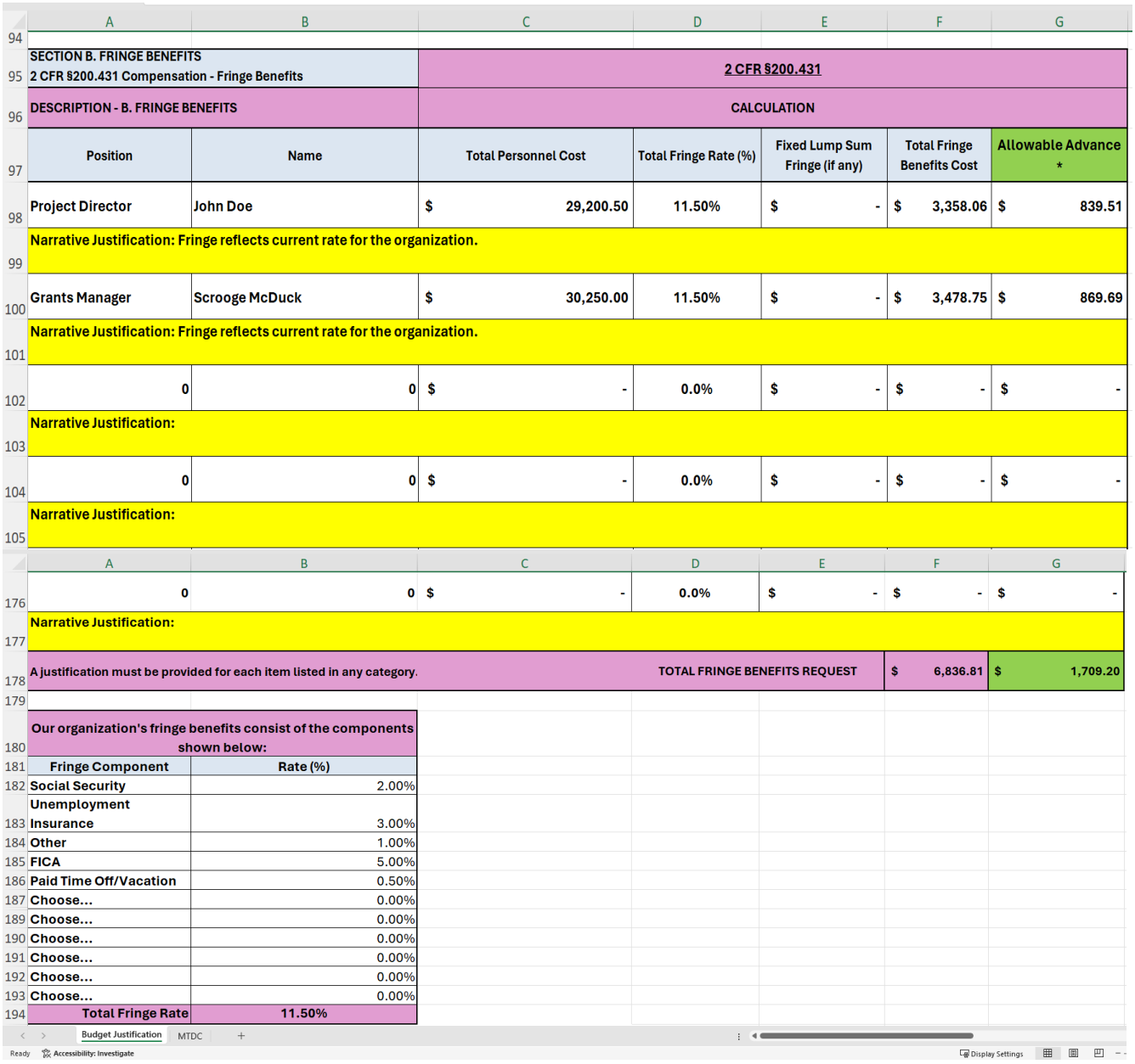
*Advance payments must be pre-approved and meet all advance payment requirements. The amount reflected in the Allowable Advance column and budget summary does not require an advance payment being issued.

Applicant/Recipient:	The Street Works!									
RFA RM0 XXX 001100:	RMO MAX082522									
Project Title:	Operation Streamline Processes									
Budget Period:	Start Date	End Date	Budget Version	Budget Year						
	10/1/2025	9/30/2026	Original	1						
SECTION A. PERSONNEL (SALARY AND WAGES) 2 CFR §200.430(b) Compensation - Personal Services			2 CFR §200.430(b)						2 CFR §200.400	
DESCRIPTION - A. PERSONNEL (SALARY AND WAGES)			CALCULATION							
Position	Name	Key Staff	Hourly Rate (Yes = Hourly Rate) (No = Salary)	Hourly Rate	Hours (2080hrs/yr.)	Annual Salary	Level of Effort (HOURLY)	Level of Effort (SALARY)	Total Personnel Cost	Allowable Advance *
Project Director	John Doe	Yes	No	$0.00	0	$64,890.00		45%	$ 29,200.50	$ 7,300.13
Narrative Justification: The Project Director will provide daily oversight of the grant and will be considered key staff.										
Grants Manager	Scrooge McDuck	Yes	Yes	$25.00	1040	$0.00	50%	0%	$ 26,000.00	$ 6,500.00
Narrative Justification: The Grants Manager will provide necessary guidance to staff for services under this project.										

	A	B	C	D	E	F	G	H	I	J	K
77											
78			Choose...	Choose...	$0.00	0	$0.00		0%	$ -	$ -
79	Narrative Justification:										
80			Choose...	Choose...	$0.00	0	$0.00		0%	$ -	$ -
81	Narrative Justification:										
82			Choose...	Choose...	$0.00	0	$0.00		0%	$ -	$ -
83	Narrative Justification:										
84			Choose...	Choose...	$0.00	0	$0.00		0%	$ -	$ -
85	Narrative Justification:										
86			Choose...	Choose...	$0.00	0	$0.00		0%	$ -	$ -
87	Narrative Justification:										
88			Choose...	Choose...	$0.00	0	$0.00		0%	$ -	$ -
89	Narrative Justification:										
90			Choose...	Choose...	$0.00	0	$0.00		0%	$ -	$ -
91	Narrative Justification:										
92	A justification must be provided for each item listed in any category.							TOTAL PERSONNEL REQUEST		$ 59,450.50	$ 14,862.63
93											

Budget Justification

Section B -Fringe Benefits

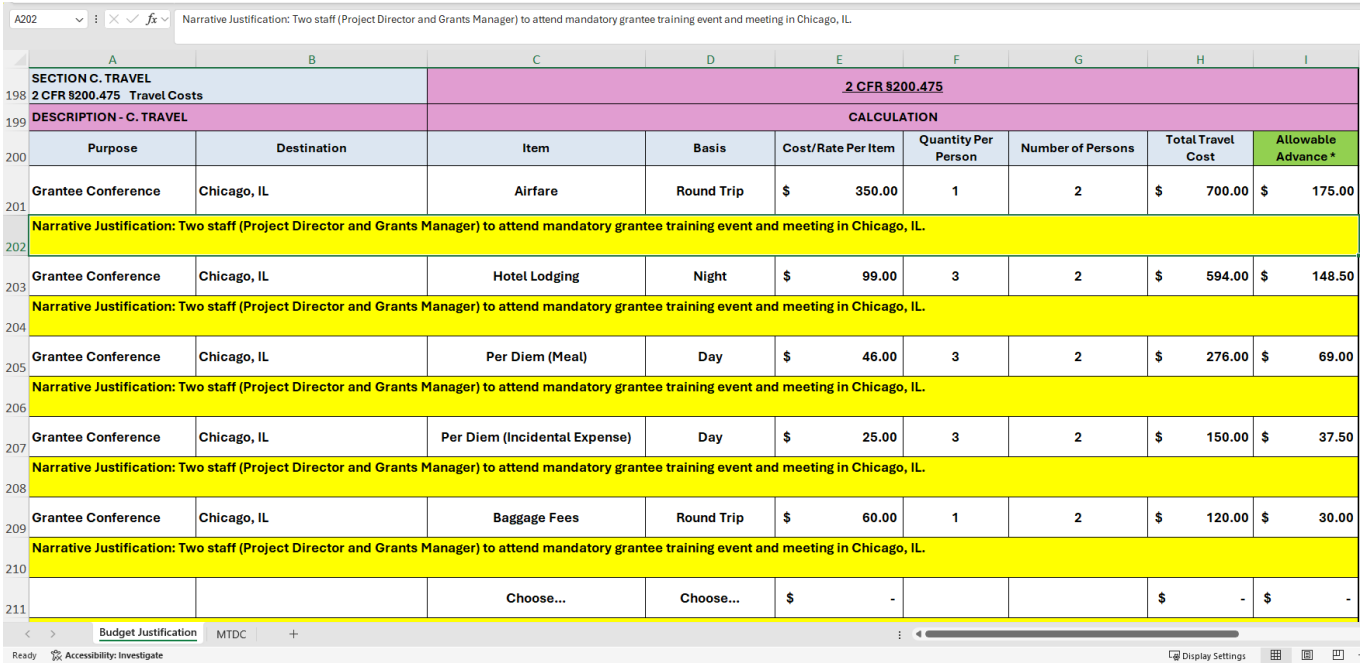


	A	B	C	D	E	F	G
94							
95	SECTION B. FRINGE BENEFITS 2 CFR §200.431 Compensation - Fringe Benefits		2 CFR §200.431				
96	DESCRIPTION - B. FRINGE BENEFITS		CALCULATION				
97	Position	Name	Total Personnel Cost	Total Fringe Rate (%)	Fixed Lump Sum Fringe (if any)	Total Fringe Benefits Cost	Allowable Advance *
98	Project Director	John Doe	$ 29,200.50	11.50%	$ -	$ 3,358.06	$ 839.51
99	Narrative Justification: Fringe reflects current rate for the organization.						
100	Grants Manager	Scrooge McDuck	$ 30,250.00	11.50%	$ -	$ 3,478.75	$ 869.69
101	Narrative Justification: Fringe reflects current rate for the organization.						
102	0	0	$ -	0.0%	$ -	$ -	$ -
103	Narrative Justification:						
104	0	0	$ -	0.0%	$ -	$ -	$ -
105	Narrative Justification:						
176	0	0	$ -	0.0%	$ -	$ -	$ -
177	Narrative Justification:						
178	A justification must be provided for each item listed in any category.				TOTAL FRINGE BENEFITS REQUEST	$ 6,836.81	$ 1,709.20
179							

180	Our organization's fringe benefits consist of the components shown below:	
181	Fringe Component	Rate (%)
182	Social Security	2.00%
183	Unemployment Insurance	3.00%
184	Other	1.00%
185	FICA	5.00%
186	Paid Time Off/Vacation	0.50%
187	Choose...	0.00%
189	Choose...	0.00%
190	Choose...	0.00%
191	Choose...	0.00%
192	Choose...	0.00%
193	Choose...	0.00%
194	Total Fringe Rate	11.50%

Budget and Budget Justification

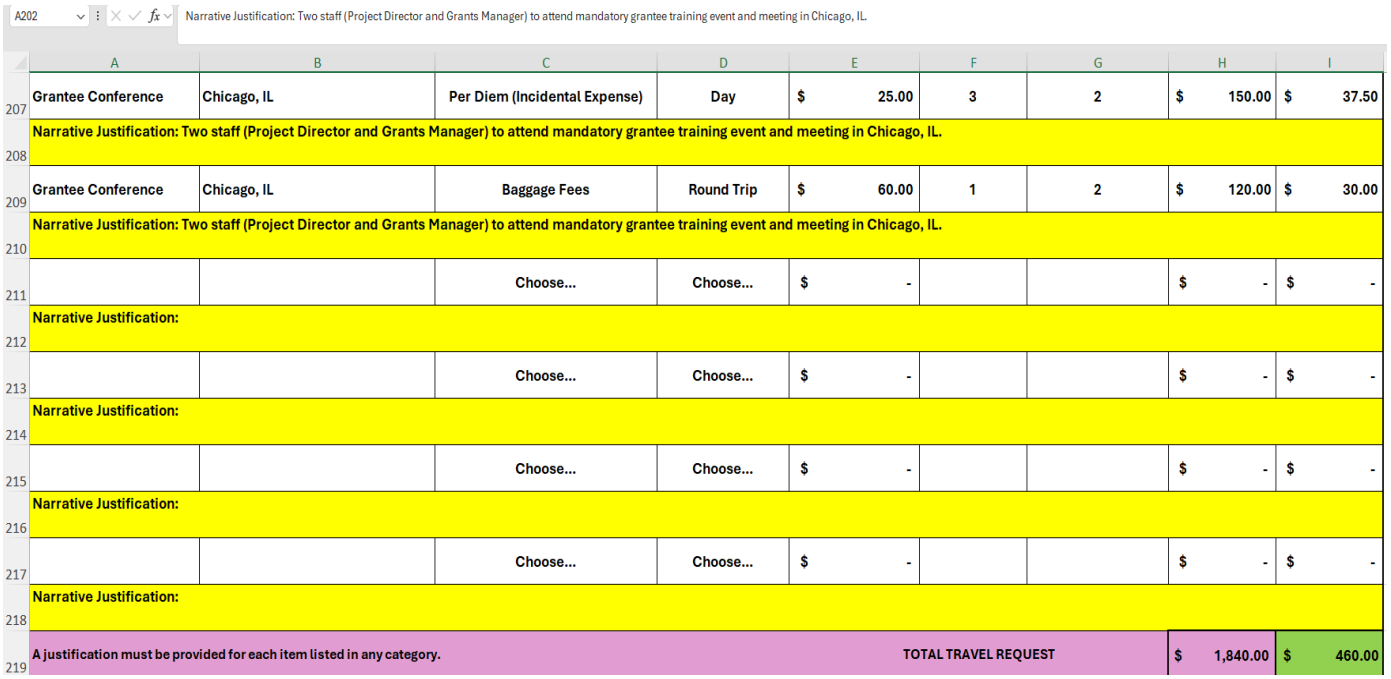
Section C -Travel



A202 | Narrative Justification: Two staff (Project Director and Grants Manager) to attend mandatory grantee training event and meeting in Chicago, IL.

	A	B	C	D	E	F	G	H	I
198	SECTION C. TRAVEL 2 CFR §200.475 Travel Costs			2 CFR §200.475					
199	DESCRIPTION - C. TRAVEL			CALCULATION					
200	Purpose	Destination	Item	Basis	Cost/Rate Per Item	Quantity Per Person	Number of Persons	Total Travel Cost	Allowable Advance *
201	Grantee Conference	Chicago, IL	Airfare	Round Trip	$ 350.00	1	2	$ 700.00	$ 175.00
202	Narrative Justification: Two staff (Project Director and Grants Manager) to attend mandatory grantee training event and meeting in Chicago, IL.								
203	Grantee Conference	Chicago, IL	Hotel Lodging	Night	$ 99.00	3	2	$ 594.00	$ 148.50
204	Narrative Justification: Two staff (Project Director and Grants Manager) to attend mandatory grantee training event and meeting in Chicago, IL.								
205	Grantee Conference	Chicago, IL	Per Diem (Meal)	Day	$ 46.00	3	2	$ 276.00	$ 69.00
206	Narrative Justification: Two staff (Project Director and Grants Manager) to attend mandatory grantee training event and meeting in Chicago, IL.								
207	Grantee Conference	Chicago, IL	Per Diem (Incidental Expense)	Day	$ 25.00	3	2	$ 150.00	$ 37.50
208	Narrative Justification: Two staff (Project Director and Grants Manager) to attend mandatory grantee training event and meeting in Chicago, IL.								
209	Grantee Conference	Chicago, IL	Baggage Fees	Round Trip	$ 60.00	1	2	$ 120.00	$ 30.00
210	Narrative Justification: Two staff (Project Director and Grants Manager) to attend mandatory grantee training event and meeting in Chicago, IL.								
211			Choose...	Choose...	$ -			$ -	$ -

Budget Justification | MTDC | + | Ready | Accessibility: Investigate | Display Settings

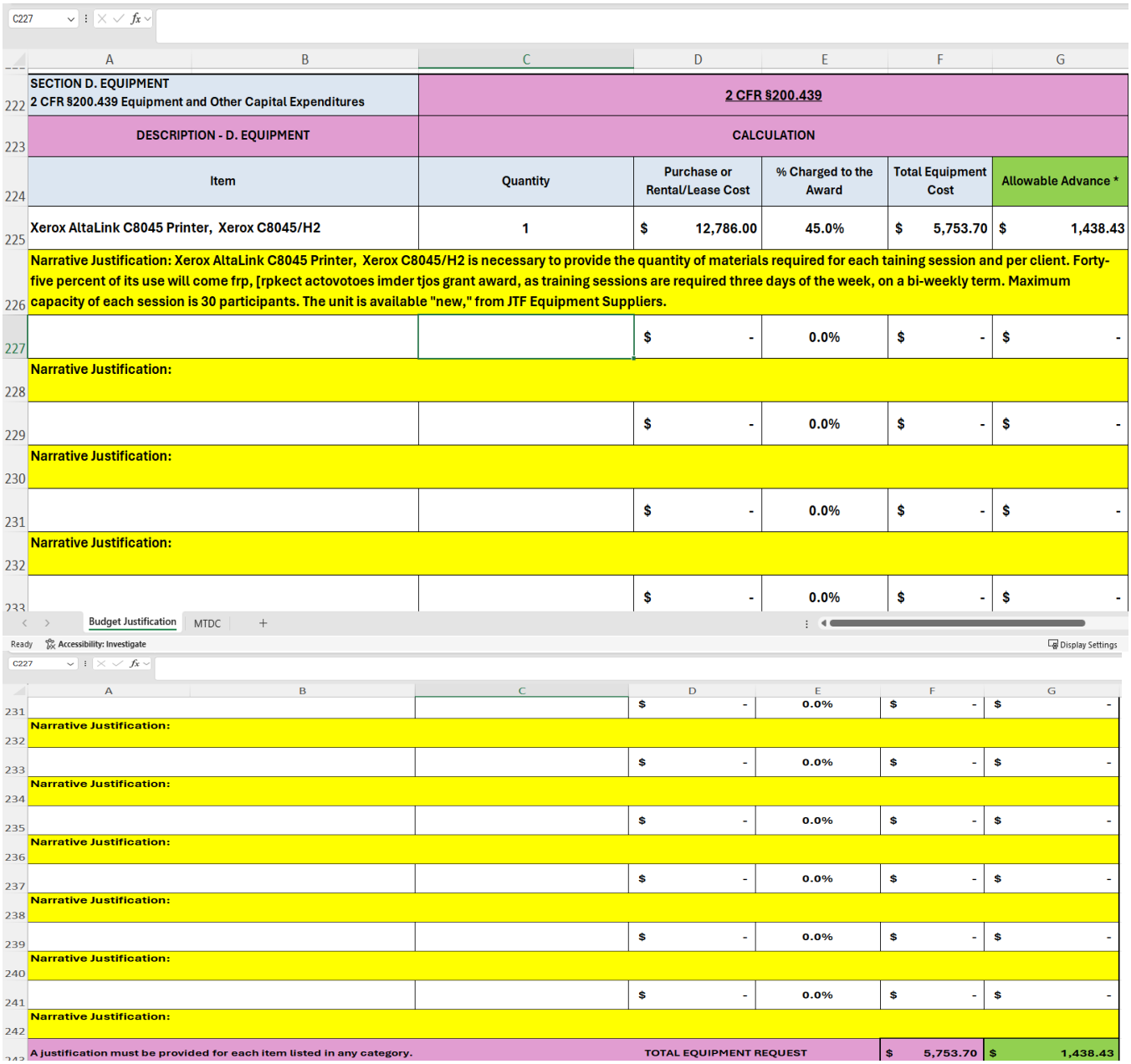


A202 | Narrative Justification: Two staff (Project Director and Grants Manager) to attend mandatory grantee training event and meeting in Chicago, IL.

	A	B	C	D	E	F	G	H	I
207	Grantee Conference	Chicago, IL	Per Diem (Incidental Expense)	Day	$ 25.00	3	2	$ 150.00	$ 37.50
208	Narrative Justification: Two staff (Project Director and Grants Manager) to attend mandatory grantee training event and meeting in Chicago, IL.								
209	Grantee Conference	Chicago, IL	Baggage Fees	Round Trip	$ 60.00	1	2	$ 120.00	$ 30.00
210	Narrative Justification: Two staff (Project Director and Grants Manager) to attend mandatory grantee training event and meeting in Chicago, IL.								
211			Choose...	Choose...	$ -			$ -	$ -
212	Narrative Justification:								
213			Choose...	Choose...	$ -			$ -	$ -
214	Narrative Justification:								
215			Choose...	Choose...	$ -			$ -	$ -
216	Narrative Justification:								
217			Choose...	Choose...	$ -			$ -	$ -
218	Narrative Justification:								
219	A justification must be provided for each item listed in any category.					TOTAL TRAVEL REQUEST		$ 1,840.00	$ 460.00

Budget and Budget Justification

Section D -Equipment



SECTION D. EQUIPMENT 2 CFR §200.439 Equipment and Other Capital Expenditures		2 CFR §200.439			
DESCRIPTION - D. EQUIPMENT		CALCULATION			
Item	Quantity	Purchase or Rental/Lease Cost	% Charged to the Award	Total Equipment Cost	Allowable Advance *
Xerox AltaLink C8045 Printer, Xerox C8045/H2	1	$ 12,786.00	45.0%	$ 5,753.70	$ 1,438.43
Narrative Justification: Xerox AltaLink C8045 Printer, Xerox C8045/H2 is necessary to provide the quantity of materials required for each taining session and per client. Forty-five percent of its use will come frp, [rpkect actovotoes imder tjos grant award, as training sessions are required three days of the week, on a bi-weekly term. Maximum capacity of each session is 30 participants. The unit is available "new," from JTF Equipment Suppliers.					
		$ -	0.0%	$ -	$ -
Narrative Justification:					
		$ -	0.0%	$ -	$ -
Narrative Justification:					
		$ -	0.0%	$ -	$ -
Narrative Justification:					
		$ -	0.0%	$ -	$ -
Narrative Justification:					
		$ -	0.0%	$ -	$ -
Narrative Justification:					
		$ -	0.0%	$ -	$ -
Narrative Justification:					
		$ -	0.0%	$ -	$ -
Narrative Justification:					
		$ -	0.0%	$ -	$ -
Narrative Justification:					
A justification must be provided for each item listed in any category.		TOTAL EQUIPMENT REQUEST		$ 5,753.70	$ 1,438.43

Budget Justification

Section E – Supplies & Minor Equipment

A250 | Narrative Justification: Office supplies are needed for general operation of the project.

	A	B	C	D	E	F	G
246	SECTION E. SUPPLIES & MINOR EQUIPMENT 2 CFR §200.453 Materials and supplies costs, including costs of computing devices.			2 CFR §200.453			
247	DESCRIPTION - E. SUPPLIES			CALCULATION			
248	Item(s)		Basis (Unit of Measure)	Unit Cost	Quantity	Total Supplies Cost	Allowable Advance *
249	General Office Supplies		Month	$ 50.00	12	$ 600.00	$ 150.00
250	Narrative Justification: Office supplies are needed for general operation of the project.						
251	Laptop Computer		Each	$ 1,500.00	2	$ 3,000.00	$ 750.00
252	Narrative Justification: The laptop computers are needed for community visits, project work, and presentations for Project Director and Grants Manager.						
253	Projector with Mobile Screen		Each	$ 2,000.00	1	$ 2,000.00	$ 500.00
254	Narrative Justification: The projector is needed for training presentations and workshops. All costs were based on retail values at the time the application was written.						
255			Choose...	$ -		$ -	$ -
256	Narrative Justification:						
257			Choose...	$ -		$ -	$ -
258	Narrative Justification:						

A250 | Narrative Justification: Office supplies are needed for general operation of the project.

	A	B	C	D	E	F	G
298	Narrative Justification:						
299			Choose...	$ -		$ -	$ -
300	Narrative Justification:						
301			Choose...	$ -		$ -	$ -
302	Narrative Justification:						
303			Choose...	$ -		$ -	$ -
304	Narrative Justification:						
305			Choose...	$ -		$ -	$ -
306	Narrative Justification:						
307			Choose...	$ -		$ -	$ -
308	Narrative Justification:						
309	A justification must be provided for each item listed in any category.			TOTAL SUPPLIES REQUEST		$ 5,600.00	$ 1,400.00
310							

Budget Justification

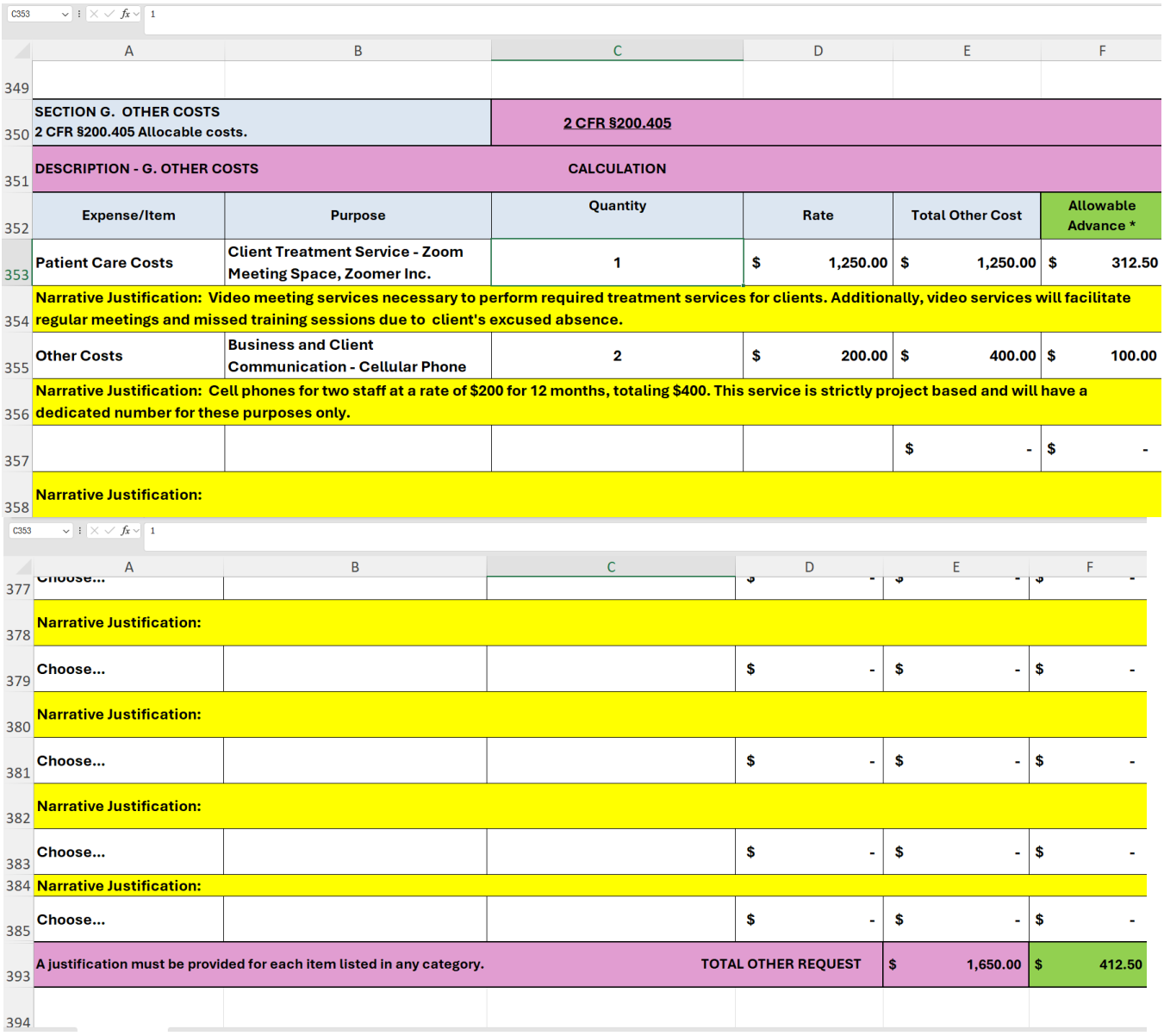
Section F - Contractual

D357

	A	B	C	D	E	F	G
312	SECTION F. CONTRACTUAL SERVICES 2 CFR §200.331(b) Subrecipient and contractor determinations.			2 CFR §200.331(b)			
313	DESCRIPTION - F. CONTRACTUAL SERVICES			CALCULATION			
314	Name		Type of Agreement	Period of Performance	Total Contractual Cost	Allowable Advance *	
315	PPE Allday Distribution Services		Contract	10/1/2025-9/30/2026	$ 12,000.00	$ 3,000.00	
316	First $50,000 of each subaward or contract (MTDC Base Amount)/Portion in excess of $50,000				$ -	$ -	
317	Budget Detail Personnel: $xxx Fringe Benefits: $xxx Travel: $xxx Supplies: $xxx Equipment: $xxx Other: $xxx Indirect Costs: $xxx Services and Deliverables Provided: PPE Allday Distribution Services has an annual contract provide PPE items and to sanitize all client training areas and meeting spaces, twice a day for $1,000 a month, for 12 months. This is an additional regulation per the Department of Health's communicable disease prevention protocol.						
318	Quality Assurance Inspector		Contract	10/1/2025-9/30/2026	$ 35,000.00	$ 8,750.00	
319	First $50,000 of each subaward or contract (MTDC Base Amount)/Portion in excess of $50,000				$ -	$ -	
320	Budget Detail Personnel: $xxx Fringe Benefits: $xxx Travel: $xxx Supplies: $xxx Equipment: $xxx Other: $xxx Indirect Costs: $xxx Services and Deliverables Provided: Quality Assurance Inspector is necessary to maintain the highest quality of services and to ensure compliance in local and federally regulated areas of the project. Two assessments will be conducted on 3/31/2026 and 9/1/2026.						

Budget and Budget Justification

Section G – Miscellaneous Other Costs



	A	B	C	D	E	F
349						
350	SECTION G. OTHER COSTS 2 CFR §200.405 Allocable costs.		2 CFR §200.405			
351	DESCRIPTION - G. OTHER COSTS			CALCULATION		
352	Expense/Item	Purpose	Quantity	Rate	Total Other Cost	Allowable Advance *
353	Patient Care Costs	Client Treatment Service - Zoom Meeting Space, Zoomer Inc.	1	$ 1,250.00	$ 1,250.00	$ 312.50
354	Narrative Justification: Video meeting services necessary to perform required treatment services for clients. Additionally, video services will facilitate regular meetings and missed training sessions due to client's excused absence.					
355	Other Costs	Business and Client Communication - Cellular Phone	2	$ 200.00	$ 400.00	$ 100.00
356	Narrative Justification: Cell phones for two staff at a rate of $200 for 12 months, totaling $400. This service is strictly project based and will have a dedicated number for these purposes only.					
357					$ -	$ -
358	Narrative Justification:					
377	Choose...			$ -	$ -	$ -
378	Narrative Justification:					
379	Choose...			$ -	$ -	$ -
380	Narrative Justification:					
381	Choose...			$ -	$ -	$ -
382	Narrative Justification:					
383	Choose...			$ -	$ -	$ -
384	Narrative Justification:					
385	Choose...			$ -	$ -	$ -
393	A justification must be provided for each item listed in any category.			TOTAL OTHER REQUEST	$ 1,650.00	$ 412.50
394						

Attachment G – Advance Payment Request Form
(Template Provided)

Department of Behavioral Health

ADVANCE PAYMENT REQUEST FORM

I. GRANTEE AND GRANT IDENTIFICATION

Organization/Applicant Name:

RFA No.:

RFA Title:

II. FUNDING AWARD & ADVANCE

Total Award: $	**Advance Requested: $** (Amount allowed is the lesser of the first 30 days or 25% of the award)	**Percent of Total Award:** ( )%

1. An applicant responding to a RFA shall identify in the application the need for an advance payment and acknowledge that, if selected, provide the information requested as part of the advance payment request.
2. The advanced funds shall be spent by the awarded grantee within the same DC Government fiscal year during which the advance is made.
3. Only one advance payment can be made per grant each fiscal year. If the awarded requests a second advance for a subsequent fiscal year, each advance shall be reviewed for approval.
4. The use of an advance payment shall be consistent with all terms and conditions of the grant.

III. ADVANCE PAYMENT SPENDING PLAN/TIMELINE NARRATIVE If attached separately, it must be signed by the representatives identified in section V of this form.

IV. TERMS AND CONDITIONS

The applicant must submit a statement of need for the specified amount of advance payment (please attach and sign).

The applicant must submit documentation of the use of advanced funds (invoices, receipts, payroll documentation, etc.) to the DBH grant project director and/or fiscal monitor before the end of the grant performance period, or sooner, if explicitly requested by the DBH grant project director. The approved awardee must use the advanced funds in accordance with all the terms and conditions of the grant award.

Identify the type of documentation that will be submitted to verify the use of the advance funds, as required by the RFA:

☐ Receipts ☐ Paid invoices ☐ General ledger accounts ☐ Cancelled checks ☐ Other _____

The DBH grant project director will withhold the final reimbursement payment equal to the amount advanced or up to 25% of the grant award (whichever is higher) until documentation supporting use of the advance payment is received from the grantee.

V. SIGNATURES OF AUTHORITY

I certify that I am the Executive Director of the applicant organization and am authorized to submit this Advance Payment Request on behalf of the applicant.

Signature:	Date:
Print Name:	Title:

I certify that I am the Chairperson of the Board of Directors of the applicant organization and am authorized to submit this Advance Payment Request on behalf of the applicant.

Signature:	Date:
Print Name:	Title:

VI. THIS SECTION IS FOR DBH APPROVAL ONLY

Notification of need for the advance payment was included in the original application ☐ Yes ☐ No

Approved Advanced Amount: $

Project Director Approval Signature:	Print Name:	Date:
Chief Operating Officer Approval Signature:	Print Name:	Date:

Initial the checkbox below to **acknowledge** advanced payment approval.

☐ Grants Management Division	Print Name:	Date:
☐ Administrative Services Manager	Print Name:	Date:
☐ Office of the Chief Financial Officer	Print Name:	Date:

Attachment H – Fiscal Helpful Hints

Guidance for SOR 4 FY2027 Budgets as of August 5, 2026

The below information should help provide guidance about how to develop your budget for SOR FY27 budget and hopefully will limit the number of budget modifications. This guidance is based on feedback from the Substance Abuse and Mental Health Services Administration (SAMHSA)..

We will provide any updates to this guidance once we receive our notice of award from SAMHSA.

This guidance applies to the DC Department of Behavioral Health (DBH) as well as to any of your sub-recipients. **Items on your invoices should match your approved budget.**

Please note any budget modifications need to be presented to DBH 60 days before the end of FY or before the end of grant funding.

Grantees can only request one advance per grant cycle.

DBH will not reimburse for costs incurred after the end date of the grant period September 29, 2026

Personnel

- Staff with administrative titles should be classified as indirect ("manager," "monitor," "fiscal," "finance manager," "supervisor," "center director," accountant,").
- If the staff is doing direct care, then they need to have a title that reflects the direct care work, and the budget justification needs to explain their role in providing direct services.
- ***If you have multiple grants, please ensure staff are not more than 100% across grants. This includes grants outside of SOR as well.***
- ***Program Evaluator positions are unallowable.***

Helpful hint for budgeting personnel

Add the following information for each of the staff members in the narrative justification after the job description for each employee:

- % full time equivalent (FTE) x number of hours x hourly rate = Salary

Examples:

- Keisha Smith, Outreach worker. 1.0 FTE, 2,080 hours @ 30,00/hr = $62,400
- Henry Clay, Program Director. .36 FTE, 749 Hours @ 60.08 = 44,999.92

There are 2,080 work hours in a year. By providing this information, you know you have properly calculated the amount in this budget category, and this can also be helpful when invoicing monthly.

Fringe

Rates need to be broken out by what makes up the total rate (e.g., group life insurance, health benefits, retirement plan, time off).

Travel

- Mileage should be budgeted at the current Federal rate of 70 cents per mile (driven for business use) and should be calculated from the office to activities and back to the office.
- **Mileage is not for staff to get to and from work.**
- Attendance at trainings and conferences will be approved on a case-by-case basis based on applicability to the outcomes of the grant. Costs for conferences and trainings should be budgeted at the Federal per diem rates.
- Travel costs for clients is considered a client participant support cost and is allowable based on initiative.

Equipment

- Vehicle purchase or leasing is allowable as direct if 100% use is for direct services (e.g., program van for outreach) on a case-by-case basis.
- Grantee must submit three bids and address questions in attached paperwork for approval by SAMHSA.
- Insurance (e.g., van) is always classified as indirect.

Supplies (Consider Scope of Work/Initiative)

- Specific to the outreach overdose prevention and response teams:
- Sharps containers and wound care supplies (e.g., alcohol wipes, band-aids, cotton/gauze, etc.) are allowable.
- **The following are not allowable**: sterile water, saline or ascorbic acid (vitamin c), syringes or needles used to inject illicit drugs, cookers, pipes or other supplies for safer smoking kits, fentanyl, xylazine and other test strips.
- See attached letter from SAMHSA regarding changes to overdose prevention and response services.
- Intramuscular (IM) naloxone is allowable, but DBH does not encourage the purchase of it unless necessary because we supply free intranasal naloxone. The purchase of IM naloxone would require an update to your agency standing order.
- Naloxone is available via DBH and should not be included in your budget.
- Promotional materials are unallowable, which include clothing and commemorative items such as pens, mugs/cups, folders/folios, lanyards, and conference bags.
- Supplies that are often considered indirect (e.g., laptops, printer ink for direct care staff, pens and paper) as well as other costs (e.g., Zoom license) are allowed only in support of staff who provide 100% direct service.
- Do not request one-time purchases that were requested in SOR4 Year 1 or Year 2 unless there is a justification as a repeat purchase. SAMHSA has pointed out items such as laptops, software, and curriculum as items of concern.
- Cellphones and PPE for clients are not allowable.
- Uniforms are allowable for direct care staff not for clients.
- All office supplies need to be listed and include amounts and cost.

Sample justification language for supplies

- Software (Slack, MS Office, Adobe Suite, Zoom, Malwarebytes) and annual licenses are made available to individual staff of the organization. Outreach workers use these tools primarily to facilitate communication with clients and community partners such that resources may be leveraged in support of clients and the successful outcomes thereof. Secondarily, software may be purchased for the purpose of ensuring device security from malware and other forms of cyber-based threats to data and/or device operation.

- Cell phones purchased would be to replace any outdated devices that are currently in use, (estimating that three out of five may need replacing within the next year). Cell phones are used by outreach workers to facilitate communication with client and community partners such that resources may be leveraged in support of clients

and successful outcomes thereof.

- Printer Toner/Ink is required for the printing of flyers, and other publications, for distribution to, and the benefit of, clients.

- Postage is required for mailing printed materials to clients, for the purpose of distributing information pertinent to the program, including notice of resources and local events.
- Office supplies are purchased for outreach workers use while conducting meetings with clients and making presentations to treatment centers and other facilities and institutions where the attention of potential new clientele would be reached. This type of supply may include items such as paper, pens, notebooks, planners, and binders.

Other

- **Workforce development costs** (e.g., trainings and technical assistance) will be approved on a case-by-case basis and on a limited basis; grantees need to first access SAMHSA resources:
  - Opioid Response Network: https://opioidresponsenetwork.org/
  - Addiction Technology Transfer Center: https://attcnetwork.org/

- Mental Health First Aid will not be approved because there are free trainings offered through DBH and other organizations.
- Rent/occupancy is allowable as a direct cost, but grantee must complete SAMHSA worksheet: https://www.samhsa.gov/sites/default/files/rentquestionsworksheet.docx

Indirect

- There is a maximum 15% funding limitation cap for administrative costs/indirect costs this fiscal year.
- Grantees who have NICRAs are allowed to apply those rates.
- **Landlines and utilities should all be a part of the 15% indirect.**

Funding Limitations/Restrictions

- No renovations costs allowable per DBH because of limitations on overall funding.
- No drug disposal pouches allowable per DBH.
- Incentives, e.g., cash incentives, gift cards (unless this is for GPRA and DBH will supply those gift cards).
- SAMHSA has noted that “stipends” and “scholarships” are not allowable. If you are paying someone for their time, record that under personnel or as a consulting fee. If it is to support an individual’s travel or something else, add it to that line.

- Food can be included as a necessary expense[1] for individuals **receiving** SAMHSA-funded mental and/or substance use disorder prevention, harm reduction, treatment, and recovery support services, not to exceed $10.00 per person per day.
    - Food is not allowed for a one-time event
- Moon bounces, popcorn machines, DJs, PlayStation, Xbox machines, Porta Potties, and backpacks are unallowable.
- Security for events is unallowable.

---

[1] Appropriated funds can be used for an expenditure that bears a logical relationship to the specific program, makes a direct contribution, and be reasonably necessary to accomplish specific program outcomes established in the grant award or cooperative agreement. The expenditure cannot be justified merely because of some social purpose and must be more than merely desirable or even important. The expenditure must neither be prohibited by law nor provided for through other appropriated funding.

- Hygiene kits must be tied to initiative and clear justification for items in kits (e.g., present well for job interviews/employment, maintain health and treatment).
- Clothing purchases must be tied to the initiative and not just provided during outreach (e.g., support employment searches).
- Be mindful of costs that were incurred during FY26 for events such as microphones, tents, etc., as items should be reused in FY27:
    - Please verify with DBH about allowable costs around events.
- Only medications approved by the U.S. Food and Drug Administration (FDA) for treatment of opioid use disorder and/or opioid overdose can be purchased with SOR funds.

- Funds may not be expended through the award or a subaward by any agency which would deny any eligible client, patient, or individual access to their program because of their use of FDA-approved medications for the treatment of substance use disorders (e.g., methadone; buprenorphine products, including buprenorphine/naloxone combination formulations and buprenorphine monoproduct formulations; naltrexone products, including extended-release and oral formulations; or long-acting products, such as extended release injectable or buprenorphine.). Specifically, patients must be allowed to participate in methadone treatment rendered in accordance with current federal and state methadone dispensing regulations from an Opioid Treatment Program and ordered by a practitioner who has evaluated the client and determined that methadone is an appropriate medication treatment for the individual's OUD. Similarly, medications available by prescription or office-based injection must be permitted if it is appropriately authorized through prescription or administration by a licensed prescriber or provider. In all cases, MOUD must be permitted to be continued for as long as the prescriber or treatment provider, in conjunction with the patient, determines that the medication is clinically beneficial. Recipients must ensure that clients will not be compelled to no longer use MOUD as part of the conditions of any

programming if stopping is inconsistent with a licensed prescriber's recommendation or valid prescription.
- Funds may not be used to make direct payments to individuals to enter treatment or continue to participate in prevention or treatment services (See 42 U.S.C. § 1320a-7b).

Justification, Justification, Justification is a key to a speedy approval of your budget.

Appendix

Standards for Financial Management and Standard Funding Restrictions

Source: FY 2024 Substance Abuse and Mental Health Services Administration (SAMHSA) Notice of Funding Opportunity (NOFO) Application Guide

HHS codified the *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards* in 45 CFR Part 75. Subpart D contains federal financial management requirements for HHS recipients and Subpart E contains the applicable cost principles which specify allowable/unallowable expenditures. Unless superseded by program statute, follow the financial management requirements and cost principles in 45 CFR Part 75, Subparts D and E. Listed below are several of the major federal financial management requirements included in Subpart D, as well as several standard funding restrictions that are in addition to the allowable/unallowable requirements of Subpart E.

Standards for Financial Management

Recipients' financial management systems must meet the standards in 45 CFR Part 75 Subpart
D. These standards require recipients' financial management systems to retain an individual award's specific identity to: (a) permit the accurate disclosure of financial results for each federal award; and (b) to permit the tracing of funds to a level of expenditures adequate to verify that recipients used federal funds for their intended purposes and in accordance with federal statutes, regulations, and the terms and conditions of the federal award(s). As a result, individual federal awards may not be commingled with other federal and non-federal awards and expenditures. Commingling typically occurs when funds and expenditures from multiple awards are combined into a single account. Common commingling mistakes to avoid are further explained below:

• *Commingling of Cost Centers*. Every business activity constitutes a cost center. Examples of cost centers include: a federal award, a state award, a private award, matching costs for a specific award, a self-funded project, fundraising activities, membership activities, lines of business, unallowable costs, indirect costs, etc. Recipients must establish a unique account(s) in the accounting system to capture and accumulate expenditures of each cost

center, apart from other cost centers.

• *Commingling of Cost Categories*. Recipients must avoid budget fluctuations that violate programmatic restrictions. They must also avoid applying indirect cost rates to prohibited cost categories, such as equipment, participant support costs, and subcontracts/subawards in excess of
$25,000. As a result, recipients must establish unique object codes in the accounting system to capture and accumulate costs by budget category (i.e., salaries, fringe benefits, consultants, travel, participant support costs, subcontracts, etc.).

• *Commingling of Time Worked and Not Worked*. Recipients may not directly charge an award for employees' time not spent working on the award. Therefore, *Paid Time Off* (PTO), such as vacation, holiday, sick, and other paid leave, is not recoverable directly from awards, but rather must be allocated to all awards, projects, and cost centers over an entire cost accounting period through either an indirect cost or fringe benefit rate.

- *Commingling of Labor Costs – Unsupported Labor Costs*. Time and attendance sheets alone, showing an employee worked a certain number of hours during a given day or time period, are inadequate to support salaries and wages. Rather, to support charges for direct and indirect salaries and wages, recipients' timekeeping documentation must identify the work being performed. As an example, recipients maintaining hourly timesheets must ensure that timesheets encompass all hours worked and not worked on a daily basis. The timesheet should identify the:
(a) award, project or cost center being worked on; (b) number of hours worked on each; (c) description of work performed; and (d) PTO hours. The total hours recorded each day should coincide with an individual's employment status in accordance with established policy (i.e., full-time employees work 8 hours each day, etc.)

- *Commingling of Direct and Indirect Costs – Inconsistent Treatment of Costs*. Recipients must treat costs consistently across all federal and non-federal awards, projects, and cost centers. For example, recipients may not direct-charge federal awards for costs typically considered indirect in nature, unless done consistently. Examples of indirect costs include administrative salaries, rent, accounting fees, utilities, etc. Additionally, in most cases, the cost to develop an accounting system adequate to justify direct charging of the aforementioned items outweighs the benefits. As a result, use of an indirect cost rate is the most effective mechanism to recover these costs and not violate federal financial requirements of consistency, allocability, and allowability

Standard Funding Restrictions

In addition to 45 CFR Part 75, Subpart E's guidance regarding allowable/unallowable expenditures, SAMHSA funds may not be used to:

• Purchase, prescribe, or provide marijuana or treatment using marijuana. See, e.g., 45

CFR.75.300(a) (requiring HHS to ensure that Federal funding is expended in full accordance with U.S. statutory and public policy requirements); 21 U.S.C. 812(c)(10) and 841 (prohibiting the possession, manufacture, sale, purchase, or distribution of marijuana).

- Purchase, procure, or distribute pipes or cylindrical objects intended to be used to smoke or inhale illegal scheduled substances.

- Pay for promotional items including, but not limited to, clothing and commemorative items, such as pens, mugs/cups, folders/folios, lanyards, and conference bags. (45 CFR 75.421(e)(3)).

- Pay for the purchase or construction of any building or structure to house any part of the program. Minor alterations and renovations (A&R) may be authorized for up to 25 percent of a given budget period or $150,000 (whichever is less) for existing facilities, if necessary and appropriate to the project. Minor A&R may not include a structural change (e.g., to the foundation, roof, floor, or exterior or loadbearing walls of a facility, or extension of an existing facility) to achieve the following: increase the floor area; and/or change the function and purpose of the facility. SAMHSA must approve all minor A&R.

- Provide inpatient treatment or hospital-based detoxification services. Residential services are not considered to be inpatient or hospital-based services.

- Pay for housing other than recovery housing, which includes application fees and security deposits.

- Make direct payments to individuals to enter treatment or continue to participate in prevention or treatment services (See 42 U.S.C. § 1320a-7b).

Note: A recipient or treatment or prevention provider may provide up to $30 non-cash incentive (for example, gift cards, bus passes, or gifts) to individuals to participate in required data collection follow-up. This amount may be paid for participation in each required data collection follow-up interview. Incentives cannot be provided for completing an intake or exit interview.
For programs including contingency management as a component of the treatment program, each individual contingency must be $15 or less in value and clients may not receive contingencies totaling more than $75 per budget period.

- **Purchase firearms.**

- General Provisions under Departments of Labor, Health and Human Services, and Education, and Related Agencies Appropriations Act Public Law 117-328, Consolidated Appropriations Act, 2023, Division H, Title V, Section 526, notwithstanding any other provision of this Act, no funds appropriated in this Act shall be used to purchase sterile needles or syringes for the hypodermic injection of any illegal drug. Provided, that such limitation does not apply to the use of funds for elements of a program other than making such purchases if the relevant state or local health department, in consultation with the Centers for Disease Control and Prevention, determines that the state or local jurisdiction, as applicable, is experiencing, or is at risk for, a significant increase in hepatitis infections or an HIV outbreak due to injection drug use, and such program is operating in accordance

- **Salary Limitation:** Congress limits the direct salary for individuals under all federal grant and cooperative agreement awards not to exceed Executive Level II pay. The Executive Level II pay amount is an individual's base salary exclusive of fringe and any income that an individual may be permitted to earn outside of the duties to your organization. The salary limitation does not apply to consultants but does apply to subrecipients under a SAMHSA award or cooperative agreement. Note that these or other salary limitations will apply in future fiscal years, as required by law. The current salary limitation can be found in the most recent SAMHSA Standard Terms and Conditions posted on our website at https://www.samhsa.gov/grants/grants-management/notice-award-noa/standard-terms-conditions.

Other Federal Resource

Cost Principles - Unallowable Costs

Certain costs are expressly unallowable, which means Federal funds may not be used to fund them. Such costs include, but are not limited to, the following:

1. Advisory Councils;

2. Alcoholic beverages;
3. Bad debt expenses;
4. Costs or contributions to other entities;
5. Entertainment (except for entertainment with a programmatic purpose);
6. Capital expenditures for general purpose equipment, land, and buildings;
7. Fines, penalties, damages, and other settlements;
8. Fundraising and investment management costs;
9. Costs of goods or services for personal use;
10. Idle facilities and idle capacity;
11. Interest on borrowings or on the use of an entity's own funds;
12. Lobbying;
13. Losses on other awards/excess costs on one award transferred to another;
14. Membership in country, social, or dining clubs and in organizations with focus on lobbying;
15. Incorporation fees, brokers' fees, fees to promoters; and
16. Selling and Marketing.

Attachment I – Organizational Risk Assessment Form

Organizational Risk Self-Assessment

DBH assesses the risk of applicants and grantees. This Organizational Risk Self-Assessment tool will assist in this process. This form is to be completed by the Executive Director, Board Chairperson or a delegate knowledgeable of the organization's current and past capabilities, performance and risks.

A final risk assessment by DBH will assign a rating (high, medium or low risk) in order to develop a risk-based monitoring plan for your grant(s).

Please answer the questions as best as you can. Do not leave blanks. Any "NA" (Not Applicable) response will require an explanation on this form.

Submission Type:	[ ] New Application	[ ] Grantee Update

Date of Completion: xx/xx/2026

Applicant Organization

Legal Name	Other Organization Name / "DBA"

EIN	UEI

Type of Organization	
Choose an item.	**If other:**

Organization Head/Authorized Representative:

Name	Title	Email	Telephone

Person Completing this Self-Assessment

Name	Title	Email	Telephone

Internal Controls	Yes	No	NA
The organization maintains an active Board of Directors as the governing body and to whom administrative, operations and program managers are responsible for reporting.			
The roles of the Board and Executive Director (Agency Head) are appropriately differentiated.			
The Board sets expectations and qualifications of the Executive Director which are clear and written.			
The organization's operating chart is up-to-date and aligns with the employee roster, their program or service location, function and supervision.			
Written policies and standard operating procedures active (up-to-date) for the following areas:			
▪ Human Resources/Personnel Management/Employee Assistance			
▪ Personnel Time and Effort Certification			
▪ Sub/contractor Acquisition			
▪ Cyber security and/or IT policy			
▪ Sexual Harassment and Human Trafficking			
▪ Language Access			
***Explanation: (NA)**			

Cash Management	Yes	No	NA*
The organization follows accounting practices with conform to generally-accepted standards and follows funder-specified accounting rules.			
The organization's accounting system has the capacity to segregate grant funds from other funding sources.			
Financial systems for the organization or major service unit have had technical problems negatively impacting efficiency, accuracy of data and time management.			
Organization has never received grant funding from any District of Columbia government agency.			
25% or more of DBH funds issued to the organization were returned unspent during the prior year funding.			
25% of more of any non-DBH funds issued to the organization were returned unspent during the prior year funding.			
Was the organization severely delinquent (3 or more times) in submitting scheduled invoices or payment reimbursement requests?			

***Explanation: (NA)**	

Audit Results	Yes	No	NA*
An independent audit or review of the organization's financial condition has been conducted annually for the past three years.			
A single annual audit report, required for an entity receiving $1M or more of federal funding in its prior fiscal year was uploaded to the Federal Audit Clearinghouse on time for the prior year audit.			
If applicable, the organization had no findings on the single annual audit in its prior fiscal year.			
The organization had one or more findings on the single annual audit in its prior fiscal year.			
The organization has an open corrective action plan for any prior years' finding.			
The most recent financial statements report that the organization has a positive net worth (fund balance or net assets).			
Has the organization experienced any significant cash flow problems in the past two years?			
Does the organization have cash reserves equal to three months operating expenses?			
***Explanation:**			

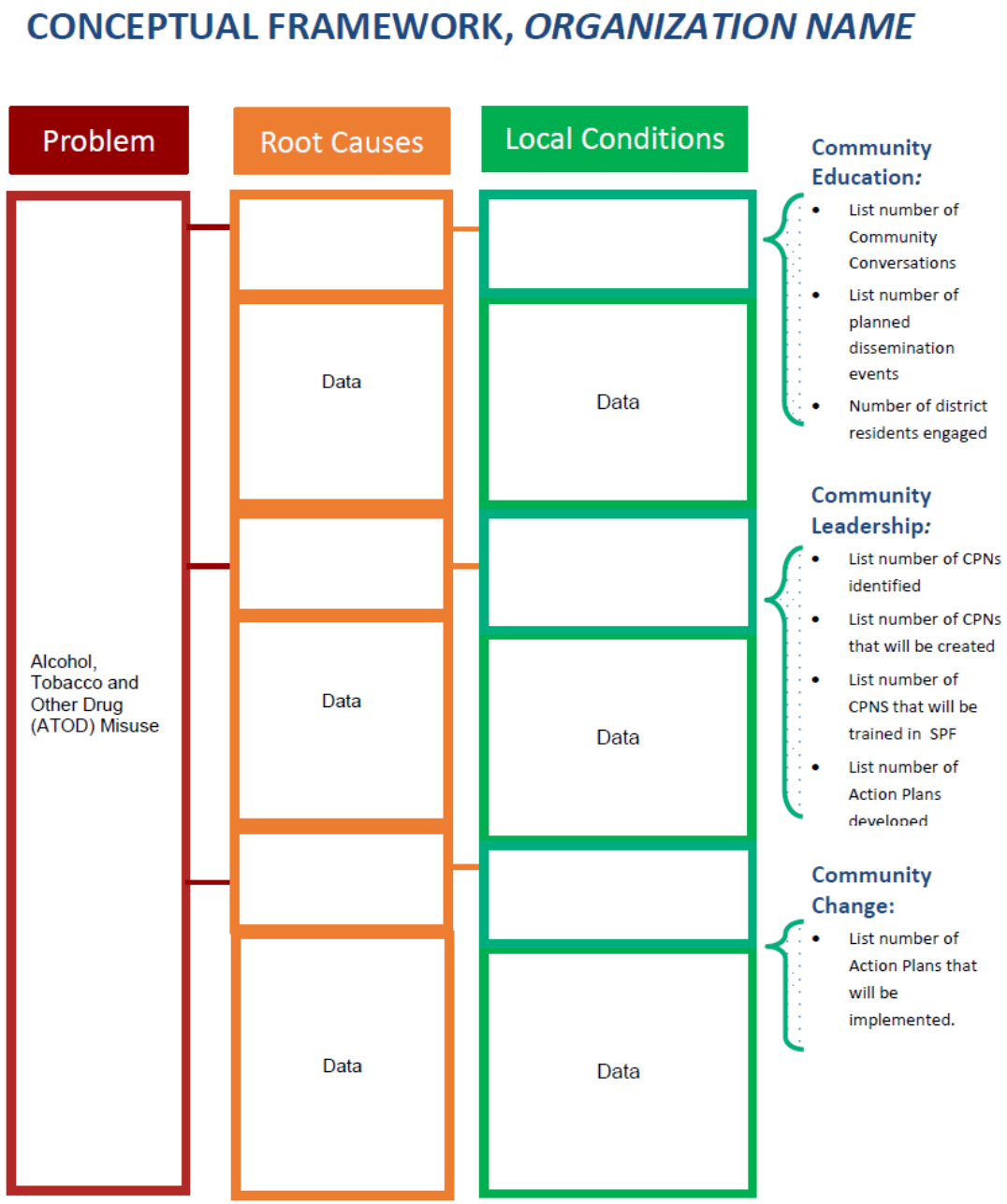
Performance Management	Yes	No	NA*
Received an assessment in the past 1 to 2 years from a DBH-funded grant of poor, non-compliant or not progressing			
Met all targeted objectives and deliverables of a DBH-funded grant program in the past 1 to 2 years			
Received an assessment in the past 1 to 2 years from a non-DBH grant of poor, non-compliant or not progressing			
Met all targeted objectives and deliverables of a non-DBH-funded grant program in the past 1 to 2 years			
In the past year, for any DBH or DC Government grant, have you requested a no-cost or cost-extension due to an incomplete project?			
***Explanation:**			

Mandatory Disclosures	Yes	No	NA*
As required by 2 CFR part 200.113 of the Uniform Guidance, DBH must require a non-federal entity or an applicant for a federal award to disclose in a timely manner, whenever, in connection with the Federal award (including any activities or subawards thereunder), credible evidence of the commission of a violation of Federal criminal law involving fraud, conflict of interest, bribery, or gratuity violations found in Title 18 of the United States Code or violation of the civil False Claims Act (31 U.S.C. 3729-3733). The disclosure must be made in writing to the Department of Health and Human Services, the D.C. Office of the Inspector General, and DBH.			
Do you have any disclosures violating Federal criminal law involving fraud, conflict of interest, bribery, or gratuity violation found in Title 18 of the United States Code or violation of the civil False Claims Act (31 U.S.C. 3729-3733).			
***Explanation:**			

_____

Signature, Authorized Representative

Attachment J - Conceptual Framework



ATTACHMENTS 1 -10

Attachment 1 – General Terms and Conditions

GENERAL TERMS AND CONDITIONS

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This Document

This document outlines standard terms and conditions for any award issued by the District of Columbia Department of Behavioral Health ("DBH") as a grant, sub-grant or sub-award whose fund source and authorization requires the Grantor (DBH) and the Recipient to be in compliance with local and federal terms of Agreement and statutes for issuing and administering a sub-award. The terms and conditions apply to both competitive and non-competitive awards in new or continuation status. Administrative units within DBH may apply additional terms and conditions of award based on the requirements of the funding, funding authorization or regulations required by federal or local statute for specific programs or types of services. **Any reference herein to "this Agreement" or "the Agreement" applies to a fully executed Notice of Grant Award (NOGA) and Grant Agreement issued by DBH to a Grantee organization. The NOGA is the official, legally binding document, signed by the Director/designee of DBH.** It notifies the grant recipient of the award of a grant; contains or references all the terms and conditions of the grant and funding (federal/local) limits and obligations; and provides the documentary basis for recording the financial and programmatic obligations.

The grant award for is subject to and must comply with applicable general terms and conditions outlined below, and in Attachment 1 - General Terms and Conditions (GT&C). These terms and conditions are in addition to any terms, conditions, or restrictions in the NOGA.

Each entity applying for the grant (Applicant) advertised in the Request for Applications (RFA), the successful Applicant (Grantee), and a sub-recipient of funds under the grant provided in response to applications under the RFA (the Grant), is subject to and must comply with applicable general terms and conditions outlined below, and in Appendix A - General Terms and Conditions (GT&C). These terms and conditions are in addition to any the terms, conditions, or restrictions in the NOGA.

Order of Precedence

In the event of inconsistency among the provisions of the grant, the inconsistency shall be resolved by giving precedence in the following manner:

1. 2 CFR 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards;*
2. 2 CFR 300, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards;*
3. District of Columbia Budget Support Act for the most current fiscal year;
4. Department of Behavioral Health Establishment Act (D.C. Code §§ 7-1141.01, *et seq*.);
5. Title 22-A, D.C. Municipal Regulations, Chapter 44, *Mental Health Grants*;
6. District of Columbia City-Wide Grants Manual;

7. Substance Abuse Mental Health Services Administration (SAMHSA) Award Standard Terms (for SAMHSA-funded grants);
8. United States Department of Health and Human Services Grants Policy Statement;
9. DBH Grant Terms and Conditions Appendices and Attachments;
10. The Grantee's budget and any amendment approved by DBH;
11. District of Columbia Grant Administration Act of 2015; and
12. Grantee submissions that present as appendices and attachments to the application or award as follows:
    a) Approved Work Plan;
    b) Approved Budget and Narrative Justifications, including standard DBH forms for budgets, cost allocation, source of fund/use match;
    c) Staffing Plan;
    d) Fund Disbursement Plan and Schedule;
    e) Reporting Requirements and
    f) Special Program Provisions.

Documents Incorporated by Reference

The following documents are hereby incorporated by reference and made part of the DBH Grant Terms and Conditions:

1. The Notice of Grant Award (NOGA) and all subsequent amendments and addenda issued by the authorizing entity;
2. All submissions, including all standard forms, assurances and certifications, and other supporting documents contained in the application;
3. The Grantee's work plan and any amendments approved by DBH;
4. The Grantee's budget and any amendments approved by DBH;
5. 2 CFR 200 *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards;*
6. 2 CFR 300, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards;*
7. District of Columbia Grant Administration Act of 2015;
8. Mayor's Order 2017-313, Sexual Harassment Policy, Guidance and Procedures
9. The District of Columbia City-Wide Grants Manual and Sourcebook;
10. Substance Abuse Mental Health Services Administration (SAMHSA) Award Standard Terms (for SAMHSA-funded grants);
11. United States Department of Health and Human Services Grants Policy Statement; and
12. Grantee submissions that present as appendices or attachments to the application

or award as follows:

a. Scope of Work, including a schedule of deliverables, narrative descriptions of services and targets;
b. Approved Work Plans, Performance Plan, Quality Management/Quality Improvement Plans;
c. Approved Budget Tables and Narrative Justifications, including standard DBH forms for Budget, Cost Allocation, Source of Fund/Use and Match;
d. Staffing Plan;
e. Fund disbursement plans and schedules;
f. Reporting schedules; and
g. Special program provisions.

Award Authorization

1. The Grantee shall not start any activity, expend funds, or request reimbursement for expenditures unless there is a fully executed Agreement and purchase order issued by DBH to the Grantee.
2. The start and end dates for the award shall be the project period indicated on the fully executed NOGA, unless amended by the Department of Behavioral Health. The project period is the total time DBH has programmatically approved a project (federal/local) for support.
3. The budget period is usually 12 months long. However, shorter or longer budget periods may be established for programmatic or administrative reasons. The budget period will be indicated on the NOGA and will show the total approved budget for the applicable budget period.
4. The Grantee shall provide services and conduct activities for the purpose established by the terms of the Agreement and the authorizing fund source, which is located on the NOGA and purchase order assigned to the award.
5. DBH shall issue a NOGA for each budget period, subject to satisfactory performance of the Grantee, Grantee eligibility and the availability of funding.
6. The project period, budget period and allocations of funding in each period shall be outlined in the NOGA. The fund source (e.g., federal or local funds administered by DBH) will also be stated in the NOGA. The total obligation by DBH under the grant shall not exceed the amount stated as maximum amount for the planned project period. The total award amount shall be apportioned by budget period outlined on the NOGA. The Grantee shall not exceed the amount of the total award that is apportioned to the budget period. The Grantee's spending plan must reflect the funding obligations and approved apportionments for the budget period, unless Grantee submits a written request for a deviation from the spending plan and such

request has received approval from the assigned Project Director/delegate. Option years beyond the planned project period shall be considered for this award based only on the availability of source funding, additional funding and the satisfactory performance of the Grantee.

7. The Grantee shall submit an overall budget, including a detailed line item budget for each service area and shall operate programs in accordance with the budget approved by the project director/delegate prior to the issuance of a NOGA.
8. The Grant Agreement shall be subject to the availability of funding and an appropriation for the program or grant funding that is the subject of the grant. The Grant Agreement shall be subject to termination at any time, in whole or in part, if: (1) adequate funds are not made available to DBH or appropriated by DBH for the program in question; or (2) for the convenience of the government should DBH determine that such termination is in the best interest of the public or the government.
9. The Grantee must be eligible for funding at the time the award is issued and maintain eligibility as established by the terms of this Agreement, the Request for Applications and statutory and/or regulatory requirements (local and/or federal).
10. The Grantee must supplement, not replace, deliberately reduce or reallocate (supplant) non-grant funds due to the existence of funding available for this award. Grantees must ensure that funds do not supplant resources that have been budgeted for the same purpose through other sources. Applicants or award recipients may be required to demonstrate and document that a reduction in resources for programs occurred for reasons other than the receipt of grant funds.
11. The Grantee shall establish a system of accounting that ensures that funds awarded under the NOGA are not commingled with other funding sources (i.e., same funding source as another NOGA, similar service area). Where the Grantee's accounting system cannot comply with this requirement, the Grantee shall establish a system to provide adequate funding accountability for the program.
12. The Grantee shall establish a system of accounting that tracks program income generated though the grant award. All Grantees that generate program income must comply with 2 CFR 300.218 and 2 CFR 200.307 (as applicable) and report any program income to DBH on all invoices submitted.

Substance Abuse and Mental Health Services Administration (SAMHSA) Grant Award Standard Terms and the United States Department of Health and Human Services (HHS) Grants Policy Statement

Grantees awarded sub-grants funded in whole or part by SAMHSA must comply with the SAMHSA Award Standard Terms for the current fiscal year

(https://www.samhsa.gov/grants/grants-management/notice-award-noa/standard-terms-conditions). Further, Grantees awarded sub-grants funded in whole or part by SAMHSA are subject to the requirements of the HHS Grants Policy Statement that are applicable based on the recipient type and purpose of award (https://www.samhsa.gov/grants/grants-management/policies-regulations/hhs-grants-policy-statement). To the extent these conflict with the DBH Grant Terms and Conditions, the SAMHSA Award Standard Terms and the HHS Grants Policy Statement control.

Communications with DBH

1. Communications shall be directed to DBH offices or DBH staff as the Grant requires.
2. Reports and other submissions shall be directed to the Project Director.
3. The Grantee shall maintain electronic mail ("e-mail") capabilities for communication with DBH. Each Grantee shall provide a valid e-mail mail address and consent to receive official correspondence at the e-mail address.
4. A notice shall be deemed timely delivered to DBH only when written confirmation of receipt is provided by DBH.

Communication of a Material Change

The Applicant and the Grantee shall advise DBH immediately orally and thereafter in writing when a material condition of the Application or performance of the grant has changed. Examples of material changes in condition may include, but are not limited to, the following:

1. The loss of a staff member proposed as a principal;
2. The lack of funds to pay bills incurred for the grant's activities;
3. The expenditure of granted funds for non-granted activities, materials, or supplies;
4. Change in the Applicant's governance;
5. The Grantee's insurance coverage has been reduced; or
6. The Grantee has been notified of a cancellation in whole or in part of its insurance.

Compliance as a Continuing Condition of Eligibility

The Applicant must continue to comply with these terms of eligibility as noted in the NOGA during the project period if awarded a grant. If as the Grantee, the Applicant fails to comply with the terms and conditions of this award, DBH may suspend, terminate, take other corrective action (including, but not limited to, recovery of funds provided under the Grant), or initiate dispute resolution.

Grant Award Contingent on Available Funding

The grant award and DBH's distribution of funds pursuant to the grant award are subject to the availability of funding from the sources identified in the NOGA for the particular grant opportunity or project.

DBH's ability to provide funds is, and shall remain subject to, the provisions of:

1. The Federal Anti-Deficiency Act, 31 U.S.C. §§ 1341, 1342, 1349, 1351;
2. The District Anti-Deficiency Act, D.C. Official Code § 47-355.01-355.08; and
3. Any amendments to these statutes.

This grant shall be subject to termination at any time, in whole or in part, if adequate funds are not made available or appropriated for the program in question.

Grant Match: Projection and Documentation

When documentation of a grant match is required:

1. In support of an application, the applicant must provide a line item budget and budget narrative including the match for the proposed project; and
2. In support of an award, the Grantee must provide the following, which must be acceptable to DBH, unless DBH revises or waives the requirement in writing:
    a. Documentation of in-kind match, including, for example, services of an employee. These services must be valued at the employee's regular rate of pay plus an amount of fringe benefits that is reasonable, necessary, allocable, and otherwise allowable. The value of donated space must not exceed the fair rental value of comparable space as established by an independent appraisal of comparable space and facilities in a privately owned building in the same locality.

Bonding Requirements

A bond is not required of the Grantee unless DBH states the requirement in writing. If DBH does require a bond, the Grantee before accepting the grant must secure the bond in an amount no less than the total amount of the funds awarded, against losses of money and other property:

1. Caused by fraudulent or dishonest act, and
2. Committed by an employee, board member, officer, partner, shareholder, or trainee.

Background Checks

The Grantee shall comply with all statutes and regulations governing background checks for unlicensed staff working on a grant or sub-grant, including but not limited to D.C. Code §§ 44-552 *et seq*., D.C. Code §§ 4-1501.01 *et seq*., and 22-B DCMR Chapter 47, as applicable. DBH reserves the right to confirm the Grantee's compliance with any applicable statutes governing background checks for unlicensed personnel who work directly on the grant or sub-grant.

The grantee must provide upon request to DBH evidence of criminal background checks for all unlicensed personnel pursuant to the criminal background check requirements contained in District Official Code §§ 44-551 *et seq*., Unlicensed Personnel Criminal Background Check, and its implementing regulations, 22-B DCMR Chapter 47, as well as child abuse registry checks, for both the State(s) of residence and employment.

Payment

1. The Grantee will be compensated for work performed and expenses incurred of a sum not to exceed the total amount contained in the NOGA or any official revision to it.
2. DBH will not reimburse the Grantee for grant-related expenditures made before the begin date.
3. The Grantee may submit its invoices for grant-related reimbursement according to the fund disbursement schedule as stated in the NOGA. Invoices must be sent through the appropriate portal as stated in the NOGA and the related District "Purchase Order."
4. The Grantee's accounting practices must be consistent with 2 CFR Part 300, Subpart E, Cost Principles and support the accrual of cost as required by the cost principles and must provide for adequate documentation to support cost charged to the grant award.
5. The Grantee's payment request must include a signed invoice on organization letterhead with federal tax identification number and supporting documentation. The submittal to DBH must include:
    a. For employee labor: For the relevant billing period, a payroll report, with information drawn from an official book of record, like a payroll register, official time sheet or time card(s) approved by appropriate Grantee representative.
    b. For other expenditures: Expenditures must be supported by invoices or receipts.
6. The Grantee must keep backup documentation, to show:
    a. For Grantee AND any Grantee or sub-grantee:
        i. For labor: the official books and records information showing employee name, title, hours worked that are charged to the grant, and

pay rate for the period (typically like a payroll register, official time sheet or time card(s)); and,

ii. For non-labor: invoices and receipts that identify or describe the invoiced item, showing quantity, rate or price, and for procured items including contractor and sub-grantee invoices, proof of payment.

7. In most circumstances, DBH will require documents supporting an accounting entry before releasing payment. Such information may include:
    a. General ledger screen shots or excerpts, showing paid bills or expenditures;
    b. Copies of cancelled checks or bank statements of electronic transfers;
    c. Statements from contractor, subcontractor and vendors that their bills have been paid; or
    d. Reports of on-site inspections or audits.
8. In certain circumstances, and at DBH's sole discretion according to its policy, DBH may provide a portion of grant funds for the Grantee's start-up costs as an advance payment.
9. Notwithstanding the above, DBH at its sole discretion may withhold payment if DBH determines that the Grantees failed to comply with term[s] of the grant award.

Fund Disbursement

1. DBH reserves the right to withhold any payment if the Grantee is found in non-compliance with the DBH Notice of Grant Award or the Grant Agreement, and fails to correct any deficiencies within a reasonable time frame as determined by DBH. DBH shall determine the extent of the payment to be withheld under this provision.
2. Deposit and Security of Funds - The Grantee shall account for and reimburse the District Government any interest earned on advance grant award payments no later than twenty (20) business days from the end of each DC Government Fiscal Year (September 30) and no later than thirty (30) business days after the expiration of the Grant Agreement. All payments shall be made by check or money order made payable to the "D.C. Treasurer" and mailed to Office of Finance & Treasury, 1101 4th Street, SW, Suite 850W, Washington, DC 20024.
3. The Grantee shall submit expenditure reports and requests for payment in accordance with the terms and options outlined in the Fund Disbursement Schedule and Terms.

Unethical Conduct

1. The Applicant/Grantee shall avoid all unethical conduct with respect to securing and administering granted funds, with ethical conduct to be measured generally, but not wholly, against the provisions of the District Ethics Manual (most recent edition as of

the time the grant is awarded), found at www.bega.dc.gov, under the heading for documents.

2. Though not an exhaustive list, the Grantee shall avoid the following:
    a. Apparent and actual conflicts of interest;
    b. Contributing to a violation of the District's restrictions on gifts to District personnel;
    c. Contributing to a violation of the two-year ban on District personnel taking certain actions regarding a "particular matter" described in the District Ethics Manual;
    d. No Applicant/Grantee shall employ or retain a person or selling agency to solicit or secure this grant, a payment under it, or an amendment, upon an agreement or understanding for a commission, percentage, brokerage, or contingent fee. Except, an applicant or grantee may condition its compensation for a bona fide employee on grant-related job performance, and may retain an attorney for compensation permitted by the District's Rules of Professional Conduct; and
    e. With respect to grant funds, the Grantee and Grantee's employees, officers, or agents shall not solicit or accept a gift, gratuity, favor, or anything of monetary value from a contractor, subcontractor, vendor, party to a related agreement, or a beneficiary of this grant except as may be allowed under the District Ethics Manual for items that are unsolicited and of nominal value.

Contracts, Subcontracts, or Sub-Grants

1. **Nothing in the Grant award shall be construed to create a contractual relationship between DBH and Grantee's contractor, subcontractor, sub-grantee, or vendor.**
2. Any grant-related work and/or activity that is contracted, subcontracted, or sub-granted is subject to applicable District and federal law and DBH review and approval. The Grantee shall give DBH advance notice of contracts, subcontracts, and sub-grants sufficient to allow DBH to determine whether its approval is needed, and if so, whether approval must come before Grantee's execution of the contract or sub-grant.
3. The Grantee's contract or sub-grant shall specify that the contractor or sub-grantee, and its contractors, subcontractors, or sub-grantees, shall be subject to the conditions and prohibitions of the Grant Award.
4. Warranties for labor and materials shall be obtained for purchases of materials and labor having an aggregate value of over $5,000. These warranties shall be valid for at

least two (2) years. DBH may waive this requirement in writing for demonstration of good cause or research grants.

5. If the Grantee, its contractors, subcontractors, or sub-grantees disturbs work guaranteed under another District contract or grant, the Grantee shall be responsible to restore the disturbed work to a condition comparable to its original condition and warranty such restored work, or alternatively pay the District for the damage.
6. No grantee shall use grant funds to procure services or materials from a vendor, contractor, or subcontractor that is suspended or debarred by the District or the federal government as may be found here: https://ocp.dc.gov/page/excluded-parties-list (DC), and here: https://www.sam.gov/SAM/ (Federal).

Patient Confidentiality

The Grantee shall ensure that its employees, volunteers and sub-awardees adhere to all applicable Federal and Local statutes and regulations addressing patient confidentiality, including HIPAA, the D.C. Mental Health Information Act and 42 CFR Part 2.

Establishing and Managing Sub-Awards

If the Grant authorizes or provides for sub-awards, as a pass-through entity, the Grantee must:

1. Be responsible for selecting sub-awardees and as appropriate conducting sub-award competitions. When using DBH or federal pass-through funds, the Grantee will establish a fair, open, transparent competitive process for the awarding of funds either through a contract, cooperative Agreement or grant instruments. A competition is a process that provides for the following:
    a. Notice of Funding has been publicized;
    b. Applications are easily available to all prospective applicants;
    c. Applications are reviewed in an objective manner against an established public scoring criteria; and
    d. Reviewers have no conflict of interest with any of the submitting applicant organizations.
2. Funds disbursed in a non-competitive manner may be disallowed and appropriate grant management sanctions issued.
3. The Grantee will submit for approval any Requests for Proposal or Requests for Applications before released.
4. The Grantee will submit for approval the unsolicited grant submission process before it is announced.

5. The Grantee shall ensure that all sub-award agreements are in writing, meet all legal and regulatory requirements and address all of the elements for sub-award agreements identified in the NOGA.
6. The Grantee shall establish and follow a system for monitoring sub-awardee performance that includes elements required by the grant award, the SAMHSA grant award (if applicable) and this Appendix, and report the results of the monitoring in performance reports required by this document and/or the grant award.
7. The Grantee shall establish and maintain an accounting system that ensures compliance with the maximum funding limitation established in the grant award, the SAMHSA grant award (if applicable) and with the requirements for payment of costs under the grant. This includes establishment of written procedures for determining that sub-award costs are allowable under the terms and conditions of the grant award and this Appendix, and may provide for determinations on a pre-award basis, through ongoing monitoring of costs that sub-grantees incur, or a combination of both approaches, provided the Grantee documents its determinations.
8. The Grantee shall extend the Grant's DBH-approved indirect cost rate to payments made to a nonprofit sub-grantee or to a nonprofit contractor. Except that the following are excluded from this paragraph's requirement of this compensation structure: a foundation, hospital, college, and university.

Modifications of the Grant, including Extensions and Increases

The terms and conditions of the grant may be modified only upon DBH's prior written approval. The modification shall take the form of an amendment to the NOGA.

1. Through an amendment, DBH may*, inter alia,* increase or reduce the grant amount and/or extend or reduce the project period.
2. If DBH notifies the Grantee that a funding increase or an extension of the project period is available, the Grantee must apply for the increase or extension in writing according to the terms of the DBH notification.
3. All grantees must apply for no-cost extensions sixty (60) calendar days in advance of the grant's then-current end date. The application must justify the amendment, and include a description of proposed changes to scope, performance schedule, description of proposed outcomes, and budget.

Staffing Plan, Work Plan, Budgets and Organizational/Personnel Requirements

Upon signing the Grant Agreement, the Grantee shall have and maintain on file with DBH an approved staffing plan, work plan and budget. The Grantee must implement the funded

program in accordance with requirements outlined in approved staffing plan, budgets and work plans. Any revision or alteration of these plans must have prior approval by the Project Director or his/her designee. Further:

1. The Grantee shall maintain a current organizational chart, which displays organizational relationships and demonstrates who has responsibility for administrative oversight and supervision over each priority service activity.
2. The Grantee shall ensure that adequate, competent and trained personnel are provided to oversee the implementation of the activities supported by the grant.
3. The Grantee shall ensure that personnel records, background checks (if applicable under the governing statutes or regulations), job descriptions, application for employment, licensing or certification criteria, descriptions of duties, hours of work, salary range and performance evaluation criteria are maintained in individual personnel records for staff assigned to the funded project.
4. The Grantee must maintain record of personnel actions, including time records, documentation of all training received, notation of any allegations of professional or other misconduct including a detailed description of the allegations, and if terminated, the date and reason for the termination from employment. All these personnel materials shall be made available to the Project Director upon request.
5. The Grantee shall provide orientation session for staff members that addresses the Health Information Portability and Accountability Act (HIPAA), the D.C. Mental Health Information Act (D.C. Code § 7-1201.01 *et seq.)*, 42 CFR Part 2 (if applicable), administrative procedures, program goals, cultural sensitivity, language access, conflict of interest, workplace sexual harassment policies and policies and procedures to be adhered to under the terms of the grant Agreement.
6. The Grantee must notify the Project Director if there is a change in staffing or operations management of the organization that impacts the project funded under the Agreement.
7. The Grantee shall seek approval of any changes in staffing plans or job descriptions for staff assigned to the grant.

Profit and Program Income Requirements for Commercial Organization Grantees

All commercial organizations awarded DBH sub-grants funded in whole or part by the United States Department of Health and Human Services (HHS) shall comply with 2 CFR § 300.218 and any other applicable federal or District law or regulation governing profit and program income. Specifically, with the exceptions of grant awards made under the Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) programs, no HHS funds may be paid as profit to any for[-profit] commercial organization even if the

grantee is a commercial organization. Profit is any amount in excess of allowable direct and indirect costs.

Except for grants for research, program income earned by a commercial organization may not be used to further eligible project or program objectives except in the SBIR or STTR programs.

Commercial organizations that receive awards (including for-profit hospitals) have two options regarding audits:

(a) A financial related audit of a particular award in accordance with Generally Accepted Government Auditing Standards issued by the Comptroller General of the United States, in those cases where the commercial organization receives awards under only one HHS program; or if awards are received under multiple HHS programs, a financial audit of all awards in accordance with Generally Accepted Government Auditing Standards issues by the Comptroller General of the United States; or
(b) An audit that meets the requirements of 2 CFR 200.501.

Commercial organizations that receive annual awards totaling less than the audit requirements of 2 CFR 200.501 are exempt from the audit requirements for that year. However, records must be available for review by appropriate officials of federal agencies or the Government Accountability Office.

Profit and Program Income Requirements for Non-Federal Entities

Pursuant to 2 CFR §§ 200.1 and 200.307, a non-federal entity (a state, Local government, Indian tribe, institution of higher education (IHE) or nonprofit organization that carries out a federal reward as a recipient or a sub-recipient) is encouraged to earn income to defray program costs where appropriate. All non-federal entities in receipt of sub-grants funded in whole or part by HHS must adhere to the requirements of 2 CFR §§ 200.307 and 200.407 concerning program income.

Indirect Cost

Facilities and Administration Classification. For major IHEs and major nonprofit organizations, indirect (F&A) costs must be classified within two broad categories: “Facilities” and “Administration.” “Facilities” is defined as depreciation on buildings, equipment and capital improvement, interest on debt associated with certain buildings, equipment and capital improvements, and operations and maintenance expenses. “Administration” is defined as general administration and general expenses such as the director's office, accounting, personnel and all other types of expenditures not listed specifically under one of the subcategories of “Facilities” (including cross allocations from other pools, where applicable).

Identification with a Federal award rather than the nature of the goods and services involved is the determining factor in distinguishing direct from indirect (F&A) costs of Federal awards. However, typical examples of indirect (F&A) cost for many nonprofit organizations may include depreciation on buildings and equipment, the costs of operating and maintaining facilities, and general administration and general expenses, such as the salaries and expenses of executive officers, personnel administration, and accounting.

Any non-Federal entity that has never received a negotiated indirect cost rate, may elect to charge a de minimis rate of 10% of modified total direct costs (MTDC) which may be used indefinitely. As described in 2 CFR § 200.403, costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. If chosen, this methodology once elected must be used consistently for all Federal awards until such time as a non-Federal entity chooses to negotiate for a rate, which the non-Federal entity may apply to do at any time.

Any non-Federal entity that has a current federally negotiated indirect cost rate may apply for a one-time extension of the rates in that agreement for a period of up to four years. This extension will be subject to the review and approval of the cognizant agency for indirect costs. If an extension is granted the non-Federal entity may not request a rate review until the extension period ends. At the end of the 4-year extension, the non-Federal entity must re-apply to negotiate a rate. Subsequent one-time extensions (up to four years) are permitted if a renegotiation is completed between each extension request.

Indirect Costs Calculation

Indirect costs are costs that are not readily identifiable with a particular project or activity but are required for operating the organization and conducting the grant-related activities it performs. Indirect costs encompass expenditures for operation and maintenance of building and equipment, depreciation, administrative salaries, general telephone services and general travel and supplies. For federally funded grants, indirect costs are applied in compliance with 2 CFR 200.332.

For locally funded grants, DC Law 23-185, the Nonprofit Fair Compensation Act of 2020 (D.C. Official Code sec. 2-222.01 et seq.) allows a nonprofit organization to (1) apply a federal Negotiated Indirect Cost Rate Agreement (NICRA) to the grant funds and approved budget, (2) negotiate a new percentage indirect cost rate with the District grantmaking agency, (3) use a previously negotiated rate within the last two years from another District government agency, or (4) use an independent certified public accountant's calculated rate using OMB guidelines.

If the organization does not have an indirect rate from one of the four aforementioned approaches, they may apply a de minimis indirect rate of 10% of total direct costs for locally funded grants and 15% for federally funded grants.

Federal rules always control for federal funding. For federal funding that passes through the District to the grantee, the indirect cost rate must be consistent with federal regulation 2 CFR 200.332.

If the Applicant proposes to use the services of a nonprofit subgrantee or contractor, it must propose to apply the same indirect cost rate to that entity's services. (See Attachment-1. General Terms & Conditions, Establishing and Managing Subgrant, #8)

Client Records (if there are no client services provided, this term is not applicable)

1. The Grantee shall establish and maintain a protocol for maintaining and storing client records that is compliant with the HIPAA security and privacy rules, the Mental Health Information Act (D.C. Code § 7-1201.01 *et seq.)* and 42 CFR Part 2 (as applicable). This protocol shall be available to the project director on request.
2. The Grantee shall provide the Project Director, and other authorized representatives of the DBH access to program evaluators, quality assurance specialists, data management analysts and clinical records as may be necessary for monitoring purposes.
3. The Grantee shall retain all records for at least three (3) years following closeout of the grant.
4. The Grantee will ensure that information in client files is current. Client files will be considered inactive if not updated within a 6-month period.
5. DBH reserves the right to remove client records from the Grantee's location or property to review and /or copy records.

Facilities Controlled By the Grantee

1. The Grantee's facilities used during the performance of this agreement shall meet all applicable federal, state, and local regulations for their intended use throughout the duration of this agreement. The Grantee shall maintain current all required permits and licenses for the facilities. The Grantee's failure to do so shall constitute a failure to perform the agreement and shall be a basis for termination of the agreement for default.
2. The Grantee shall identify an emergency site facility to finish the grant activities in the event that the primary facility becomes unavailable for use due to a catastrophic event.
3. Each facility controlled by the Grantee that is used for activities under the grant shall be accessible to mobility-limited persons consistent with the Rehabilitation Act of 1973 as amended, 29 U.S.C. §§ 701 *et seq.*, and the Americans with Disabilities Act, 42 U.S.C. §§ 12101 *et seq.*
4. All supplies and services routinely needed for maintenance and operation of the facility, including but not limited to, security, janitorial services, and trash pick-up, shall be provided by the Grantee.

Entry onto a Project Site and to Records

The Grantee shall provide DBH and its designee with access to books and records for the funded project. The Grantee also shall secure from the relevant property owners permission in writing for DBH and its designee to access a project site(s) at reasonable times to inspect the work performed by the Grantee, its contractor, subcontractor, sub-grantee, or vendor. The Grantee shall obtain the written consent in advance of performing the work.

Grant Purchases, including Equipment, exceeding $10,000 per unit, if applicable

1. The Grantee shall not purchase with grant funds equipment or supplies exceeding $10,000 per unit cost ("Big Grant Purchase") without DBH's prior written agreement.
2. For each Big Grant Purchase, the Grantee shall give advance written notice to DBH to allow DBH to approve or disallow the purchase.
3. Identification of a Big Grant Purchase in DBH-approved proposal constitutes approval of the Big Grant Purchase. If a Big Grant Purchase is not identified in a DBH-approved proposal, advance notice shall be given four (4) weeks in advance of the commitment to purchase. DBH may waive this time period in writing for good cause.
4. Within sixty (60) calendar days of execution of the award, the Grantee must provide the Project Director with an inventory of all equipment and supplies with a purchase price not exceeding $10,000 (per item) purchased with grant funds.
5. For all Big Grant Purchases, the Grantee shall maintain an inventory record ("Big Grant Purchase Inventory") showing:
    a. Purchase price;
    b. Grant number;
    c. Name of item;
    d. Manufacturer's name;
    e. Serial number (if applicable);
    f. Acquisition history (purchase order, invoice, packing slip);
    g. Guarantee or warranty lapse date;
    h. Storage location;
    i. Unit price; and
    j. Additional costs, if any, for transportation, installation, and taxes, each as a separate item.
6. The Big Grant Purchase Inventory shall be updated annually, or at the expiration of the budget period, whichever occurs first.
7. All equipment and products purchased above $10,000 with grant funds should be American-made when possible.

8. DBH may inspect and reclaim all or part of the inventoried equipment within 12 weeks after the expiration of the grant.

Major and Unusual Incident (MUI/UI) Reporting

The Grantee shall adhere to the DBH Policy 480.1A, Reporting a Major Unusual Incident and an Unusual Incident, and any succeeding policy, for reporting major unusual incidents and unusual incidents to DBH. Specifically, the Grantee shall report by telephone or email each unusual incident or major unusual incident involving or affecting the Grantee's performance of the Grant award to the person identified as the Project Director within twenty-four (24) hours of the incident or learning of the incident. The initial report may be oral or by e-mail. The Grantee shall also communicate a full description of the unusual incident or major unusual incident in writing within five calendar (5) days after the initial report pursuant to the requirements of DBH Policy 480.1A. The Grantee shall not send any communication to DBH regarding an unusual incident or major unusual incident by fax.

An unusual incident is an event that is significantly different from the regular routine or established procedure that does not rise to the level of a major unusual incident (MUI). Examples include, but are not limited to, an injury, a traffic accident, a theft, of the firing or resignation of a principal staff member or contractor identified in the Application.

A major unusual incident (MUI) is an adverse event that can compromise the health, safety or welfare of persons; employee misconduct; fraud; and actions that are volatile of law or policy. Examples include, but are not limited to: unusual injury or death; unexplained absence of a client from a residence or program; physical, sexual, or verbal abuse of a client by staff or other clients; fire, theft, destruction of property, or sudden serious problems in the physical plant; complaints from families or visitors of clients; requests for information from the press, attorneys, or government officials outside of DBH; client behavior(s) requiring attention of staff not usually involved in their care; and/or any other unusual events that may require Project Director intervention.

Termination

In accordance with D.C. Code § 1–328.15a, the Grant, and the offer of the Grant, shall be subject to termination, in whole or in part, before the end of the Grant, only if:

a) The Grantee fails to comply with the terms or conditions of the Grant or applicable laws; or
b) DBH and the Grantee mutually determine that the continuation of the Grant would not produce beneficial results commensurate with the further expenditure of funds. Termination may be initiated:
    1) By DBH with the written consent of the Grantee, in which case the two parties shall agree upon the termination and, in the case of partial termination, the portion to be terminated; or

2) By the Grantee upon written request to the grantor setting forth the reasons for such termination, the effective date, and, in the case of partial termination, the portion to be terminated; provided, that the Grantor must provide written consent to the grantee's request to terminate the grant agreement.

Examples of failure to comply with terms or conditions of the Grant or applicable laws include:

a. Failure of the Grantee to follow District or applicable federal law, including statutes, rules and regulations;
b. Failure of the Grantee to carry out DBH's ordered grant remediation plan;
c. An ethics violation involving the Grant, pursuant to the ethical standards in the most recent version of the District Ethics Manual, published by the District's Board of Ethics and Government Accountability (bega.dc.gov), as of the date that the NOGA was sent;
d. Cessation of insurance coverage without replacement of similar coverage; or
e. Fraud, waste, or abuse.

Transition Plan for Continuity of Services

It is essential that continuity of services be maintained under this grant for the residents of the District of Columbia and applicable jurisdictions. Therefore, if the awarded grant expires or is terminated:

1. The Grantee shall cooperate with both the Project Director, and any successor Grantee to enable an efficient transition from one Grantee to another.
2. If the Grantee should cease services for any reason, the Grantee is required to develop a transition plan to ensure the appropriate referral of clients to other providers. A transitional plan must be developed and available for review by DBH within ten (10) business days upon determination that services will cease. Failure to provide this contingency plan will be deemed as non-compliance and could result in the termination of this grant, or other appropriate action.
3. DBH reserves the right to assume responsibility for services supported by the grant.
4. An acceptable transition plan will include, but not be limited to, the following:
    a. Identify providers and/or resources to ensure continued care for clients who receive services funded by this grant. These resources will be programs that are DBH and/or Medicaid approved;
    b. Develop a contingency plan with entities specifically stating what services will be provided;

c. Develop procedure for transfer to include:
    i. Notification to the client;
    ii. Name, address, and phone number of the receiving provider organization to which the client is being transferred;
    iii. Date the transfer will be effective;
    iv. Case summary reports to receiving provider organization;
    v. Method to ensure that clients who take medications have a sufficient supply to sustain them through the transfer period; and
    vi. Transfer of client files in accordance with Federal and District of Columbia laws and regulations, including but not limited to Health Insurance Portability and Accountability Act of 1996 (HIPAA) and the Mental Health Information Act (D.C. Code § 7-1201.01 *et seq.)*.

Unspent Funds

Funds provided under this Grant, but not spent to fulfill the terms of the Grant, shall be returned immediately to DBH either upon completion or termination of the Grant, or at the end of the Term of the Grant.

Accounting and Audits

1. The Grantee shall maintain an accounting system which conforms to generally-accepted accounting principles permitting an audit of all income and expenditures received or disbursed by the Grantee in the provision of services under the grant. Accounting records shall be supported by source documentation such as canceled checks, paid bills and payrolls.
2. The Grantee shall make provisions upon request, for inspection of financial records, including audited financial statements and tax returns, by DBH and/or its representative(s).
3. The Grantee shall assist, and shall require that its contractors, subcontractors, and sub-grantees assist, upon request, in the inspection and provision of financial records relevant to the Grant, including financial statements and tax returns. The Grantee shall seek such assistance from each vendor of a Big Grant Purchase.
4. At any time before final payment on this Grant, or the end of the District fiscal year in which the Grant ends, whichever is later, and for three (3) years thereafter, the District may audit the Grantee, its contractors, subcontractors, or sub-grantees. The District may, during this period, seek to audit vendors of Big Grant Purchases. If federal funds have been granted or sub-granted, a federal agency may undertake such audits. The

Grantee shall assist the District in obtaining the cooperation of its contractors, subcontractors and vendors in such audits.

i. If federal funds have been included in a DBH sub-grant, the Grantee is subject to the audit requirements of 2 CFR Part 200 Subpart F.

5. If a federal agency undertakes an audit of the Grantee in connection with the Grant, the Grantee shall make available to DBH all information that the audit requires, including information from its contractors, subcontractors, vendors, and sub-grantees.
6. The Grantee shall reimburse DBH for any cost or expenditure disallowed as a result of an audit, in accord with federal and District Law, including Title 22-A, D.C. Municipal Regulations, Chapter 44, Mental Health Grants
7. Financial records, supporting documents, statistical records, and all other records pertinent to a grant award must be retained for a period of three (3) years from the date of submission of the final expenditure report. Upon DBH's request, the Grantee must be able to produce for review the documentation, including for DBH audit or, if applicable, federal audit.
8. DBH, SAMHSA, the Inspectors General, the Comptroller General of the United States or any of their authorized representatives, must have the right of access to any documents, papers, or other records which are pertinent to the grant award in order to make audits, examinations, excerpts, and transcripts. The right also includes timely and reasonable access to the non-Federal entity's personnel for the purpose of interview and discussion related to such documents.
9. If a claim, litigation, or audit is filed or commenced before the expiration of the three-year period, the documentation retention period shall be tolled and documentation must be preserved until the claim, litigation, or audit has been finally resolved.
10. The Grantee shall secure the agreement to the provisions of this section in writing from a person subject to an audit requirement.

Reporting Requirements

1. The Grantee shall comply with the plan and schedule for the provision of data collection, narrative and statistical reporting for activities funded under the terms of the NOGA. Additional requirements for data collection, narrative reporting, performance specific to a given service program may be provided by the Project Director.
2. Required reports which discuss grant activities for the preceding quarter will be due on each of the following dates:
    a. Quarter 1 (October – December): January 30

b. Quarter 2 (January – March): April 30
c. Quarter 3 (April – June): July 30
d. Quarter 4 (July – September): October 30

In the event a due date falls on a weekend or District holiday, the report will be due on the next business day.

3. Data Collection – The Grantee shall obtain and maintain all hardware, software and training necessary to collect and report all required client, service and program data. Data shall be collected and submitted in formats and timelines provided by or approved by the Project Director/delegates.
4. Narrative Report – The Grantee will provide a brief narrative report for each service program supported under this agreement using formats and timelines provided by or approved by the Project Director or agents in accordance with the following terms:
    a. The narrative programmatic report must include a work plan status, indicating the extent to which established milestones have been accomplished during the reporting month, and identifying proposed revisions to the work plan to address problem areas.
    b. The narrative report will include:
        i. Implementation progress to date;
        ii. Discussion of any challenges to service delivery, including plans for addressing them;
        iii. Any change in personnel supported by the grant in this service program;
        iv. A thorough description of any waitlist for the service program, including the number of clients on the wait list, the average length of time for clients on the wait list and the longest period for any client currently on the wait list;
        v. A discussion of the reasons for any significant under- or over-expenditure of funds budget relative to expected expenditure to date for any line item in the budget, along with a plan to address the under- or over-expenditure;
        vi. Progress towards implementation of any corrective action plan that is open;
        vii. A summary of quality assurance measures conducted on the delivery of services;
        viii. Current contact information for each staff person supported by this agreement, including name, title, mailing address, email address and telephone number; and
        ix. Request for technical assistance, if any.

Performance Monitoring and Corrective Action Plan

To ensure responsible oversight of the funded project and its implementation by the Grantee, and to provide cooperative technical support for the Grantee, DBH shall:

1. Monitor the performance of the Grantee in the implementation of the funded program in accordance with the terms of the NOGA and the approved monitoring plan.
2. Assign a staff person to monitor the project. The Project Director or designee shall review all written policies and procedures applicable to the project, review all monthly reports, conduct site inspections, and hold periodic conferences with the Grantee to assess the Grantee's performance in meeting the requirements of the Grantee agreement.
3. Assess the Grantee's performance with respect to the number of people receiving services, quality of services delivered, and the Grantee's ability to deliver services according to the deadlines established in the NOGA.
4. Monitor performance by identifying the any instance where the Grantee falls 25% behind (during any one month) in client or service units which they were to provide under the grant.
5. Once the deficiency is identified, DBH will develop, in collaboration with the Grantee, a corrective action plan (CAP) to remedy the program deficiencies. If the Grantee fails to correct the deficiencies in the time prescribed by the DBH-approved CAP, DBH shall take appropriate action, including termination of the grant.
6. Conduct an evaluation of program effectiveness for each service-area based on criteria approved by the Project Director or his/her designee.

Fiscal Performance and Corrective Action Plan

By the end of Quarter 2, but certainly no later than Q3 of the signing of the NOGA, all new and continuing Grantees shall receive a risk assessment.

In evaluating risks, DBH shall consider the following items described in 2 CFR 200.206(b)(2): (1) Financial stability, (2) Management systems and standards, (3) History of performance, (4) Audit reports and findings, and (5) Ability to effectively implement requirements.

The results of this review shall be shared by the Fiscal Monitor or designee. This will be repeated at the end of Q4 for grants that are ending (closeout). DBH may perform a complete grant fiscal compliance review to determine patterns and rates of expenditures.

If DBH identifies deficiencies, DBH may require that the Grantee undertake a CAP to improve and correct fiscal problems. If the Grantee fails to correct the deficiencies in the time prescribed by the DBH-approved CAP, DBH shall take appropriate action, including

termination of the grant.

Program Close-Out

1. Within ninety (90) days of termination or expiration of the Grant, the Grantee shall submit to the Project Director a final Programmatic Report and a final Expenditure Report, providing a year-end accounting of expenditures for the grant. The final Expenditure Report shall include:
    a. All costs paid by the Grantee in support of the activities of the grant.
    b. A summary of the cumulative obligation and disbursement of funds to sub-contractors.
    c. A financial statement from each sub-contractor identifying funds received and expended for each category of service.
2. The Grantee shall immediately any balance of unobligated cash advance that is not authorized to be retained for use on other grants.

Public Notification of Funding

When issuing statements, press releases, and request for proposals, bid solicitations and other documents describing projects or programs funded in whole or in part with Federal money, all Grantees shall clearly state the following:

1. The percentage of the total costs of the program or project which will be financed with federal funds;
2. The dollar amount of federal funds for the project or program; and
3. The percentage and dollar amount of the total costs of the project or program that will be financed by non-government sources.

Attribution Policy

All Grantees are required to identify their affiliation with DBH in all programs and services funded by DBH and administered by the DBH Administrative Unit. The usage includes, but is not limited to:

1. The incorporation of the current approved DBH logo/symbol with attribution statement on letterhead, newsletters, brochures, public service announcements, media publications, and all other forms of advertisement.
2. The clearly visible display of the DBH logo/symbol transparency at each Grantee's office, on their doors, or, near the entrances to all business offices, or and in reception areas, or other places of pubic business.
3. The clearly visible DBH logo/symbol with attribution statement at all functions and

events sponsored by the Grantee.

"This program is funded wholly, or in part, by the Government of the District of Columbia, Department of Behavioral Health, INSERT ADMINISTRATION."

4. Neither DBH nor Grantee will use the name of the other, or its employees, staff or students, either expressly or by implication, in any news, publicity release, or other fashion without the express written approval of the other party to this Agreement.
5. The Grantee is required to submit to the Project Director for review and approval prior to production all print and electronic media developed in conjunction with the grant and paid for directly from funding sources received from DBH. This includes: camera-ready copy for fliers, posters, brochures, newsletters, and other printed media; story boards and/or scripts for paid and public service advertising (radio or TV); videotapes, audiocassettes, DVDs, CDs, flash drives, questionnaires, and surveys. DBH reserves the right to disallow all payments relative to these materials if the Grantee is found in non-compliance with these guidelines.

Rights in Data and Other Information

1. If applicable, for the type of services provided under the Agreement, DBH retains ownership of all information produced pursuant to this Grant, including data regarding persons surveyed, interviewed, and/or counted, and any information regarding to whom services or things were provided.
2. To ensure the protection of persons' confidentiality and compliance with District law and policies regarding confidentiality, the Grantee shall not publish scientific or technical articles based on these data and/or information without DBH's prior written consent.
3. DBH will not unreasonably withhold consent to a request by Grantee for a nonexclusive license to use aggregated, non-confidential data, including for publication in professional and scientific journals and meetings.
4. Any research activity conducted under this Grant Agreement by the Grantee must have the prior approval and written consent of the Project Director. Applicable U.S. Department of Health and Human Services policies and federal regulations shall govern any research involving the use of human subjects. The Grantee shall review any research activities involving human subjects by designated Institutional Review Board (IRB) and to continue annual monitoring to assure compliance with

requirements for the protections of human subjects. At such time, a copy of HHS Form 596, "Protection of Human Subjects Assurances, Certification, Declaration," must be submitted to the Project Director.

5. The documents for this grant are public documents and may be disclosed under the District's Freedom of Information Act, D.C. Official Code §2-531-40. DBH shall have the right to disclose to a third party the identity of a person providing a service or good under this Grant and the terms of insurance obtained pursuant to this Grant.

Indemnification

The Grantee shall indemnify and hold harmless the District of Columbia and all of its officers, agents and servants against any and all claims of liability or lawsuits arising from or based on, or as a consequence of or result of, any act, omission or default of the Grantee, its employees or its subcontractors, in the performance of the Grant.

Waiver/Exception Requests

Requests for consideration of a special provision, waiver or exception to any term or condition can be sent to DBH Grants Management Office at dbh.grants@dc.gov; Subject Line: "Waiver Request". There is no guarantee that the final review and disposition by DBH would result in an exception or revision to the terms stated herein.

Insurance

1. Unless DBH waives insurance requirements in writing, the following are conditions in receipt of funds under the Grant:

   A. GENERAL REQUIREMENTS. The Grantee at its sole expense shall procure and maintain, during the entire period of performance under this contract, the types of insurance specified below. The Grantee shall have its insurance broker or insurance company submit a Certificate of Insurance to the Grant Manager giving evidence of the required coverage prior to commencing performance under this contract. In no event shall any work be performed until the required Certificates of Insurance signed by an authorized representative of the insurer(s) have been provided to, and accepted by, the Grant Manager. All insurance shall be written with financially responsible companies authorized to do business in the District of Columbia or in the jurisdiction where the work is to be performed and have an A.M. Best Company rating of A-/VII or higher. Should the Grantee decide to engage a contractor/vendor for segments of the work under this contract, then, prior to commencement of work by the contractor/vendor, the Grantee shall submit in writing the name and brief description of work to be performed by the contractor/vendor on the Contractor/vendors Insurance Requirement Template provided by the Grant Manager, to the Office of Risk Management (ORM). ORM will determine the insurance requirements applicable to the contractor/vendor and

promptly deliver such requirements in writing to the Grantee and the Grant Manager. The Grantee must provide proof of the contractor/vendor's required insurance to prior to commencement of work by the contractor/vendor. If the Grantee decides to engage a contractor/vendor without requesting from ORM specific insurance requirements for the contractor/vendor, such contractor/vendor shall have the same insurance requirements as the Grantee.
All required policies shall contain a waiver of subrogation provision in favor of the Government of the District of Columbia.

The Government of the District of Columbia shall be included in all policies required hereunder to be maintained by the Grantee and its contractor/vendors (except for workers' compensation and professional liability insurance) as an additional insureds for claims against The Government of the District of Columbia relating to this contract, with the understanding that any affirmative obligation imposed upon the insured Grantee or its contractor/vendors (including without limitation the liability to pay premiums) shall be the sole obligation of the Grantee or its contractor/vendors, and not the additional insured. The additional insured status under the Grantee's and its contractor/vendors' Commercial General Liability insurance policies shall be effected using the ISO Additional Insured Endorsement form CG 20 10 11 85 (or CG 20 10 07 04 **and** CG 20 37 07 04) or such other endorsement or combination of endorsements providing coverage at least as broad and approved by the Grant Manager in writing. All of the Grantee's and its contractor/vendors' liability policies (except for workers' compensation and professional liability insurance) shall be endorsed using ISO form CG 20 01 04 13 or its equivalent so as to indicate that such policies provide primary coverage (without any right of contribution by any other insurance, reinsurance or self-insurance, including any deductible or retention, maintained by an Additional Insured) for all claims against the additional insured arising out of the performance of this Statement of Work by the Grantee or its contractor/vendors, or anyone for whom the Grantee or its contractor/vendors may be liable. These policies shall include a separation of insureds clause applicable to the additional insured.

If the Grantee and/or its contractor/vendors maintain broader coverage and/or higher limits than the minimums shown below, the District requires and shall be entitled to the broader coverage and/or the higher limits maintained by the Grantee and contractor/vendors.

i. Commercial General Liability Insurance ("CGL") - The Grantee shall provide evidence satisfactory to the Grant Manager with respect to the services performed that it carries a CGL policy, written on an occurrence (not claims-made) basis, on Insurance Services Office, Inc. ("ISO") form CG 00 01 04 13 (or another occurrence-based form with coverage at least as broad and approved by the Grant Manager in writing), covering liability for all ongoing and completed operations of

the Grantee, including ongoing and completed operations under all subcontracts, and covering claims for bodily injury, including without limitation sickness, disease or death of any persons, injury to or destruction of property, including loss of use resulting therefrom, personal and advertising injury, and including coverage for liability arising out of an Insured Contract (including the tort liability of another assumed in a contract) and acts of terrorism (whether caused by a foreign or domestic source). Such coverage shall have limits of liability of not less than $1,000,000 each occurrence, a $2,000,000 general aggregate (including a per location or per project aggregate limit endorsement, if applicable) limit, a $1,000,000 personal and advertising injury limit, and a $2,000,000 products-completed operations aggregate limit including explosion, collapse and underground hazards.

ii. Automobile Liability Insurance - The Grantee shall provide evidence satisfactory to the Grant Manager of commercial (business) automobile liability insurance written on ISO form CA 00 01 10 13 (or another form with coverage at least as broad and approved by the Grant Manager in writing) including coverage for all owned, hired, borrowed and non-owned vehicles and equipment used by the Grantee, with minimum per accident limits equal to the greater of (i) the limits set forth in the Grantee's commercial automobile liability policy or (ii) $1,000,000 per occurrence combined single limit for bodily injury and property damage.

iii. Workers' Compensation Insurance - The Grantee shall provide evidence satisfactory to the Grant Manager of Workers' Compensation insurance in accordance with the statutory mandates of the District of Columbia or the jurisdiction in which the contract is performed.

iv. Employer's Liability Insurance - The Grantee shall provide evidence satisfactory to the Grant Manager of employer's liability insurance as follows: $500,000 per accident for injury; $500,000 per employee for disease; and $500,000 for policy disease limit. All insurance required by this paragraph 3 shall include a waiver of subrogation endorsement for the benefit of Government of the District of Columbia.

v. Cyber Liability Insurance - The Grantee shall provide evidence satisfactory to the Grant Manager of Cyber Liability Insurance, with limits not less than $2,000,000 per occurrence or claim, $2,000,000 aggregate. Coverage shall be sufficiently broad to respond to the

duties and obligations as is undertaken by Grantee in this agreement and shall include, but not limited to, claims involving infringement of intellectual property, including but not limited to infringement of copyright, trademark, trade dress, invasion of privacy violations, information theft, damage to or destruction of electronic information, release of private information, alteration of electronic information, extortion and network security. The policy shall provide coverage for breach response costs as well as regulatory fines and penalties as well as credit monitoring expenses with limits sufficient to respond to these obligations. This insurance requirement will be considered met if the general liability insurance includes an affirmative cyber endorsement for the required amounts and coverages.

vi. Professional Liability Insurance (Errors & Omissions) - The Grantee shall provide Professional Liability Insurance (Errors and Omissions) to cover liability resulting from any error or omission in the performance of professional services under this Contract. The policy shall provide limits of $1,000,000 per claim or per occurrence for each wrongful act and $2,000,000 annual aggregate. The Grantee warrants that any applicable retroactive date precedes the date the Grantee first performed any professional services for the Government of the District of Columbia and that continuous coverage will be maintained or an extended reporting period will be exercised for a period of at least ten years after the completion of the professional services.

vii. Sexual/Physical Abuse & Molestation - The Grantee shall provide evidence satisfactory to the Grant Manager with respect to the services performed that it carries $1,000,000 per occurrence limits; $2,000,000 aggregate of affirmative abuse and molestation liability coverage. Coverage should include physical abuse, such as sexual or other bodily harm and non-physical abuse, such as verbal, emotional or mental abuse; any actual, threatened or alleged act; errors, omission or misconduct. This insurance requirement will be considered met if the general liability insurance includes an affirmative sexual abuse and molestation endorsement for the required amounts. So called “silent” coverage under a commercial general liability or professional liability policy will not be acceptable.

viii. Commercial Umbrella or Excess Liability - The Grantee shall provide evidence satisfactory to the Grant Manager of commercial umbrella or excess liability insurance with minimum limits equal to the greater of

(i) the limits set forth in the Grantee's umbrella or excess liability policy or (ii) $2,000,000 per occurrence and $2,000,000 in the annual aggregate, following the form and in excess of all liability policies. **All** liability coverages must be scheduled under the umbrella and/or excess policy. The insurance required under this paragraph shall be written in a form that annually reinstates all required limits. Coverage shall be primary to any insurance, self-insurance or reinsurance maintained by the District and the "other insurance" provision must be amended in accordance with this requirement and principles of vertical exhaustion.

B. PRIMARY AND NONCONTRIBUTORY INSURANCE. The insurance required herein shall be primary to and will not seek contribution from any other insurance, reinsurance or self-insurance including any deductible or retention, maintained by the Government of the District of Columbia.

C. DURATION. The Grantee shall carry all required insurance until all contract work is accepted by the District of Columbia and shall carry listed coverages for ten years for construction projects following final acceptance of the work performed under this contract and two years for non-construction related contracts.

D. LIABILITY. These are the required minimum insurance requirements established by the District of Columbia. However, the required minimum insurance requirements provided above will not in any way limit the Grantee's liability under this contract.

E. GRANTEE'S PROPERTY. Grantee and contractor/vendors are solely responsible for any loss or damage to their personal property, including but not limited to tools and equipment, scaffolding and temporary structures, rented machinery, or owned and leased equipment. A waiver of subrogation shall apply in favor of the District of Columbia.

F. MEASURE OF PAYMENT. The District shall not make any separate measure or payment for the cost of insurance and bonds. The Grantee shall include all of the costs of insurance and bonds in the contract price.

G. NOTIFICATION. The Grantee shall ensure that all policies provide that the Grant Manager shall be given thirty (30) days prior written notice in the event of coverage and/or limit changes or if the policy is canceled prior to the expiration date shown on the certificate. The Grantee shall provide the Grant Manager with ten (10) days prior written notice in the event of non-payment of premium. The Grantee will also

provide the Grant Manager with an updated Certificate of Insurance should its insurance coverages renew during the contract.

H. CERTIFICATES OF INSURANCE. The Grantee shall submit certificates of insurance giving evidence of the required coverage as specified in this section prior to commencing work. Certificates of insurance must reference the corresponding contract number. Evidence of insurance must be submitted to the:

Enterprise Grants Management System
The Government of the District of Columbia

And mailed to the attention of:
(Name of Grant Manager/Agency)
(Address)
(Phone Number)
(E-mail Address)

The Grant Manager may request and the Grantee shall promptly deliver updated certificates of insurance, endorsements indicating the required coverages, and/or certified copies of the insurance policies. If the insurance initially obtained by the Grantee expires prior to completion of the contract, renewal certificates of insurance and additional insured and other endorsements shall be furnished to the Grant Manager prior to the date of expiration of all such initial insurance. For all coverage required to be maintained after completion, an additional certificate of insurance evidencing such coverage shall be submitted to the Grant Manager on an annual basis as the coverage is renewed (or replaced).

I. DISCLOSURE OF INFORMATION. The Grantee agrees that the District may disclose the name and contact information of its insurers to any third party which presents a claim against the District for any damages or claims resulting from or arising out of work performed by the Grantee, its agents, employees, servants or contractor/vendors in the performance of this contract.

J. CARRIER RATINGS. All Grantee's and its contractor/vendors' insurance required in connection with this contract shall be written by insurance companies with an A.M. Best Insurance Guide rating of at least A- VII (or the equivalent by any other rating agency) and licensed in the District.

2. The Grantee shall require each Grant-related subcontractor or sub-grantee to carry the insurance required herein, or the Grantee may, at its option, provide the coverage for a subcontractor or sub-grantee.
3. Unless otherwise prohibited by law, each policy (excluding Workers' Compensation and Professional Liability, if applicable) shall:

a. Name the District as an additional insured with respect to work or services performed under the grant or sub-grant;
b. Provide that the insurance coverage provided thereunder will be primary and noncontributory with any other applicable insurance; and
c. Contain a waiver of subrogation in favor of the District of Columbia.

4. The requirements of this section shall not apply to an agency that provides one of the following:
    a. For an agency of the District of Columbia, a written statement that agency complies with the intent of the paragraph by requiring insurance for all activities not carried out by District employees; and
    b. For a non-District government agency, a written statement (a) that the agency is self-insured, (b) that the self-insurance is primary and non-contributory with any other insurance maintained by the District of Columbia, and (c) identifying the self-insurance fund.

Requests for Reconsideration of Certain DBH Decisions

In certain limited circumstances DBH provides the following procedure for an applicant to seek review or reconsideration of a grant-making decision:

1. **The Request for Reconsideration**
    a. When DBH decides to award a grant to a successful applicant, it will notify by e-mail each applicant whose application was not selected for award. At DBH's discretion this notification may include a statement regarding eligibility, a reviewer's evaluation and comments, or a summary. DBH will not identify the reviewer. If an unsuccessful applicant wishes to better understand the decision, the applicant may ask DBH's s Grants Management Office for further information. DBH may meet with the applicant, explain the decision, and may provide reviewer evaluation, comment, or a summary.
    b. An unsuccessful applicant may only ask DBH to reconsider its decision based on a material error in the determination of eligibility.
    c. If an unsuccessful applicant wishes DBH to reconsider the decision, the applicant must file a "Request for Reconsideration" in writing within seven (7) business days of the date of DBH's e-mail notification that an applicant did not receive an award. The filing should be addressed to the Department Director.
    d. A written Request for Reconsideration may be made by e-mail to the published e-mail address for the grant competition. A Request for

Reconsideration must include a concise statement of the reason(s) for the request, and all documentation and other evidence supporting the request.

2. **Department Response**
    a. A change to the award decision will be made only because of a material error in the determination of eligibility.
    b. The Department Director, or designee, will consider the Request for Reconsideration and the evidence provided.
    c. Ordinarily a decision will be issued within seven business (7) days of receipt of the Request for Reconsideration. The Director may extend that time to respond for good cause. Any such extensions will be communicated to the requester by e-mail at the address included on the Grant Application.
    d. The Director may halt the award of the grant while the Request for Reconsideration is pending.
    e. After reconsideration, the Director will inform the requestor in writing of the determination.
    f. If the Director determines that a valid basis for a change to the award exists, the Director may:
        i. Reopen the grant application process, in whole or in part;
        ii. Revise or revoke an award; or
        iii. Take other appropriate action to address an error.

3. **Effect of the award**

Unless DBH states otherwise in writing, either (i) seven (7) business days after a grant award's announcement, or (ii) upon affirmation of a grant award after considering a Request for Reconsideration, a grant award shall be considered final action by DBH.

Attachment 2 – Assurances, Certifications and Disclosures

ASSURANCES, CERTIFICATIONS & DISCLOSURES

This section includes certifications, assurances and disclosures made by the authorized representative of the Applicant/Grantee organization. These assurances and certifications reflect requirements for recipients of local and pass-through federal funding. By signing below, the Applicant/Grantee certifies that the information provided is accurate, and that the organization will adhere to the following terms and conditions, statutes and regulations in their entirety

A. Applicant/Grantee Representations

- The Applicant/Grantee has provided the individuals, by name, title, address, email, and phone number who are authorized to negotiate with the Department of Behavioral Health on behalf of the organization;
- The Applicant/Grantee is able to maintain adequate files and records and will meet all reporting requirements as stated in the grant documentation;
- All fiscal records are kept in accordance with Generally Accepted Accounting Principles (GAAP) and account for all funds, tangible assets, revenue, and expenditures whatsoever; all fiscal records are accurate, complete and current at all times; and these records will be made available for audit and inspection as required by the grant documentation and all applicable District of Columbia and Federal laws and regulations;
- The Applicant/Grantee is current on payment of all federal and District taxes, including Unemployment Insurance taxes and Workers' Compensation premiums. This statement of certification shall be accompanied by a certificate from the District of Columbia OTR stating that the entity has complied with the filing requirements of District of Columbia tax laws and is current on all payment obligations to the District of Columbia, or is in compliance with any payment agreement with the Office of Tax and Revenue;
- The Applicant/Grantee has the administrative and financial capability to provide and manage the proposed services and ensure an adequate administrative, performance and audit trail;
- If required by DBH, the Applicant/Grantee is able to secure a bond, in an amount not less than the total amount of the funds awarded, against losses of money and other property caused by a fraudulent or dishonest act committed by Applicant/Grantee or

any of its employees, board members, officers, partners, shareholders, or trainees; and,

- The Applicant/Grantee is not proposed for debarment or presently debarred, suspended, or declared ineligible, as required by Executive Order 12549, "Debarment and Suspension," and implemented by 2 CFR 180, for prospective participants in primary covered transactions and is not proposed for debarment or presently debarred as a result of any actions by the District of Columbia Contract Appeals Board, the Office of Contracting and Procurement, or any other District contract regulating Agency;
- The Applicant/Grantee has the resources and expertise necessary to perform the grant, or, has the ability to obtain such through submitted and approved sub-grants;
- The Applicant/Grantee has the ability to comply with the required or proposed delivery or performance schedule, taking into consideration all existing and reasonably expected commercial and governmental business commitments;
- The Applicant/Grantee has a satisfactory record of performing similar activities as detailed in the award or, if the grant award is intended to encourage the development and support of organizations without significant previous experience, has otherwise established that it has the skills and resources necessary to perform the services required by this Grant;
- The Applicant/Grantee has a satisfactory record of integrity and business ethics;
- The Applicant/Grantee either has the necessary organization, experience, accounting and operational controls, and technical skills to implement the grant, or the ability to obtain them;
- The Applicant/Grantee is in compliance with the applicable District licensing and tax laws and regulations;
- The Applicant/Grantee is in compliance with the Drug-Free Workplace Act and any regulations promulgated thereunder;
- The Applicant/Grantee meets all other qualifications and eligibility criteria necessary to receive an award;
- The Applicant/Grantee agrees to indemnify, defend and hold harmless the Government of the District of Columbia and its authorized officers, employees, agents and volunteers from any and all claims, actions, losses, damages, and/or liability arising out of or related to this grant including the acts, errors or omissions of any person and for any costs or expenses incurred by the District on account of any

claim therefrom, except where such indemnification is prohibited by law;

- Consistent with 2 CFR § 200.113, the Applicant/Grantee must disclose in a timely manner, in writing to the SAMHSA, and the United States Department of Health and Human Services (HHS) Office of Inspector General (OIG) all information related to violations of federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the federal award. Disclosures must be sent in writing to SAMHSA and to the HHS OIG at the following addresses:

  SAMHSA
  Attention: Office of Financial Advisory Services
  560 Fishers Lane
  Rockville, MD 20857

  AND

  U.S. Department of Health and Human Services
  Office of Inspector General
  ATTN: Mandatory Grant Disclosures, Intake Coordinator
  Independence Avenue, SW, Cohen Building
  Room 5527
  Washington, DC 20201

  Fax: (202) 205-0604 (Include "Mandatory Grant Disclosures" in subject line) or email: MandatoryGranteeDisclosures@oig.hhs.gov

  - Failure to make required disclosures can result in any of the remedies described in 2 CFR § 200.339, "Remedies for Noncompliance" including suspension and disbarment (*See* 2 CFR Parts 180 and 376 and 31 U.S.C. 3321).

- The Applicant/Grantee certifies that it will comply with the non-procurement and debarment regulations implementing Executive Orders 12549 and 12689, 2 CFR parts 376, and 2 CFR § 200.214. These regulations restrict awards, sub-awards and contracts with parties that are debarred suspended or otherwise excluded from or ineligible from participation in federal assistance programs or activities. A list of federally excluded health care programs can be found at: (http://exclusions.oig.hhs.gov/). The D.C. Excluded Parties List can be found at (https://ocp.dc.gov/page/excluded-parties-list).
- The Applicant/Grantee certifies that it will comply with drug free workplace requirements in Subpart B (or Subpart C of the recipient is an individual) of part 382, which adopts the Government wide implementation (2 CFR part 182) of section 5152-5158 of the Drug-

Free Workplace Act of 1988 (Pub. L. 100-690, Title .S.C. 701-V, Subtitle D; 41 U.S.C. 701-707);

- The Applicant/Grantee certifies that it will comply with all federal and District whistleblower statutes and regulations, including but not limited to 10 U.S.C. §§ 2324, 2409, and 41 U.S.C. §§ 4304, 4310, 4712; and
- In accordance with the United States Supreme Court decisions in *United States v. Windsor* and in *Obergfell v. Hodges,* the Applicant/Grantee must treat as valid the marriages of same-sex couples.

B. Statutory and Regulatory Assurances and Certifications

The Applicant/Grantee shall comply with all applicable District and federal statutes and regulations, including, but not limited to, the following:

- The Americans with Disabilities Act of 1990, Pub. L. 101-336, July 26, 1990; 104 Stat. 327 (42 U.S.C. 12101 *et seq.*);
- Rehabilitation Act of 1973, Pub. L. 93-112, Sept. 26, 1973; 87 Stat. 355 (29 U.S.C.701 *et seq.*);
- The Hatch Act, Ch. 314, 24 Stat. 440 (5 U.S.C. 1501; 7321 *et seq.*;) D.C. Law 20-4, D.C. Official Code § 1-1171 *et seq.;* D.C. Law 19-124; D.C. Official Code § 1-1161.01;
- The Fair Labor Standards Act, Ch. 676, 52 Stat. 1060 (29 U.S.C. 201 *et seq.*);
- The Clean Air Act Pub. L. 108-201, February 24, 2004; 42 USC 85 *et seq.*);
- The Occupational Safety and Health Act of 1970, Pub. L. 91-596, Dec. 29, 1970; 84 Stat. 1590 (29 U.S.C. 651 *et seq.*);
- The Hobbs Act (Anti-Corruption), ch. 537, 60 Stat. 420 (18 U.S.C. § 1951);
- Equal Pay Act of 1963, Pub. L. 88-38, June 10, 1963; 77 Stat. 56 (29 U.S.C. 201);
- Age Discrimination Act of 1975, Pub. L. 94-135, Nov. 28, 1975; 89 Stat. 728 (42 U.S.C. 6101 et. seq.);
- Age Discrimination in Employment Act, Pub. L. 90-202 § 2, Dec. 15, 1967; 81 Stat. 602 (29 U.S.C. 621 *et seq.*);
- Military Selective Service Act of 1973, Pub. L. 92-129, July 1, 1973, 85 Stat. 358 (50 U.S.C. 460);
- Title IX of the Education Amendments of 1972, Pub. L. 92-318, June 23, 1972; 86 Stat. 235, (20 U.S.C. 1001);

- Immigration Reform and Control Act of 1986, Pub. L. 99-603, Nov 6, 1986; 100 Stat. 3359, (8 U.S.C. 1101);
- Executive Order 12459 (Debarment, Suspension and Exclusion);
- Medical Leave Act of 1993, Pub. L. 103-3, Feb. 5, 1993, 107 Stat. 6 (5 U.S.C. 6381 et seq.);
- District of Columbia Human Rights Act of 1977 (D.C. Official Code § 2-1401.01 *et seq*.);
- District of Columbia Language Access Act of 2004, DC Law 15 - 414 (D.C. Official Code § 2-1931 *et seq*.), including the prohibition against sexual harassment found in 4 DCMR § 100 *et seq.*;
- Child and Youth, Safety and Health Omnibus Amendment Act of 2004, D.C. Law §15-353; D.C. Official Code § 4-1501.01 *et seq*..

C. Mandatory Disclosures

The Applicant/Grantee certifies that the information disclosed in the table below is true at the time of submission of the application for funding and at the time of award if funded. If the information changes, the Grantee shall notify the Project Director within 24 hours of the change in status. A duly authorized representative must sign the disclosure certification.

Covered Entity Disclosure: During the two-year period preceding the execution of the attached Agreement, were any key personnel or agents of the Applicant/Grantee/Recipient organization, a candidate for public office, or, a contributor to a campaign of a person who is a candidate for public office as defined in Section 1092(3) of the "Grant Administration Amendment Act of 2015," effective October 22, 2015 (D.C. Law 21-36; D.C Official Code 1-328.11(3))?	☐ **YES** ☐ **NO**
Are any of the aforementioned personnel presently or anticipate becoming a candidate for public office, or a contributor to a campaign of a person who is a candidate for public office, as defined in Section 1092(3) of the "Grant Administration Amendment Act of 2015," effective October 22, 2015 (D.C. Law 21-36; D.C Official Code 1-328.11(3))?	☐ **YES** ☐ **NO**
The Applicant/Grantee Organization must report the names and total compensation of its five (5) most highly compensated officers during the preceding fiscal year if it:	☐ **YES** ☐ **NO**

1) Received eighty (80) percent or more of its annual gross revenues in federal grants, sub-awards, contracts and subcontracts; and 2) Received $25,000.00 or more in annual gross revenues from federal grants, sub-awards, contracts and subcontracts; and 3) Had gross income, from all sources, of $300,000.00 or more; and 4) The public does not have access to this information through periodic reports filed under Section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. §§78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. _____ _____ _____ _____ _____	
The Applicant/Grantee organization has a federally-negotiated Indirect Cost Rate Agreement. If yes, insert issue date for the IDCR: _____ If yes, insert the name of the cognizant federal agency? _____	☐ **YES** ☐ **NO**
No key personnel or agent of the Applicant/Grantee organization who will participate directly, extensively and substantially in the request for funding (i.e., application), pre-award negotiation or the administration or management of the funding is currently in violation of federal and local criminal laws involving fraud, bribery or gratuity violations potentially affecting the DBH award.	☐ **YES** ☐ **NO**

_____

Signature

_____ _____

Name and Title Date

Attachment 3 – Program Income and Financial Disclosure

PROGRAM INCOME AND FINANCIAL DISCLOSURE

What is Program Income?

Program income means gross income earned by the non-Federal entity that is directly generated by a supported activity earned as a result of the Federal award during the period of performance. Program income includes but is not limited to income from fees for services performed, the use or rental or real or personal property acquired under Federal awards, the sale of commodities or items fabricated under a Federal award, license fees and royalties on patents and copyrights, and principal and interest on loans made with Federal award funds. Interest earned on advances of Federal funds is not program income.

The Department of Behavioral Health (DBH) requires sub-grantees to identify and document program income on projects/services. The nature of this income must be appropriately documented and the resulting revenue properly recorded. All sub-grantees should be aware of how program income will be used and reported due to a possible impact on the scope of work of the award.

Program income must be utilized in a manner that is allocable, allowable, and reasonable to the project. Expenses that are unallowable on the main project are also unallowable on the program income account.

The DBH Fiscal Monitor will review all budgets and budget modifications and flag any activity/service that has a potential to generate income with the Project Director and sub-grantee. Any flagged activity/service will be reviewed by the fiscal monitor and project director monthly, no less than quarterly with the sub-grantee.

Procedure for Monitoring Program Income:

- Sub-grantee identifies program income activity/service.
- Program income account is established by the sub-grantee.
- Revenue is received and deposited into the program income account.
- The sub-grantee certifies receipt of program income to Fiscal Monitor and Project Director through DBH Program Income Reporting Worksheet monthly, no less than quarterly.
- Fiscal monitor reviews the Income Reporting Worksheet and supporting documentation with the Project Director. Reconciliation is performed with supporting documentation and DBH data systems.
- DBH reports to applicable Federal agency a summary of all sub-grantees that accrued program income and the amount.

PROGRAM INCOME AND FINANCIAL DISCLOSURE

I _____, am an authorized representative of _____, an organization in receipt of a sub-grant from the Department of Behavioral Health (DBH) funded in whole or part by the Substance Abuse and Mental Health Services Administration (SAMHSA).

Pursuant to 2 CFR § 200.1, the organization in receipt of the sub-grant is (please select one):

_____ **A nonprofit organization**. A non-profit organization means any organization that: (1) Is operated primarily for scientific, educational, service, charitable, or similar purposes in the public interest; (2) Is not organized primarily for profit; (3) Uses net proceeds to maintain, improve, or expand the organization's operations; and (4) Is not an IHE. I certify that the organization will comply with all statutes and regulations related to program income, including but not limited to 2 CFR § 200.307. I further certify that I will any program income earned as a result of this grant on all invoices submitted to DBH.

_____**A For-profit organization**. Generally means an organization or entity organized for the purpose of earning a profit. The term includes but is not limited to: (1) An "S corporation" incorporated under subchapter S of the Internal Revenue Code; (2) A corporation incorporated under another authority; (3) A partnership; (4) A limited liability company or partnership; and (5) A sole proprietorship. I certify that the organization will comply with all statutes and regulations related to program income, including but not limited to 2 CFR § 300.218. I further certify that I will report any program income earned as a result of this grant on all invoices submitted to DBH.

The person whose signature appears below is authorized to sign this assurance and commit the Applicant/Grantee to the above provisions.

_____

Signature

_____ _____

Name and Title Date

Attachment 4 – DC Contribution and Solicitation Certification

DISTRICT OF COLUMBIA CONTRIBUTION AND SOLICITATION CERTIFICATION

I _____, am an authorized representative of _____, an organization in receipt of a sub-grant from the Department of Behavioral Health valued at $100,000.00 or more ("the organization"). Pursuant to D.C. Code § 1-328.15, I hereby certify under penalty of perjury to the best of my knowledge after due diligence that:

1. The organization has not made a contribution or solicitation for contribution to any of the following within one (1) year beginning on the date the contribution or solicitation for contribution was made and continuing for one (1) year after the general election for which the contribution or solicitation for contribution was made, whether or not the contribution was made before the primary election:
    a. An elected District official who is or could be involved in influencing or approving the award of a grant;
    b. A candidate for elective District office who is or could be involved in influencing or approving the award; or
    c. A political committee affiliated with a District candidate or elected District official described in subparagraphs (a) or (b).

2. The organization has not made a contribution to any of the following within eighteen (18) months beginning on the date the contribution or solicitation for contribution was made and continuing for eighteen (18) months after that date:
    a. A constituent-service program or fund, or substantially similar entity, controlled, operated or managed by:
        i. An elected District official who is or could be involved in influencing or approving the award of a grant;
        ii. A person under the supervision, direction or control of an elected District official who is or could be involved in influencing or approving the award of a grant.
    b. A political party; or
    c. An entity or organization:
        i. That a candidate or elected District official described in section 1(a), (b) or a member of his or her immediate family controls; or
        ii. In which a candidate or elected District official described in section 1(a), (b) has an ownership interest of 10% or more.

☐ Please check if this is not applicable to your organization.

_____ _____

Signature Name and Title

Date_____

FEDERAL ASSURANCES AND CERTIFICATIONS

ASSURANCE OF COMPLIANCE WITH TITLE VI OF THE CIVIL RIGHTS ACT OF 1964, SECTION 504 OF THE REHABILITATION ACT OF 1973, TITLE IX OF THE EDUCATION AMENDMENTS OF 1972, THE AGE DISCRIMINATION ACT OF 1975, AND SECTION 1557 OF THE AFFORDABLE CARE ACT.

The Applicant/Grantee provides this assurance in consideration of and for the purpose of obtaining a sub-grant funded in whole or part by U.S. Department of Health and Human Services (HHS).

THE APPLICANT/GRANTEE HEREBY AGREES THAT IT WILL COMPLY WITH:

1. Title VI of the Civil Rights Act of 1964 (Pub. L 88—352), as amended, and all requirements imposed by or pursuant to HHS Regulation (45 CFR Part 80), to the end that, accordance with Title VI of that Act and the Regulation, no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the Applicant/Grantee receives a sub-grant funded in whole or part by HHS.

2. Section 504 of the Rehabilitation Act of 1973 (Pub. L. 93-112), as amended, and all requirements imposed by or pursuant to HHS Regulation (45 CFR Part 84), to the end that, in accordance with Section 504 of that Act and the Regulation, no otherwise qualified individual with a disability in the United States shall, solely by reason of her or his disability, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity for which the Applicant/Grantee receives a sub-grant funded in whole or part by HHS.

3. Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. 1681 et seq., including the requirements set forth in Presidential Executive Order 14168 titled Defending Women From Gender Ideology Extremism and Restoring Biological Truth to the Federal Government, and Title VI of the Civil Rights Act of 1964, 42 U.S.C. 2000d et seq., and Recipient will remain compliant for the duration of the agreement.

   The above requirements are conditions of payment that go the essence of the agreement and are therefore material terms of the agreement.

   Payments under the agreement are predicated on compliance with the above requirements, and therefore, subject to applicable law, the recipient is not eligible to retain any funding under the agreement absent compliance with the above requirements.

Recipient acknowledges that this certification reflects a change in the governments position regarding the materiality of the foregoing requirements and therefore any prior payment of similar claims does not reflect the materiality of the foregoing requirements to this agreement.

Recipient acknowledges that a knowing false statement relating to Recipients compliance with the above requirements and/or eligibility for the agreement may subject Recipient to liability under the False Claims Act, 31 U.S.C. 3729, and/or criminal liability, including under 18 U.S.C. 287 and 1001.

4. The Age Discrimination Act of 1975 (Pub. L. 94-1350), as amended, and all requirements imposed by or pursuant to HHS Regulation (45 CFR Part 91), to the end that, in accordance with the Act and Regulation, no person in the United States shall, on the basis of age, be denied the benefits of, be excluded from participation in, or be subjected to discrimination under any program or activity for which the Applicant/Grantee receives a sub-grant funded in whole or part by HHS.

5. Section 1557 of the Affordable Care Act (Pub. L. 111-148), as amended, and all requirements imposed by or pursuant to HHS Regulation (45 CFR Part 92), to the end that, in accordance with Section 1557 and the Regulation, no person in the United States shall, on the ground of race, color, national origin, sex, age, or disability be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any health program or activity for which the Applicant/Grantee receives a sub-grant funded in whole or part by HHS.

   The Applicant/Grantee agrees that compliance with this assurance constitutes a condition of continued receipt of a sub-grant funded in whole or part by HHS, and that is binding upon the Applicant/Grantee, its successors, transferees and assignees for the period during which the sub-grant is provided. If any real property or structure thereon is provided or improved with the aid of the HHS sub-grant provided to the Applicant/Grantee, this assurance shall obligate the Applicant/Grantee, or in the case of any transfer of such property, any transferee, for the period during which the real property or structure is used for a purpose for the sub-grant is extended or for another purpose involving the provision of similar services for benefits. If any personal property is so provided, this assurance shall obligate for the period during which it retains ownership or possession of the property. The Applicant/Grantee further recognizes and agrees that the United States shall have the right to seek judicial enforcement of this assurance.

ASSURANCES – NON-CONSTRUCTION PROGRAMS

NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for a grant and has the institutional, managerial and financial capability to ensure proper planning, management and completion of the project described in the application.

2. Will give DBH, the United States Department of Health and Human Services, the Comptroller General of the United States and any authorized representative access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.

3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.

4. Will initiate and complete the work within the applicable timeframe after receipt of approval of the awarding agency.

5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 CFR 900, Subpart F).

6. Will comply with all Federal statues relating to nondiscrimination. These include but are not limited to (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IC of the Educational Amendments of 1972, as amended (20 U.S.C. §§ 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse and alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§ 290 dd-3 and 290 ww-3) as amended, relating to the confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§ 3601 *et seq.)*, as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which the sub-grant is funded; and (j) the requirements of any other non-discrimination statutes which may apply to the application.

7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

8. Will comply, as applicable with the provisions of the Hatch Act (5 U.S.C. §§ 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a to 276a-7), the Copeland Act (40 U.S.C. § 276c and 18 U.S.C. §874) and the Contract Work Hours and Safety Standard Act (40 U.S.C. §§327-333), regarding la or standards for federally-assisted construction sub-agreements.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard are to participate in the program and too purchase flood insurance if the total cost of insurable construction and acquisition is $10,000 or more.

11. Will comply with environmental standards which may be prescribed pursuant to the following (a) institution of environmental quality control measures under the Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EP 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistence with the approved State management program developed under the Coastal Zone Management Act pf 1972 (16 U.S.C. §§ 1451 *et seq.)*; (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C §§ 7401 *et seq.);* (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).

12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 *et seq.)* related to protecting components or potential components of national wild and scenic rivers system.

13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic preservation Act of 1974 (16 U.S.C. §§ 469a-1 *et seq.)*.

14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development and related human activities supported by this award of assistance.

15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§b2131 *et seq.)* pertaining to the care, handling and treatment of warm blooded animals held for research, teaching or other activities supported by this award of assistance.

16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 *et seq.)* which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.

17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."

18. Will comply with all applicable requirements of all other federal laws, executive orders, regulations and policies governing the program.

19. The Trafficking Victims Protection Act of 2000 **(**22 U.S.C. § 7104(g)), as amended, and 2 CFR Part 175 authorizes termination of financial assistance provided to a private entity, without penalty to the Federal government, if the recipient or subrecipient engages in certain activities related to trafficking in persons. SAMHSA may unilaterally terminate this award, without penalty, if a private entity recipient, or a private entity subrecipient, or their employees:
a) Engage in severe forms of trafficking in persons during the period of time that the award is in effect;
b) Procure a commercial sex act during the period of time that the award is in effect;
c) Use forced labor in the performance of the award or subawards under the award; or

d) Acts that directly support or advance trafficking in persons.

The text of the full award term is available at 2 CFR Part 175, Appendix A. See https://www.ecfr.gov/current/title-2/subtitle-A/chapter-I/part-175/appendix-Appendix%20A%20to%20Part%20175

LIST OF CERTIFICATIONS

1. CERTIFICATION REGARDING LOBBYING

Title 31, United States Code, Section 1352, entitled "Limitation on use of appropriated funds to influence certain Federal contracting and financial transactions," generally prohibits recipients of Federal grants and cooperative agreements from using Federal (appropriated) funds for lobbying the Executive or Legislative Branches of the Federal

Government in connection with a SPECIFIC grant or cooperative agreement. Section 1352 also requires that each person who requests or receives a Federal grant or cooperative agreement must disclose lobbying undertaken with non-Federal (non-appropriated) funds. These requirements apply to grants and cooperative agreements EXCEEDING $100,000 in total costs (45 CFR Part 93). By signing, the Applicant/Grantee is providing certification set out in Appendix A to 45 CFR Part 93.

2. CERTIFICATION REGARDING PROGAM FRAUD CIVIL REMEDIES ACT (PFFCRA)

The undersigned (authorized official signing for the Applicant/Grantee organization) certifies that the statements herein are true, complete, and accurate to the best of his or her knowledge, and that he or she is aware that any false, fictitious, or fraudulent statements or claims may subject him or her to criminal, civil, or administrative penalties. The undersigned agrees that the applicant organization will comply with the Department of Health and Human Services terms and conditions of award if a grant is awarded as a result of this application.

3. CERTIFICATION REGARDING ENVIRONMENTAL TOBACCO SMOKE

Public Law 103-227, also known as the Pro-Children act of 1994 (Act), requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by an entity and used routinely or regularly for the provision of health, daycare, early childhood development services, education or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law also applies to children's services that are provided in indoor facilities that are constructed, operated, or maintained with such Federal funds. The law does not apply to children's services provided in private residence, portions of facilities used for inpatient drug or alcohol treatment, service providers whose sole source of applicable Federal funds is Medicare or Medicaid, or facilities where WIC coupons are redeemed.

Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to $1,000 for each violation and/or the imposition of an administrative compliance order on the responsible entity.

The authorized official signing for the Applicant/Grantee organization certifies that the Applicant/Grantee organization will comply with the requirements of the Act and will not allow smoking within any portion of any indoor facility used for the provision of services for children as defined by the Act. The applicant organization agrees that it will require that the language of this certification be included in any sub-awards which contain provisions for children's services and that all sub-recipients shall certify accordingly.

HHS strongly encourages all grant recipients to provide a smoke-free workplace and promote the non-use of tobacco products. This is consistent with the HHS mission to protect and advance the physical and mental health of the American people.

The person whose signature appears below is authorized to sign this assurance and commit the Applicant/Grantee to the above provisions.

_____

Signature

_____ _____

Name and Title Date

Attachment 6 – Special Terms of Award Funding

SPECIAL TERMS OF AWARD FUNDING

As a sub-recipient of Substance Abuse and Mental Health Services Administration (SAMHSA) grant funds, I certify that my agency/organization will comply with the following terms:

Grant funds may not be used to purchase, prescribe, or provide marijuana or treatment using marijuana. See, e.g., 2 CFR § 200.300 and 2 CFR § 300.300 (requiring HHS to ensure that Federal funding is expended in full accordance with U.S. statutory and public policy requirements); 21 U.S.C. 812(c)(10) and 841 (prohibiting the possession, manufacture, sale, purchase or distribution of marijuana).

SAMHSA recipients are strictly prohibited from using Federal funds, directly or indirectly, including through cost-sharing, matching funds, or subsequent reimbursement, to support so-called "harm reduction" or "safe consumption" efforts that facilitate illegal drug use.

Specifically, grant funds must not be used to purchase, distribute, or otherwise support the provision of drug paraphernalia as defined by applicable law. This includes, but is not limited to, syringes, needles, pipes, or other supplies used for the injection, inhalation, or ingestion of illicit drugs. Funds are also prohibited from being used for sterile water, saline, or ascorbic acid when intended to facilitate drug use. While these prohibitions are in effect, this does not preclude the use of grant funds for legally permissible supplies and activities that align with evidence-based practices, such as the provision of naloxone or nalmefene, fentanyl or other drug test strips, or the facilitation of referrals to treatment.

The person whose signature appears below is authorized to sign this assurance and commit the Applicant/Grantee to the above provisions.

_____

Signature

_____ _____

Name and Title Date

Attachment 7 – Tax Certification

DISTRICT OF COLUMBIA TAX CERTIFICATION

GOVERNMENT OF THE DISTRICT OF COLUMBIA
Office of the Chief Financial Officer
Office of Tax and Revenue

TAX CERTIFICATION AFFIDAVIT

THIS AFFIDAVIT IS TO BE COMPLETED ONLY BY THOSE WHO ARE REGISTERED TO CONDUCT BUSINESS IN THE DISTRICT OF COLUMBIA.

Date _____

Authorized Agent **Name of Organization/Entity** **Business Address (include zip code)** **Business Phone Number**	
Authorized Agent **Principal Officer Name and Title** **Square and Lot Information** **Federal Identification Number** **Contract Number** **Unemployment Insurance Account No.**	

I hereby authorize the District of Columbia, Office of the Chief Financial Officer, Office of Tax and Revenue to release my tax information to an authorized representative of the District of Columbia agency with which I am seeking to enter into a contractual relationship. I understand that the information released will be limited to whether or not I am in compliance with the District of Columbia tax laws and regulations solely for the purpose of determining my eligibility to enter into a contractual relationship with a District of Columbia agency. I further authorize that this consent be valid for one year from the date of this authorization.

I hereby certify that I am in compliance with the applicable tax filing and payment requirements of the District of Columbia. The Office of Tax and Revenue is hereby authorized to verify the above information with the appropriate government authorities.

Signature of Authorizing Agent _____ **Title** _____

The penalty for making false statement is a fine not to exceed $5,000.00, imprisonment for not more than 180 days, or both, as prescribed by D.C. Official Code §47-4106.

Office of Tax and Revenue, PO Box 37559, Washington, DC 20013

Attachment 8 – Sub-Grantee Single Audit Certification

SUB-GRANTEE SINGLE AUDIT CERTIFICATION

Title 2 Part 200 of the Code of Federal Regulations, Subpart F – Audit Requirements states that a non-federal entity that expends less than $1,000,000 during the non-federal entity's fiscal year in federal awards is exempt from federal audit requirements for that year. However, records must be available for review or audit by appropriate officials of the federal agency, pass-through entity (Department of Behavioral Health), and the Government Accountability Office (GAO). The sub-grantee hereby certifies that less than $1,000,000 has been expended in federal awards from all sources during the specified audit period.

Check the applicable box and complete the information below:

☐ No, less than $1,000,000 has been expended in federal awards from all sources during the specified audit period.

☐ Yes, more than $1,000,000 has been expended in federal awards from all sources during the specified audit period.

Exemption certification for fiscal year ending: _____

NOTE: The audit period is the organization's fiscal or calendar year to be audited. Please include the month, day and year for "beginning" and "ending" period (Example – beginning: January 1, 2024 and ending December 31, 2024).

Audit Period Beginning:	**Ending:**
Total Amount of Federal Funds Expended: $	
Sub recipient:	
Organization Representative Name:	
Organization Address:	
Email:	
Telephone:	
Authorized Representative Signature:	

For non-profits and Community Based Organizations (CBOs), the certification must be signed by the Chairperson of the Board of Directors.

Attachment 9 – DBH Grant Terms and Conditions

DBH GRANT TERMS AND CONDITIONS

_____, an Applicant/Grantee for a grant/sub-grant with the Department of Behavioral Health (DBH) acknowledges receipt of the DBH Grant Terms and Conditions. The Applicant/Grantee organization agrees to be bound by the DBH Grant Terms and Conditions in their entirety if selected for funding.

Applicants/Grantees of sub-grants funded in whole or part by the Substance Abuse and Mental Health Services Administration (SAMHSA) also agree to be bound by the SAMHSA Grant Award Standard Terms and the United States Department of Health and Human Services (HHS) Grants Policy Statement.

The person whose signature appears below is authorized to sign this assurance and commit the Applicant/Grantee to the above provisions.

_____

Signature

_____ _____

Name and Title Date

Attachment 10 – Special Terms of State Opioid Response Funding

ATTACHMENT SPECIAL TERMS OF STATE OPIOID RESPONSE FUNDING

As a sub-recipient of State Opioid Response (SOR) Grant funds, I certify that my agency/organization _____ will comply with the following terms:

SOR grant funds must be used to fund prevention, overdose prevention, treatment, and recovery support services and evidence-based practices that are appropriate for the population(s) of focus.

SOR funds shall not be utilized for services that can be supported through other accessible sources of funding such as other federal discretionary and formula grant funds, e.g., HHS (CDC, CMS, HRSA, and SAMHSA), DOJ (OJP/BJA) and non-federal funds, third party insurance, and sliding scale self-pay, among others.

SOR funds for treatment and recovery support services shall only be utilized to provide services to individuals that specifically address opioid or stimulant misuse issues. If either an opioid or stimulant misuse problem (history) exists concurrently with other substance use, all substance use issues may be addressed. Individuals who have no history of or no current issues with opioids or stimulants misuse shall not receive treatment or recovery services with SOR grant funds.

Sub-grantees are expected to report data as required in the Funding Opportunity Announcement and to fully participate in any SAMHSA-sponsored evaluation of this program. All required data must be reported to SAMHSA's Performance Accountability and Reporting System (SPARS) system within SAMHSA-specified timelines. The submission of this data in the form required by SAMHSA is a requirement of funding. Noncompliance with this requirement may result in restricted access to funding for this year or limited or no access to funding in the future grant year.

Sub-grantees are required to work with SAMHSA-funded SOR/Tribal Opioid Response Technical Assistance Training (TA/T) grant as the primary means of TA provision.

Funds may not be expended through the grant or a subaward by any agency which would deny any eligible client, patient or individual access to their program because of their use of FDA-approved medications for treatment of substance use disorders (e.g., methadone, buprenorphine products including buprenorphine/naloxone combination formulations and buprenorphine monoproduct formulations, naltrexone products including extended-release and oral formulations or long acting products such as extended release injectable

or implantable buprenorphine.) Specifically, patients must be allowed to participate in methadone treatment rendered in accordance with current federal and state methadone dispensing regulations from an Opioid Treatment Program and ordered by a physician who has evaluated the client and determined that methadone is an appropriate medication treatment for the individual's opioid use disorder. Similarly, medications available by prescription or office-based implantation must be permitted if it is appropriately authorized through prescription by a licensed prescriber or provider. In all cases, MOUD must be permitted to be continued for as long as the prescriber or treatment provider determines that the medication is clinically beneficial. Recipients must assure that clients will not be compelled to no longer use MOUD as part of the conditions of any programming if stopping is inconsistent with a licensed prescriber's recommendation or valid prescription.
Sub-grantees are strictly prohibited from using Federal funds, directly or indirectly, including through cost-sharing, matching funds, or subsequent reimbursement, to support so-called "harm reduction" or "safe consumption" efforts that facilitate illegal drug use.

Specifically, grant funds must not be used to purchase, distribute, or otherwise support the provision of drug paraphernalia as defined by applicable law. This includes, but is not limited to, syringes, needles, pipes, or other supplies used for the injection, inhalation, or ingestion of illicit drugs. Funds are also prohibited from being used for sterile water, saline, or ascorbic acid when intended to facilitate drug use. While these prohibitions are in effect, this does not preclude the use of grant funds for legally permissible supplies and activities that align with evidence-based practices, such as the provision of naloxone or nalmefene, fentanyl or other drug test strips, or the facilitation of referrals to treatment.

SOR funds shall not be utilized to provide incentives to any Health Care Professional for receipt of a DATA Waiver or any type of Professional Development Training.

Sub-grantees are required to track funding of activities by providers and be prepared to submit these data to DBH upon request.

The person whose signature appears below is authorized to sign this assurance and commit the Applicant/Grantee to the above provisions.

_____

Signature

_____ _____

Name and Title Date