

# Grants To Reduce Alcohol Abuse

CFDA #84.184A

Information and Application Procedures for Fiscal Year 2007

OMB No. 1890-0009 Expiration Date: 06/30/2008

**Application Deadline: March 26, 2007**



**Frequently Asked Questions**  
**Pages 21-25**

**U.S. Department of Education**

Office of Safe and Drug-Free Schools



## UNITED STATES DEPARTMENT OF EDUCATION

Office of Safe and Drug-Free Schools

February 2007

Dear Colleague:

Thank you for your interest in applying for funding under the Grants to Reduce Alcohol Abuse Among Secondary School Students.

We know that alcohol is the most commonly abused drug by youth. Alcohol abuse contributes to a number of academic, social, health, and mental health-related problems and is associated with the three leading causes of death among youth: unintentional injury, homicide, and suicide. According to several studies, 90% of alcohol consumed by youth is in the form of binge drinking.

Preventing alcohol abuse among secondary school students is a critical concern for both schools and communities. One national study found that alcohol use among teens is also linked to both victimization and perpetration of peer (youth) violence, and both victimization and perpetration of date violence.

This competition supports the establishment of safe, disciplined, and drug-free educational environments. Funds may be used for the adoption, implementation, and evaluation of proven strategies for reducing underage alcohol abuse as determined by the Substance Abuse and Mental Health Services Administration (SAMHSA).

We look forward to receiving your application under this grant competition.

Sincerely,

A handwritten signature in cursive script that reads "Deborah A. Price".

Deborah A. Price  
Assistant Deputy Secretary

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## I. APPLICATION SUBMISSION PROCEDURES

### Application Transmittal Instructions

Applications for grants under this grant competition may be submitted electronically or in paper format by mail or hand delivery. The electronic submission of applications is voluntary. However, if you choose to submit your application electronically you must use the site listed below. **Note:** You may not submit your application by e-mail or facsimile.

**Attention Electronic Applicants:** Please note that you must follow the application procedures as described in the Notice Inviting Applications for this grant competition, published in the Federal Register on February 9, 2007. Some programs may require electronic submission of applications, and those programs will have specific requirements and waiver instructions in the Federal Register notice.

If you want to apply for a grant and be considered for funding, you must meet the following deadline requirements:

#### **Applications Submitted Electronically**

You must submit your grant application through the Internet using the software provided on the Grants.gov Web site ([www.grants.gov](http://www.grants.gov)) by 4:30 p.m. (Washington, DC time) on the application deadline date. If you submit your application through the Internet via the Grants.gov Web site, you will receive an automatic acknowledgment when we receive your application.

For more information on using Grants.gov, please refer to the Notice Inviting Applications that was published in the Federal Register on February 9, 2007, the Grants.gov Submission Procedures and Tips document on pages 6-8 of this application package, and the Grants.gov Web site ([www.grants.gov](http://www.grants.gov)).

You may access the electronic application for the Grant Competition to Reduce Alcohol Abuse at the following Web site: [www.grants.gov](http://www.grants.gov).

#### **Applications Sent by Mail**

You must mail the original and two copies of the application on or before the deadline date. To help expedite our review of your application, we would appreciate your voluntarily including an additional copy of your application. Please mail copies to: U.S. Department of Education, Application Control Center, Attention: CFDA # 84.184A, 400 Maryland Avenue, SW, Washington, DC 20202 – 4260.

You must show one of the following as proof of mailing:

- (1) A legibly dated U. S. Postal Service Postmark.
- (2) A legible mail receipt with the date of mailing stamped by the U. S. Postal Service.
- (3) A dated shipping label, invoice, or receipt from a commercial carrier.
- (4) Any other proof of mailing acceptable to the Secretary.

If you mail an application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:

- (1) A private metered postmark.
- (2) A mail receipt that is not dated by the U.S. Postal Service.

Note: The U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, you should check with your local post office.

**Applications Delivered by Commercial Carrier**

Special Note: Due to disruptions to normal mail delivery, the Department encourages you to consider using an alternative delivery method (for example, a commercial carrier, such as Federal Express or United Parcel Service; or U. S. Postal Service Express Mail) to transmit your application for this competition to the Department. If you use an alternative delivery method, please obtain the appropriate proof of mailing under “Applications Sent by Mail,” then follow the mailing instructions under the appropriate delivery method.

Applications that are delivered by commercial carrier, such as Federal Express or United Parcel Service should be mailed to: U.S. Department of Education, Application Control Center – Stop 4260, Attention: CFDA #84.184A, 7100 Old Landover Road, Landover, MD 20785-1506.

**Applications Delivered by Hand**

You or your courier must hand deliver the original and two copies of your application by 4:30 p.m. (Washington, DC time) on or before the deadline date. To help expedite our review of your application, we would appreciate your voluntarily including an additional copy of your application. Please hand deliver copies to: U.S. Department of Education, Application Control Center, Attention: CFDA #84.184A, 550 12<sup>th</sup> Street, SW, PCP – Room 7041, Washington, DC 20202-4260. The Application Control Center accepts application deliveries daily between 8:00 a.m. and 4:30 p.m. (Washington, DC time), except Saturdays, Sundays, and federal holidays.

## Grants.gov Submission Procedures and Tips for Applicants

To facilitate your use of Grants.gov, this document includes important submission procedures you need to be aware of to ensure your application is received in a timely manner and accepted by the Department of Education.

1. **Register Early** – Grants.gov registration may take five or more business days to complete. You may begin working on your application while completing the registration process, but you cannot submit an application until all of the registration steps are complete. For detailed information on the registration steps, go to [www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). **Note:** Your organization will need to update its Central Contractor Registry (CCR) registration annually.
2. **Submit Early** – We strongly recommend that you do not wait until the last day to submit your application. Grants.gov will put a date and time stamp on your application and then process it after it is fully uploaded. The time it takes to upload an application will vary depending on a number of factors including the size of the application and the speed of your Internet connection, and the time it takes Grants.gov to process the application will vary as well. If Grants.gov rejects your application (see step three below), you will need to resubmit successfully before 4:30 pm on the deadline date. **Note:** To submit successfully, you must provide the D-U-N-S number on your application that was used when your organization registered with the CCR.
3. **Verify Submission is OK** – You will want to verify that Grants.gov and the Department of Education received your Grants.gov submission timely and that it was validated successfully. To see the date and time your application was received, log in to Grants.gov and click on the Track My Application link. For a successful submission, the date and time received should be earlier than 4:30 p.m. (Washington, DC time) on the deadline date, and the application status should be Validated, Received by Agency, or Agency Tracking Number Assigned.

If the date and time received is later than 4:30 p.m. (Washington, D.C. time) on the closing date, your application is late. If your application has a status of “Received” it is still awaiting validation by Grants.gov. Once validation is complete, the status will either change to “Validated” or “Rejected with Errors.” If the status is “Rejected with Errors,” your application has not been received successfully. Some of the reasons Grants.gov may reject an application can be found on the Grants.gov site ([www.grants.gov/help/submit\\_application\\_faqs.jsp#10](http://www.grants.gov/help/submit_application_faqs.jsp#10)). For more detailed information on why an application may be rejected, please review the Application Error Tips document ([www.grants.gov/help/submit\\_application\\_faqs.jsp](http://www.grants.gov/help/submit_application_faqs.jsp)). If you discover your application is late or has been rejected, please see the instructions below.

**Note:** You will receive a series of confirmations both online and via e-mail about the status of your application. Please do not rely solely on e-mail to confirm whether your application has been received timely and validated successfully.

## **Submission Problems – What should you do?**

If you have problems submitting to Grants.gov before the deadline date, contact Grants.gov Customer Support at 800/518-4726 or use the customer support available on the Web site ([www.grants.gov/applicants/applicant\\_help.jsp](http://www.grants.gov/applicants/applicant_help.jsp)).

If electronic submission is optional and you have problems that you are unable to resolve before the deadline date and time for electronic applications, please follow the transmittal instructions for hard copy applications in the Federal Register notice and get a hard copy application postmarked by midnight on the deadline date.

If electronic submission is required, you must submit an electronic application before 4:30 p.m. (Washington, DC time), unless you follow the procedures in the Federal Register notice and qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. See the Federal Register notice for detailed instructions.

## **Helpful Hints When Working with Grants.gov**

Please note that once you download an application from Grants.gov, you will be working offline and saving data on your computer. Please be sure to note where you are saving the Grants.gov file on your computer. You will need to log on to Grants.gov to upload and submit the application. You must provide on your application the D-U-N-S number that was used when your organization registered with the CCR.

Please go to [www.grants.gov/applicants/applicant\\_help.jsp](http://www.grants.gov/applicants/applicant_help.jsp) for help with Grants.gov. For additional tips related to submitting grant applications, please refer to the Grants.gov Submit Application FAQs found on Grants.gov ([www.grants.gov/help/submit\\_application\\_faqs.jsp](http://www.grants.gov/help/submit_application_faqs.jsp)).

## **Dial-Up Internet Connections**

When using a dial-up connection to upload and submit your application, it can take significantly longer than when you are connected to the Internet with a high-speed connection (e.g. cable modem/DSL/T1). While times will vary depending upon the size of your application, it can take a few minutes to a few hours to complete your grant submission using a dial-up connection. If you do not have access to a high-speed connection and electronic submission is required, you may want to consider following the instructions in the Federal Register notice to obtain an exception to the electronic submission requirement no later than two weeks before the application deadline date. See the Federal Register notice for detailed instructions.

## **MAC Users**

If you do not have a Windows operating system, you will need to use the Citrix solution discussed on Grants.gov or a Windows Emulation program to submit an application using Grants.gov. For additional information, review the FAQs for non-Windows users ([www.grants.gov/resources/download\\_software.jsp#non\\_window](http://www.grants.gov/resources/download_software.jsp#non_window)). To view the white paper for

Macintosh users published by Pure Edge, go to [www.grants.gov/section678/PureEdgeSupportforMacintosh.pdf](http://www.grants.gov/section678/PureEdgeSupportforMacintosh.pdf) or contact Grants.gov Customer Support ([www.grants.gov/contactus/contactus.jsp](http://www.grants.gov/contactus/contactus.jsp)) for more information. If electronic submission is required and you are concerned about your ability to submit electronically as a non-Windows user, please follow the instructions in the Federal Register notice to obtain an exception to the electronic submission requirement no later than two weeks before the application deadline date. See the Federal Register notice for detailed instructions.

## II. PROGRAM BACKGROUND INFORMATION

### General Information

#### ELIGIBILITY

Eligible applicants are local educational agencies (LEAs). Eligibility is limited to applicants that do not currently have an active grant under the Grants to Reduce Alcohol Abuse Program (CFDA 84.184A). For the purpose of this eligibility requirement, a grant is considered active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds (71 FR 70369).

**Local educational agency (LEA).** The term "local educational agency" means: (a) A public authority legally constituted within a State for either administrative control of or direction of, or to perform service functions for public elementary or secondary schools in: (1) A city, county, township, school district or other political subdivision of a State; or (2) Such combination of school districts or counties a State recognizes as an administrative agency for its public elementary or secondary schools; or (b) Any other public institution or agency that has administrative control and direction of a public elementary or secondary school. (c) As used in 34 CFR parts 400, 408, 525, 526, and 527 (vocational education programs), the term also includes any other public institution or agency that has administrative control and direction of a vocational education program.

**Secondary school.** The term "secondary school" means a nonprofit institutional day or residential school, including a public secondary charter school, that provides secondary education, as determined under State law, except that the term does not include any education beyond grade 12.

#### AUTHORITY

This competition is authorized under Title IV, Part A, Subpart 2, Section 4129 of the Elementary and Secondary Education Act of 1965, as amended by the No Child Left Behind Act of 2001. (Public Law 107-110).

#### OFFICIAL DOCUMENTS NOTICE

The official document governing this competition is the Notice Inviting Applications published in the Federal Register (See Section III [Legal and Regulatory Documents] of this application package). This notice also is available electronically at the following Web sites: [www.ed.gov/legislation/FedRegister](http://www.ed.gov/legislation/FedRegister) and [www.gpoaccess.gov/nara](http://www.gpoaccess.gov/nara).

#### NOTICE OF NONDISCRIMINATION

All applicants under this grant competition should familiarize themselves with all federal statutes related to nondiscrimination, as outlined in Item 6 of Standard Form 424B to ensure that their proposed activities are compliant.

#### RESOURCES

Any questions related to the requirements of this grant competition should be directed to Amalia Cuervo of the Office of Safe and Drug-Free Schools (OSDFS) at 202/205-2855 or Phyllis

Scattergood of the Office of Safe and Drug- Free Schools (OSDFS) at 202/260-0504. The OSDFS Web site is located at [www.ed.gov/osdfs](http://www.ed.gov/osdfs).

### **GRANT AWARDS AND PROJECT PERIOD**

The project period for this grant is 36 months (three budget periods of 12 months each). We intend the project and budget periods for projects funded under this grant competition to be June 30, 2007 - June 29, 2010. However, awards may be made as late as September 30, 2007. Projects will be funded for one year with an option for additional years, contingent upon substantial progress by the grantee and the availability of funds.

Applicants requesting three-year projects must submit ED Form 524 and a detailed budget narrative for each of the three years in order to be eligible for funding each year. No funds will be awarded for those years for which a budget request and narrative is not provided. An estimated 20 new awards will be made. Projects will be funded for approximately \$200,000 to \$400,000 per year depending on the scope of work. These figures are only estimates and do not bind the Department of Education to a specific number of grants or amount of any grant.

### **TRAVEL BUDGET**

Applicants are required to include sufficient funds in the travel budget for the project director and one other person to attend the annual two and one half day OSDFS National Conference held in Washington D.C. Applicants must also budget for one person to attend a one-day meeting of project directors in Washington, D.C. in the initial year of the grant. Grant funds may be used to pay all expenses associated with attending the meetings.

### **CONTRACTING FOR SERVICES**

Generally, all procurement transactions must be conducted in a manner providing full and open competition, consistent with the standards in Section 80.36 of the Education Department General Administrative Regulations (EDGAR). This section requires that grantees use their own procurement procedures (which reflect State and local laws and regulations) to select contractors, provided that those procedures meet certain standards described in EDGAR. (EDGAR is available online at: <http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html>; see Section 80.36 for details about these procurement standards.)

Because grantees must use appropriate procurement procedures to select contractors, applicants should not include information in their grant applications about specific contractors that will be used to provide services for the proposed project.

Consistent with the limitations in Section 75.515 of EDGAR concerning the use of consultants, contractors or consultants may be used to help prepare grant applications, but their participation in the application development process should not be presumed to result in the receipt of a contract for work under the project if a grant is awarded. Applicants may include a sum for grant writing costs in their grants proposed budget provided that the amount requested is necessary and reasonable.

### **TECHNICAL ASSISTANCE MEETINGS**

In addition to the OSDFS National Conference and project directors' meeting, applicants should budget for travel, hotel and subsistence for up to four individuals to attend a three- day grantee national technical assistance (TA) meeting each year and two regional TA meetings every year. At a minimum, two key staff such as the project director and evaluator are required to attend these meetings. Each regional meeting will last up to two days. Grant funds may be used to pay all expenses associated with attending these meetings. As these meetings may take place in different regions of the country, applicants should budget accordingly.

### **TECHNICAL ASSISTANCE**

Grantees will receive technical assistance throughout the active life of the grant through the SAMHSA Regional Centers for the Application of Prevention Technologies (CAPTs). This assistance will include meetings, workshops, telephone consultation, printed materials and other forms of support and networking opportunities to share ideas and identify resources. Technical assistance will include start-up implementation support, including planning for and implementing selected innovative strategies and programs, establishing community coalitions, developing local support for the project, establishing measurable goals and objectives, planning and implementing a rigorous process and outcome evaluation of the project, and addressing other evaluation issues.

In addition, SAMHSA will disseminate model program information and provide training and technical assistance to grantees that wish to adopt one of these programs.

### **E-MAIL ADDRESSES**

As part of our review of your application, we may need to contact you with questions for clarification. Please be sure your application contains valid e-mail addresses for the project director and authorized representative or another party designated to answer questions in the event the project director and authorized representative are unavailable.

### **REVIEW OF APPLICATIONS AND NOTIFICATION OF AWARD**

The review of applications and notification of awards for this grant competition requires approximately 6 to 8 weeks. Successful applicants will be notified when the grant award documents are mailed. Unsuccessful applicants will be notified within 60 days after the awards are made.

### **HUMAN SUBJECTS RESEARCH**

Please see Item 3 of the instructions for Supplemental Information for Standard Form 424 on page 56 of this application package. Projects funded under this grant program may be subject to protection of human subjects research requirements. If you have any questions about your responsibilities under these requirements, please contact ED's protection of human subjects coordinator at 202/245-6153.

### **THE U.S. DEPARTMENT OF EDUCATION'S (ED) EXPECTATIONS**

By submitting an application for this program, applicants agree to fully cooperate with any evaluation efforts conducted by ED and its contractors. At a minimum, grantees are expected to: maintain records on how their program is operating; maintain records on the extent to which their program objectives are being met; include specific performance measures in their

evaluation plan; and make ongoing project information, findings, and products available to ensure the dissemination of knowledge gained from this effort during the grant period. Grantees also may be expected to work with CAPT TA CENTERS to collect key program information that will help assess the extent to which projects supported under this grant competition are meeting the GPRA measures established for this program as well as their project goals and objectives. ED may use the results of these projects in an effort to identify and disseminate to LEAs and their surrounding communities those strategies that are effective in preventing alcohol abuse among secondary school students.

### **The Government Performance and Results Act (GPRA)**

The Government Performance and Results Act of 1993 (GPRA) is a straightforward statute that requires all federal agencies to manage their activities with attention to the consequences of those activities. Each agency is to clearly state what it intends to accomplish, identify the resources required, and periodically report their progress to the Congress. In so doing, it is expected that the GPRA will contribute to improvements in accountability for the expenditures of public funds, improve Congressional decision-making through more objective information on the effectiveness of federal programs, and promote a new government focus on results, service delivery, and customer satisfaction.

We have identified the following key GPRA performance measures for assessing the effectiveness of this program:

- (1) the percentage of grantees whose target students show a measurable decrease in binge drinking;
- (2) the percentage of grantees that show a measurable increase in the percentage of target students who believe that alcohol abuse is harmful to their health; and
- (3) the percentage of grantees that show a measurable increase in the percentage of target students who disapprove of alcohol abuse.

These three measures constitute the Department's indicators of success for this program. Consequently, applicants for a grant under this program are advised to give careful consideration to these three outcomes in conceptualizing the design, implementation, and evaluation of their proposed project. If funded, grantees will be expected to collect data on the performance measure above that applies to their project, and report that data to the Department in their annual performance report and final performance report.

## **Tips for Preparing and Submitting an Application**

### **A. Before You Begin**

- Read this application package carefully and make sure you follow all of the instructions.
- Use the tools we have provided to help you including:
  - ✓ Frequently Asked Questions section in this application package
  - ✓ Resources related to this specific grant competition on our Web site at <http://www.ed.gov./programs/dvpalcoholabuse/index.html>.
  - ✓ General grant application technical assistance resources on our Web site at [www.ed.gov/admins/grants/apply/techassist/index.html](http://www.ed.gov/admins/grants/apply/techassist/index.html)
- If there is information that you do not understand, contact the competition manager for this grant competition.

### **B. Preparing Your Application**

- Be thorough in your program description. Write so that someone who knows nothing about your organization or your program plan can understand what you are proposing.
- Organize your application according to the selection criteria and respond comprehensively.
- Make sure your budget narrative provides enough detail about planned expenditures so ED staff can easily determine how the funds will be spent.
- Link your planned expenditures to the goals and objectives of your program. Do not request funds for miscellaneous purposes and make sure you demonstrate that your proposed expenditures are necessary to carry out your program.

### **C. Submitting Your Application**

- Use the checklist provided in this application package to ensure your application is complete before submitting it.
- Make sure all required forms are included and signed by an authorized representative of your organization.
- Transmit your application by the deadline date. If you submit your application electronically, you must use the Grants.gov Web site. If you use the U.S. Postal Service, make sure you have a legible postmark date. If you use an overnight carrier, get a receipt.

### **D. What Happens Next?**

- If you submit a hard copy application, in approximately two weeks (depending on the volume of applications we receive), you should receive a postcard from ED's Application Control Center acknowledging receipt of your application and giving you its assigned number. Please refer to this number if you need to contact us about your application. If you submit your application electronically through Grants.gov you will receive an email acknowledgement.
- OSDFS staff members screen each application to ensure that all program eligibility requirements are met and all forms are included.
- Your application will be assigned to a three-person panel of independent reviewers and will receive a score from 0 to 100 depending how well it addresses the selection criteria.
- A Grant Award Notification will be sent to applicants whose proposals score within the funding range. Unsuccessful applicants will receive a notification letter. All applicants

will receive information on how to get access to peer reviewers' comments. Please be sure your application contains valid e-mail addresses.

## **Reducing Alcohol Abuse Among Secondary School Students**

The purpose of the Grants to Reduce Alcohol Abuse program is to provide resources for LEAs to develop and implement innovative and effective alcohol abuse prevention programs for secondary school students. Under this program local educational agencies may compete for a grant to implement activities that include one or more proven strategies for reducing underage alcohol abuse as determined by the Substance Abuse and Mental Health Services Administration (SAMHSA).

The Department of Education (ED) has supported efforts to reduce alcohol abuse among secondary school students for two decades, in response to alcohol and other drug use among the nation's youth. Through discretionary grants and dissemination of information on effective strategies, ED supports efforts to address these complex issues facing our nation's schools and communities. Projects funded by ED have been based on theory, expert consensus, practical experience, and evaluated programs.

Underage drinking is a major concern in the health and well being of America's youth. Alcohol is the most commonly abused substance among adolescents and its use and abuse is preventable. A number of national studies all indicate the need to keep children alcohol free, highlighting the fact that the average age of a first drink in America is 12. (NSDUH 2005)

National surveys have made it clear that alcohol use and abuse among youth is widespread and harmful. According to the 2005 Monitoring the Future Study of adolescents in the U.S., 41 percent of 8th graders, 63.2 percent of 10th graders, and 75.1 percent of 12th graders have used alcohol in their lifetime.

Of greatest concern is the widespread occurrence of "binge" or heavy episodic drinking. According to the same national survey, 28.1 percent of high school seniors have engaged in high-risk or binge drinking (defined as 5 drinks or more in a row in the past two weeks).

By high school graduation, the vast majority (75 percent) of high school students have experience with alcohol. (NSDUH 2005) Studies are also indicating that youth who start drinking by age 15 are 4 times more likely to become dependent on alcohol. (NIAAA, 2006).

The recent National Centers for Disease Control and Prevention study on binge drinking among high school students found that binge drinking is the most common pattern of alcohol consumption among high school students and is strongly associated with a wide range of other health and social risk behaviors. CDC's analysis of data from the National Youth Risk Behavior Survey over a period of 12 years found that binge drinking rates increase with age and school grade in high schools. Students who binge drank were more likely than nondrinkers and current drinkers who did not binge, to perform less well academically and become involved in other risky behaviors such as riding in a car with a driver who had been drinking, being sexually active, being a victim of dating violence, getting into fights, neglecting responsibilities, attempting suicide and using illicit drugs. (Miller et al., 2007)

Other studies support the CDC findings that heavy drinking during adolescence affects students' ability to learn. Recent studies are documenting the impact of alcohol use on academic achievement and other cognitive processes. NIAAA reports on several reviews of research on the neurocognitive effects of alcohol on adolescents (Brown & Tapert, 2004; Spear & Varlinskaya, 2005; Zeigler et al., 2005).

These studies document that adolescent alcohol use may be associated with alterations in the brain and neurocognitive deficits, with implications for learning and other cognitive abilities that may continue to affect the individual into adulthood.

Most importantly, underage drinking is associated with the three leading causes of death among youth: unintentional injury, homicide, and suicide. Specifically, a number of studies support that underage drinking is: 1) a factor in about half of all deaths from motor vehicle crashes and from intentional injuries (Hingson, R., et al in *Reducing Underage Drinking: A Collective Responsibility*. Washington, DC: National Academies of Science, 2004); 2) linked to physical fights, academic and occupational problems and illegal behavior.(Miller, Pediatrics, 2007) The most recent 2005 data from the National Survey on Drug Use and Health (NSDUH) show that when youths drink, they drink heavily in comparison to adults, consuming on the average four to five drinks a month, compared to two or more drinks for adults:

- Slightly more than half of Americans aged 12 or older reported being current drinkers of alcohol (51.3 percent)
- More than one-fifth of persons 12 or older participated in binge drinking at least once in the 30 days prior to the survey. (22.7 percent)
- Heavy drinking was reported by 16 million or 6.6 percent of those aged 12 or older. Heavy drinking is defined as binge drinking on at least 5 days in the past 30 days in this survey.

These statistics clearly indicate that underage drinking is a major concern in the health and well being of America's youth. A number of evidence-based prevention programs exist which, when implemented with fidelity, can reduce and prevent alcohol consumption among secondary schools and reduce the adverse educational, health and social consequences of this behavior.

#### Additional Information

To strengthen the quality of drug abuse and violence prevention programs implemented with funds from the Office of Safe and Drug-Free Schools, ED established a set of Principles of Effectiveness in 1998, since incorporated into the No Child Left Behind Act of 2001 (Title IV – Section 4115). ED strongly encourages secondary schools to:

- design programs based on a thorough needs assessment of objective data;
- establish a set of measurable goals and objectives linked to identified needs;
- implement prevention activities that research or evaluation have shown to be effective in reducing alcohol abuse among secondary school students;

- use evaluation results to refine, improve, and strengthen the program and refine goals and objectives as appropriate; and
- include meaningful and ongoing input from parents in the development of the application and implementation of the project.

Basic to the success of any program to prevent alcohol abuse among secondary school students is the need to ensure the widespread involvement of key stakeholders including students, school personnel, parents, and community members in the program's design and implementation. Leadership from school senior administrators is essential to institutionalizing prevention as a priority.

### **EVALUATION REQUIREMENTS**

Evaluation is a powerful tool that supports program planning and an understanding of effective strategies to reduce alcohol abuse among secondary school students. Therefore, applicants must propose to implement an evaluation of their efforts, using outcome-based performance measures that document the effectiveness of the project's strategies.

Keep in mind that what constitutes convincing evidence of success may differ from one project to the next. In preparing the project design and evaluation plan, applicants are encouraged to carefully review information from similar projects and the research literature to determine what has or has not been shown to be successful. This information should be reflected in the project design. Applicants also should include a description of all evaluation instruments they intend to use. The evaluation plan should demonstrate both qualitative and quantitative measures.

## **Funding Priority**

Under the Elementary and Secondary Education Act, as amended, Title IV, Part A, Subpart 2, Section 4129, this grant competition focuses on projects that develop and implement innovative and effective alcohol abuse prevention programs in secondary schools.

**IN ORDER TO RECEIVE FUNDING, PROJECTS MUST MEET THE STATUTORY PRIORITY, IN ADDITION TO THE FOLLOWING STATUTORY REQUIREMENTS.** Under 34 CFR 75.105(c)(3), we consider only applications that meet this absolute priority.

### **Statutory Requirements**

The statute requires each applicant to:

- (1) Describe the activities to be carried out under the grant;

- (2) Provide an assurance that such activities will include one or more of the proven strategies for reducing underage alcohol abuse as determined by the Substance Abuse and Mental Health Services Administration;
- (3) Explain how activities to be carried out under the grant that are not described in (2) above will be effective in reducing underage alcohol abuse, including references to the past effectiveness of such activities; and
- (4) Provide an assurance that the applicant will submit to the Secretary an annual report concerning the effectiveness of the programs and activities funded under the grant.

For the purpose of this grant competition, “proven strategies for reducing underage alcohol abuse as determined by the Substance Abuse and Mental Health Services Administration (SAMHSA)” are those strategies found at [http://www.modelprograms.samhsa.gov/template\\_cf.cfm?page=model](http://www.modelprograms.samhsa.gov/template_cf.cfm?page=model) that have evidence of reductions in alcohol use among secondary students. A partial list is given on pages 26-27 of this application package.

### Rural and Low-Income Applicants

The statute directs ED to develop procedures to make the application process for grants more user-friendly; particularly for rural and low-income LEAs. We have chosen to address this requirement by: (1) decreasing the number of elements under the selection criteria thereby decreasing the application burden; (2) providing two sources of technical assistance to help applicants prepare their application; and (3) reading and scoring rural and low income applicants in a separate pool.

A rural and low-income LEA is one (a) that is designated with a locale code of 6, 7, or 8, as determined by the Department’s National Center for Education Statistics (NCES); and (b) in which 20 percent or more of the children ages 5 through 17 years served by the LEA are from families with incomes below the poverty line. Note: Applicants wishing to be considered under this factor must be both rural and low income.

## **Selection Criteria**

The following criteria will be used to evaluate applications submitted for funding under this competition. The maximum score for all of these criteria is 100 points.

### **1) Need for project (25 points)**

In determining the need for the proposed project the following factor is considered:

- (a) The magnitude or severity of the problem to be addressed by the proposed project.

**Note:** Under this criterion we will look for evidence that the applicant has conducted alcohol use surveys among the secondary students who will be served by the grant and can provide data on incidence of binge drinking and 30-day and one-year alcohol use prevalence. In the absence of student surveys, applicants may submit data on disciplinary referrals for alcohol consumption among the secondary school students who will be served by the grant.

## 2) Significance (25 Points)

In determining the significance of the proposed project, the following factors are considered:

- (a) The likelihood that the proposed project will result in system change or improvement;
- (b) The extent to which the proposed project is likely to build local capacity to provide, improve, and expand services that address the needs of the target population.

**Note:** We expect the applicant to describe the current alcohol prevention program in operation in the target schools, explain the proposed changes that will be implemented, and provide a clear link between improved student outcomes in terms of alcohol use and the proposed program.

## 3) Quality of the project design (25 Points)

In determining the quality of the design of the proposed project, the following factors are considered:

- (a) The extent to which the design of the program reflects up-to-date knowledge from research and effective practice.
- (b) The extent to which the design of the proposed project will establish linkages with other appropriate agencies and organizations providing services to the target population.

**Note:** Under this criterion we will look for a detailed and comprehensive description of the proposed program the applicant proposes to implement with these funds, an explanation of the program's basis in research and effective practice, and a description of how the applicant proposes to document the effectiveness of the proposed program.

## 4) Quality of the project evaluation (25 points)

In determining the quality of the evaluation, the following factors are considered:

- a) The extent to which the methods of evaluation include the use of objective performance measures that are clearly related to the intended outcomes of the project, and will produce quantitative and qualitative data to the extent possible.
- b) The extent to which the methods of evaluation will provide performance feedback and permit periodic assessment of progress toward achieving intended outcomes.

**Note:** Under this criterion we will look for the applicant's plan to provide reliable data that

measure changes in student perceptions and behavior including binge drinking, perceptions of harmful effects of alcohol use, and disapproval of alcohol abuse.

## Frequently Asked Questions

*What is the goal of this grant competition?*

- The goal of the Grants to Reduce Alcohol Abuse program is to provide resources for LEAs to develop and implement innovative and effective alcohol abuse prevention programs for secondary school students. Under this program local educational agencies may compete for a grant to implement activities that include one or more proven strategies for reducing underage alcohol abuse as determined by the Substance Abuse and Mental Health Services Administration (SAMHSA).

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*Who is eligible to apply?*

- This grant competition is open to local education agencies that do not have a currently active grant under the Grants to Reduce Alcohol Abuse Program (84.184A).

For the purpose of this eligibility requirement, a grant is considered active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds (71 FR 70369).

*What is the deadline date for applications under this grant competition?*

- March 26, 2007

*May I get an extension of the deadline date?*

- Waivers for individual applications failing to meet the deadline will not be granted, regardless of the circumstances. Under very extraordinary circumstances the Department may change the closing date for a grant competition. When this occurs, the Department announces such a change in a notice published in the Federal Register. Please refer to the closing date notice for this competition for additional information about deadline extensions.

*What are the project and budget periods for these grants?*

- 36 months. Projects will be funded for one year with an option for two additional years, contingent upon substantial progress by the grantee and the availability of funds. Applicants must submit a budget for each year of the proposed project. Failure to submit a budget for one or more years will result in no funding for those years.

*How much money is available under this grant competition?*

- The Administration's budget request for FY 2007 does not include funds for this program. However, we are inviting applications to allow enough time to compete this grant

process should Congress appropriate funds for this program. The Secretary may reserve up to 25% of funds to award grants to low-income and rural LEAs.

*How many new awards will be made?*

- We estimated that 20 new awards will be made.

*What is the average amount of each grant?*

- Projects will be funded for approximately \$200,000 to \$400,000 per year depending on the scope of work. These figures are only estimates and do not bind the Department of Education to a specific number of grants or amount of any grant.

*Is there a matching requirement?*

- No.

*Is there a restricted indirect cost rate for this program?*

- No. For this grant competition, you may charge indirect costs using the rate negotiated with your cognizant federal agency or the rate assigned by your State government.

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If you claim indirect costs in the budget for your proposed project and do not have a current rate, you have 90 days from the time you transmit your application to submit the necessary paperwork to the Department of Education to receive a negotiated indirect cost rate. For more information about indirect cost rates, please visit [www.ed.gov/about/offices/list/ocfo/intro.html](http://www.ed.gov/about/offices/list/ocfo/intro.html).

*What is an indirect cost rate?*

- An indirect cost is an expense that you incur that is necessary to implementing the grant, but may be difficult to identify with your grant. For example, indirect costs may include money spent for heat, light, rent, telephone, security, accounting, and Internet use.

If your organization prefers to use all of its grant funds for direct project costs, you are not required to charge the grant for indirect costs. If you wish to charge indirect costs, however, *you must use a **negotiated indirect cost rate** for this competition.*

For more information, please see:

<http://www.ed.gov/about/offices/list/ocfo/fipao/icgindex.html>.

*How do I obtain a negotiated indirect cost rate?*

- Your organization may already have a negotiated, indirect cost rate with your State government. If not, you will negotiate your rate with your cognizant Federal agency.

*For my GEPA 427 statement is it adequate to state that our organization does not discriminate on the basis of race, religion, sex, etc.?*

- No. An organization's non-discrimination statement is not sufficient to meet the GEPA requirements. A GEPA statement should outline potential barriers and solutions to equal access, specific to the proposed project.

*What are some of the circumstances that might cause a grant application submitted for funding under this competition to be deemed ineligible for review?*

- An application submitted for funding under this competition will be deemed ineligible for funding if it does not meet the absolute priority and/or does not serve secondary school students as defined by State law. Applications from ineligible entities or applications submitted after the transmittal date will not be considered for funding. **At least one SAMHSA model program must also be implemented or your proposal will not be funded.**

*Can grant funds be used to support professional development activities?*

- Yes, as long as the activities directly support the purposes of the grant.

*Is there any legislative restriction on how grant funds may be used?*

- YES. The legislative language restricts the use of funds to activities, programs, and strategies to reduce alcohol abuse in secondary schools. **Individual State law defines the term "secondary school"**. For example, if your State defines secondary schools to include grades 7 and 8, you may provide services with grant funds in these grades. However, if your State defines secondary school as grades 9-12, you may not use grant funds to provide programs/services in grades 7 and 8.

*May I use grant funds to implement other activities besides a model program identified by the Substance Abuse and Mental Health Services Administration (SAMHSA)?*

- YES. Grant funds may be used to carry out other activities that are not associated with a SAMHSA model program, however, applicants must describe how such activities will be effective in reducing underage alcohol abuse, including references to the past effectiveness of such activities. In addition to these other activities, **at least one SAMHSA model program must also be implemented or your proposal will not be funded.**

*May I use national data to support the need for a grant in my district?*

- NO. You must provide data to show the need or severity of the problem in the student population you have targeted to receive services under the proposed project.

*Do I need to collect data on the effectiveness of this project?*

- YES. The authorizing legislation requires each grantee to submit an annual progress report to the Secretary of Education concerning the effectiveness of the programs and activities funded under the grant.

*What is the Government Performance and Results Act (GPRA)?*

- The Government Performance Response Act of 1993 (GPRA) is a straightforward statute that requires all Federal agencies to manage their activities with attention to the consequences of those activities. Each agency is to clearly state what it intends to accomplish, identify resources required, and periodically report their progress to the Congress. In so doing, it is expected that the GPRA will contribute to improvements in accountability for the expenditures of public funds, improve Congressional decision-making through more objective information on the effectiveness of Federal programs, and promote a new government focus on results, service delivery, and customer satisfaction.

*My district has a high concentration of families with incomes below the poverty line; however, we are in a suburban area. May we apply for consideration as a rural and low-income applicant?*

- **NO. Applicants must be both rural and low income in order to qualify as a rural and low-income applicant.** A rural and low-income LEA is one (a) that is designated with a locale code of 6, 7, or 8, as determined by the Department's National Center for Education Statistics (NCES); and (b) in which 20 percent or more of the children ages 5 through 17 years served by the LEA are from families with incomes below the poverty line.

Note: Applicants wishing to be considered under this factor must be both rural and low-income.

*None of the programs on the SAMHSA list address what we think are the needs in our school population. May we substitute another agency's model program?*

- NO. The authorizing legislation requires that **you must use at least one of the proven strategies for reducing underage alcohol abuse as determined by SAMHSA.**

*Will I be required to seek IRB approval to conduct activities regarding human subjects and collect data under this grant?*

- Please see the instructions for ED Supplement to the Standard Form #424(SF424) in the Appendices Section of this document. Projects funded under this grant program may be subject to protection of human subject's requirements. If you have any questions about your responsibilities under these requirements, please contact ED's protection of human subjects coordinator at 202/245-6153.

For additional information on human subjects research go to:

<http://www.ed.gov/policy/fund/reg/humansub/part97.html>

*May I charge the cost of the Internal Review Board (IRB) review of my proposal to the grant?*

- Yes. You may charge all costs associated with IRB to the grant.

*Why do you need a valid e-mail address?*

- We often have questions about aspects of the application that need to be clarified. These questions usually arise late in the application review process and require a rapid response. Valid e-mail addresses of persons who are knowledgeable about the application and can answer questions are essential.

*What forms are required to complete this application?*

- **If you are applying via Grants.gov, all forms in the Grants.gov Application Package section must be filled out. If you are applying via hardcopy, please fill out and attach to your application all the forms at the end of the hardcopy application package. They include:**
  - ❑ Application for Federal Assistance (SF Form 424) - Page 1
  - ❑ Department of Education Supplemental Information Form for the SF 424
  - ❑ Budget Information Form (ED Form 524) and detailed budget narrative
    - ❑ Assurances, Non-Construction Programs (ED Form 424B)
    - ❑ Certification Regarding Lobbying (ED Form 80-0013)
    - ❑ Disclosure of Lobbying Activities (Standard Form–LLL)

*How does the Freedom of Information Act affect my application?*

- The Freedom of Information Act (FOIA) provides that any person has the right to request access to federal agency records or information. All U.S. Government agencies are required to disclose records upon receiving a written request for them, except for those records that are protected from disclosure by the nine exemptions listed in the FOIA. All applications submitted for funding consideration under this grant competition are subject to the FOIA. To read the text of the Freedom of Information Act, visit [www.usdoj.gov/04foia/foiastat.htm](http://www.usdoj.gov/04foia/foiastat.htm).

*Who do I contact for more information about this grant competition?*

- Amalia Cuervo, U.S. Department of Education 400 Maryland Avenue, SW – Room 3E342, Washington, DC 20202-6450, Phone: 202/205-2855, Fax: 202/260-7767, E-mail: [Amalia.Cuervo@ed.gov](mailto:Amalia.Cuervo@ed.gov). or Phyllis Scattergood, U.S. Department of Education, 400

Maryland Avenue, SW – Room 3E212, Washington, DC 20202-6450, Phone: 202/260-0504,  
 Fax: 202/205-5722, E-mail: [Phyllis.scattergood@ed.gov](mailto:Phyllis.scattergood@ed.gov).

**SAMHSA Programs Addressing**  
Alcohol Abuse Among Youth

<b>Quality Materials, Training and Technical Assistance ARE Available</b>	Quality Materials, Training and Technical Assistance MAY NOT BE Available (Check with the program developer regarding availability of training and materials)	
<i>Model Programs</i>	<i>Effective Programs</i>	<i>Promising Programs</i>
Detailed program information <a href="http://www.modelprograms.samhsa.gov">www.modelprograms.samhsa.gov</a>	Limited program information <a href="http://www.modelprograms.samhsa.gov">www.modelprograms.samhsa.gov</a>	
All Stars™	Big Brothers-Big Sisters of America	Preventive Alcohol Education Program
ATLAS	Friendly PEERsuasion	Plan a Safe Strategy (P.A.S.S) Program
Border Binge Drinking Program	Sembrando Salud	Asian Youth Alliance
Class Action	SMART Leaders	Bilingual/Bicultural Counseling and Support Services
Communities Mobilizing for Change on Alcohol (CMCA)		Kids Intervention with Kids in School
Creating Lasting Family Connections		Peer Assistance and Leadership
Family Matters		Prevention Dimensions Program
Families That Care - Guiding Good Choices		Teenage Health Modules
Keepin' it REAL		
Leadership and Resiliency Program		
Life Skills		
Lions-Quest Skills for Adolescence		
Positive Action		
Project ALERT		
Project Northland		
Project SUCCESS		
Project Toward No Drug Abuse (TND)		
Project Venture		
Reconnecting Youth		

Quality Materials, Training and Technical Assistance ARE Available	Quality Materials, Training and Technical Assistance MAY NOT BE Available (Check with the program developer regarding availability of training and materials)	
<i>Model Programs</i>	<i>Effective Programs</i>	<i>Promising Programs</i>
Detailed program information <a href="http://www.modelprograms.samhsa.gov">www.modelprograms.samhsa.gov</a>	Limited program information <a href="http://www.modelprograms.samhsa.gov">www.modelprograms.samhsa.gov</a>	
Start Taking Alcohol Risks Seriously – STARS for Families		
Strengthening Families Program for Parents and Youth 10-14		
Too Good for Drugs		

**Model programs** are effective programs whose developers have the capacity and have coordinated and agreed with CSAP to provide quality materials, training, and technical assistance to practitioners who wish to adopt their programs. That help is essential to ensure that the program is carefully implemented, and maximizes the probability for repeated effectiveness.

**Effective programs** are prevention programs that produce a consistent positive pattern of results. Only programs that have been able to demonstrate these positive effects under rigorous experimental or quasi-experimental designs are considered effective.

**Promising programs** provide useful and scientifically defensible information about what works in prevention, but have yet to gather sufficient scientific support to standards set for Effective/Model programs. Promising programs are sources of guidance for prevention practitioners and designers, albeit Promising programs may not be as prepared as Model programs for large-scale dissemination.

**This matrix was developed in collaboration with SAMHSA/CSAP National Registry of Effective Prevention Programs (NREPP) as a guide for applicants. Programs listed here have been shown to be effective in reducing alcohol use among youth. Other programs may be appropriate depending on how your state defines a secondary school. For a complete list of Model, Effective, and Promising Programs along with descriptions of program content and target audience, visit the following web site: [www.modelprograms.samhsa.gov](http://www.modelprograms.samhsa.gov).**

**Applicants must identify at least one of these SAMHSA programs for implementation as part of their grant-funded project and explain why it is appropriate for their students.**

**Note: Selections must be limited to programs that focus on alcohol abuse prevention among secondary school students.**

### III. LEGAL AND REGULATORY DOCUMENTS

**Notice Inviting Applications**  
**Federal Register Publication Date – February 9, 2007**

4000-01-U  
DEPARTMENT OF EDUCATION  
Office of Safe and Drug-Free Schools

4000-01-U

DEPARTMENT OF EDUCATION

Office of Safe and Drug-Free Schools

Overview Information

Grants to Reduce Alcohol Abuse

Notice inviting applications for new awards for fiscal year (FY)  
2007.

Catalog of Federal Domestic Assistance (CFDA) Number: 84.184A

Dates:

Applications Available: February 9, 2007

Deadline for Transmittal of Applications: March 26, 2007

Deadline for Intergovernmental Review: May 25, 2007

Eligible Applicants: Local educational agencies (LEAs).

The Secretary limits eligibility under this discretionary grant program competition to applicants that do not currently have an active grant under the Grants to Reduce Alcohol Abuse (CFDA No. 84.184A ) Program. For the purpose of this eligibility requirement, a grant is considered active until the end of the

grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds.

Estimated Available Funds: The Administration's budget request for FY 2007 does not include funds for this program. However, we are inviting applications to allow enough time to complete the grant process if Congress appropriates funds for this program.

Note: The Secretary may reserve up to 25 percent of these funds to award grants to low-income and rural LEAs.

Contingent upon the availability of funds, we may make additional awards in FY 2008 from the list of un-funded applications from this competition.

Estimated Range of Awards: \$200,000-\$400,000.

Estimated Average Size of Awards: \$300,000.

Estimated Number of Awards: 20.

Note: The Department is not bound by any estimates in this notice.

Project Period: Up to 36 months.

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program: This program provides grants to LEAs to develop and implement innovative and effective programs to reduce alcohol abuse in secondary schools.

Priority: In accordance with 34 CFR 75.105(b)(2)(iv), this priority is from section 4129 of the Safe and Drug-Free Schools and Communities Act, 20 U.S.C. 7139.

Absolute Priority: For FY 2007 and any subsequent year in which we make awards on the basis of the list of un-funded applications from this competition, this priority is an absolute priority. Under 34 CFR 75.105(c)(3) we consider only applications that meet this priority.

This priority is:

Alcohol Abuse Reduction

A project must develop and implement innovative and effective programs to reduce alcohol abuse in secondary schools.

Program Authority: 20 U.S.C. 7139.

Applicable Regulations: (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 75, 77, 79, 80, 81, 82, 84, 85, 97, 98, 99, and 299. (b) The notice of eligibility requirement for the Office of Safe and Drug-Free Schools discretionary grant programs published in the Federal Register on December 4, 2006 (71 FR 70369).

II. Award Information

Type of Award: Discretionary grants.

Estimated Available Funds: The Administration's budget request for FY 2007 does not include funds for this program. However, we are inviting applications to allow enough time to complete

the grant process if Congress appropriates funds for this program.

Note: The Secretary may reserve up to 25 percent of funds for grants to low-income and rural LEAs.

Contingent upon the availability of funds, we may make additional awards in FY 2008 from the list of non-funded applications from this competition.

Estimated Range of Awards: \$200,000-\$400,000.

Estimated Average Size of Awards: \$300,000.

Estimated Number of Awards: 20.

Note: The Department is not bound by any estimates in this notice.

Project Period: Up to 36 months.

### III. Eligibility Information

#### 1. Eligible Applicants: LEAs.

Eligible Applicants: Local educational agencies (LEAs).

The Secretary limits eligibility under this discretionary grant program competition to applicants that do not currently have an active grant under the Grants to Reduce Alcohol Abuse (CFDA No. 84.184A ) Program. For the purpose of this eligibility requirement, a grant is considered active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds.

2. Cost Sharing or Matching: This competition does not involve cost sharing or matching.

3. Other: To be eligible to receive a grant under this competition, an LEA's application must include--

a. A description of the activities to be carried out under the grant;

b. An assurance that such activities will include one or more of the proven strategies for reducing underage alcohol abuse as determined by the Substance Abuse and Mental Health Services Administration (SAMHSA) of the U.S. Department of Health and Human Services;

c. An explanation of how other activities to be carried out under the grant that are not part of a SAMHSA model program will be effective in reducing underage alcohol abuse, including references to the past effectiveness of such activities; and

d. An assurance that the applicant will submit to the Secretary an annual report concerning the effectiveness of the programs and activities funded under the grant.

#### IV. Application and Submission Information

1. Address to Request Application Package: Education Publications Center (ED Pubs), P.O. Box 1398, Jessup, MD 20794-1398. Telephone (toll free): 1-877-433-7827. FAX: (301) 470-1244. If you use a telecommunications device for the deaf (TDD), you may call (toll free): 1-877-576-7734.

You may also contact ED Pubs at its Web site:  
[www.ed.gov/pubs/edpubs.html](http://www.ed.gov/pubs/edpubs.html) or you may contact ED Pubs at its e-mail address: [edpubs@inet.ed.gov](mailto:edpubs@inet.ed.gov)

If you request an application from ED Pubs be sure to identify this competition as follows: CFDA number 84.184A.

Individuals with disabilities may obtain this document in an alternative format (e.g., Braille, large print, audiotape, or computer diskette) on request to the program contact persons listed under For Further Information Contact elsewhere in this notice.

You may also obtain the application package electronically by downloading it from the following Web site:

[www.ed.gov/programs/dvalcoholabuse/index.html](http://www.ed.gov/programs/dvalcoholabuse/index.html)

2. Content and Form of Application Submission:

Requirements concerning the content of an application, together with the forms you must submit, are in the application package for this competition.

3. Submission Dates and Times:

Applications Available: February 9, 2007

Deadline for Transmittal of Applications: March 26, 2007

Applications for grants under this competition may be submitted electronically using the Grants.gov Apply site (Grants.gov), or in paper format by mail or hand delivery. For information (including dates and times) about how to submit your

application electronically, or by mail or hand delivery, please refer to section IV.

6. Other Submission Requirements in this notice.

Individuals with disabilities who need an accommodation or auxiliary aid in connection with the application process should contact the person listed under For Further Information Contact in section VII of this notice.

We do not consider an application that does not comply with the deadline requirements.

Deadline for Intergovernmental Review: May 25, 2007

4. Intergovernmental Review: This competition is subject to Executive Order 12372 and the regulations in 34 CFR part 79. Information about Intergovernmental Review of Federal Programs under Executive Order 12372 is in the application package for this competition.

5. Funding Restrictions: We reference regulations outlining funding restrictions in the Applicable Regulations section of this notice.

6. Other Submission Requirements: Applications for grants under this competition may be submitted electronically or in paper format by mail or hand delivery.

a. Electronic Submission of Applications.

To comply with the President's management Agenda, we are participating as a partner in the Government wide Grants.gov

Apply site. The Grants to Reduce Alcohol Abuse (CFDA) number: 84.184A, is included in this project. We request your participation in Grants.gov.

If you choose to submit your application electronically, you must use the Government wide Grants.gov Apply site at <http://www.grants.gov>. Through this site, you will be able to download a copy of the application package, complete it offline, and then upload and submit your application. You may not e-mail an electronic copy of a grant application to us.

You may access the electronic grant application for the Grants to Reduce Alcohol Abuse at <http://www.grants.gov>. You must search for the downloadable application package for this competition by the CFDA number. Do not include the CFDA number's alpha suffix in your search (e.g., search for 84.184, not 84.184A).

Please note the following:

- Your participation in Grants.gov is voluntary.
- When you enter the Grants.gov site, you will find information about submitting an application electronically through the site, as well as the hours of operation.
- Applications received by Grants.gov are date and time stamped. Your application must be fully uploaded and submitted and must be date and time stamped by the Grants.gov system no later than 4:30 p.m., Washington, DC time, on the application

deadline date. Except as otherwise noted in this section, we will not consider your application if it is date and time stamped by the Grants.gov system later than 4:30 p.m., Washington, DC time, on the application deadline date. When we retrieve your application from Grants.gov, we will notify you if we are rejecting your application because it was date and time stamped by the Grants.gov system after 4:30 p.m., Washington, DC time, on the application deadline date.

- The amount of time it can take to upload an application will vary depending on a variety of factors, including the size of the application and the speed of your Internet connection. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the submission process through Grants.gov.

- You should review and follow the Education Submission Procedures for submitting an application through Grants.gov that are included in the application package for this competition to ensure that you submit your application in a timely manner to the Grants.gov system. You can also find the Education Submission Procedures pertaining to Grants.gov at <http://egrants.ed.gov/help/GrantsgovSubmissionProcedures.pdf>

- To submit your application via Grants.gov, you must complete all steps in the Grants.gov registration process (see [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp)). These

steps include (1) registering your organization, a multi-part process that includes registration with the Central Contractor Registry (CCR); (2) registering yourself as an Authorized Organization Representative (AOR); and (3) getting authorized as an AOR by your organization. Details on these steps are outlined in the Grants.gov 3-Step Registration Guide (see <http://www.grants.gov/section910/Grants.govRegistrationBrochure.pdf>). You also must provide on your application the same D-U-N-S Number used with this registration. Please note that the registration process may take five or more business days to complete, and you must have completed all registration steps to allow you to submit successfully an application via Grants.gov. In addition you will need to update your CCR registration on an annual basis. This may take three or more business days to complete.

- You will not receive additional point value because you submit your application in electronic format, nor will we penalize you if you submit your application in paper format.

- If you submit your application electronically, you must submit all documents electronically, including all information you typically provide on the following forms: Application for Federal Assistance (SF 424), the Department of Education Supplemental Information for SF 424, Budget Information–Non-Construction Programs (ED 524), and all necessary assurances and

certifications. Please note that two of these forms—the SF 424 and the Department of Education Supplemental Information for SF 42—have replaced the ED 424 (Application for Federal Education Assistance).

- If you submit your application electronically, you must attach any narrative sections of your application as files in a .DOC (document), .RTF (rich text), or .PDF (Portable Document) format. If you upload a file type other than the three file types specified in this paragraph or submit a password-protected file, we will not review that material.

- Your electronic application must comply with any page-limit requirements described in this notice.

- After you electronically submit your application, you will receive from Grants.gov an automatic notification of receipt that contains a Grants.gov tracking number. (This notification indicates receipt by Grants.gov only, not receipt by the Department). The Department then will retrieve your application from Grants.gov and send a second notification to you by e-mail. This second notification indicates that the Department has received your application and has assigned your application a PR/Award number (an ED-specified identifying number unique to your application).

- We may request that you provide us original signatures on forms at a later date.

Application Deadline Date Extension in Case of Technical Issues

with the Grants.gov System: If you are experiencing problems submitting your application through Grants.gov, please contact the Grants.gov Support Desk at 1-800-518-4726. You must obtain a Grants.gov Support Desk Case Number and must keep a record of it.

If you are prevented from electronically submitting your application on the application deadline date because of technical problems with the Grants.gov system, we will grant you an extension until 4:30 p.m., Washington, DC time, the following business day to enable you to transmit your application electronically or by hand delivery. You also may mail your application by following the mailing instructions described elsewhere in this notice.

If you submit an application after 4:30 p.m., Washington, DC time, on the application deadline date, please contact the person listed elsewhere in this notice under For Further Information Contact and provide an explanation of the technical problem you experienced with Grants.gov, along with the Grants.gov Support Desk Case Number. We will accept your application if we can confirm that a technical problem occurred with the Grants.gov system and that that problem affected your ability to submit your application by 4:30 p.m., Washington, DC time, on the application deadline date. The Department will

contact you after a determination is made on whether your application will be accepted.

Note: The extensions to which we refer in this section apply only to the unavailability of, or technical problems with, the Grants.gov system. We will not grant you an extension if you failed to fully register to submit your application to Grants.gov before the application deadline date and time or if the technical problem you experienced is unrelated to the Grants.gov system.

b. Submission of Paper Applications by Mail. If you submit your application in paper format by mail (through the U.S. Postal Service or a commercial carrier), you must mail the original and two copies of your application, on or before the application deadline date, to the Department at the applicable following address:

By mail through the U.S. Postal Service:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.184A) 400 Maryland Avenue, SW.  
Washington, DC 20202-4260

Deleted: ¶

or

By mail through a commercial carrier:

U.S. Department of Education  
Application Control Center - Stop 4260  
Attention: (CFDA Number 84.184A)  
7100 Old Landover Road  
Landover, MD 20785-1506

Regardless of which address you use, you must show proof of mailing consisting of one of the following:

- (1) A legibly dated U.S. Postal Service postmark,
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service,
- (3) A dated shipping label, invoice, or receipt from a commercial carrier, or
- (4) Any other proof of mailing acceptable to the Secretary of the U.S. Department of Education.

If you mail your application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:

- (1) A private metered postmark, or
- (2) A mail receipt that is not dated by

The U.S. Postal Service.

If your application is postmarked after the application deadline date, we will not consider your application.

Note: The U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, you should check with your local post office.

c. Submission of Paper Applications by Hand Delivery.

If you submit your application in paper format by hand delivery, you (or a courier service) must deliver the original

and two copies of your application by hand, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.184A)  
550 12th Street, SW.  
Room 7041, Potomac Center Plaza  
Washington, DC 20202-4260

The Application Control Center accepts hand deliveries daily between 8:00 a.m. and 4:30 p.m., Washington, DC time, except Saturdays, Sundays and Federal holidays.

Note for Mail or Hand Delivery of Paper Applications: If you mail or hand deliver your application to the Department:

(1) You must indicate on the envelope and – if not provided by the Department – in Item 4 of the Application for Federal Education Assistance (ED 424) the CFDA number – and suffix letter, if any – of the competition under which you are submitting your application.

(2) The Application Control Center will mail a grant application receipt acknowledgment to you. If you do not receive the grant application receipt acknowledgment within 15 business days from the application deadline date, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

V. Application Review Information

1. Selection Criteria: The selection criteria for this program are in 34 CFR 75.210 and in the application package for this competition.

2. Review and Selection Process: An additional factor we consider in selecting an application for an award is rural and low-income status.

Applications from rural and low-income applicants will be read and scored separately and up to 25 percent of the available funds will be reserved for awards to these LEAs. The following is the suggested definition of rural and low-income that has been used by this program in previous competitions; however, LEAs that want to be considered as rural and low-income applicants may provide other supporting evidence of their status as rural and low-income.

A rural and low-income LEA is one (a) that is designated with a locale code of 6, 7, or 8, as determined by the Department's National Center for Education Statistics (NCES); and (b) in which 20 percent or more of the children ages 5 through 17 years served by the LEA are from families with incomes below the poverty line.

Note: Applicants wishing to be considered under this factor must be both rural and low-income.

## VI. Award Administration Information

1. Award Notices: If your application is successful,

we will notify your U.S. Representative and U.S. Senators and send you a Grant Award Notice (GAN). We may also notify you informally.

If your application is not evaluated or not selected for funding, we will notify you.

2. Administrative and National Policy Requirements:

We identify administrative and national policy requirements in the application package and reference these and other requirements in the Applicable Regulations section of this notice.

We reference the regulations outlining the terms and conditions of an award in the Applicable Regulations section of this notice and include these and other specific conditions in the GAN. The GAN also incorporates your approved application as part of your binding commitments under the grant.

3. Reporting: At the end of your project period, you must submit a final performance report, including financial information, as directed by the Secretary. If you receive a multi-year award, you must submit an annual performance report that provides the most current performance and financial expenditure information as specified by the Secretary in 34 CFR 75.718.

4. Performance Measures: Under the Government

Performance and Results Act (GPRA), three measures have been developed for evaluating the overall effectiveness of the Grants to Reduce Alcohol Abuse Program: (1) the percentage of grantees whose target students show a measurable decrease in binge drinking; (2) the percentage of grantees that show a measurable increase in the percentage of target students who believe that alcohol abuse is harmful to their health; and (3) the percentage of grantees that show a measurable increase in the percentage of target students who disapprove of alcohol abuse. These three measures constitute the Department's indicators of success for this program. Consequently, applicants for a grant under this program are advised to give careful consideration to these three measures in conceptualizing the design, implementation, and evaluation of their proposed project. If funded, applicants will be asked to collect and report data in their annual performance reports about progress toward these goals.

#### VII. Agency Contact

For Further Information Contact: Amalia Cuervo, U.S. Department of Education, 400 Maryland Ave., SW., room 3E342, Washington, DC 20202-6450. Telephone: (202) 205-2855 or by e-mail:

[amalia.cuervo@ed.gov](mailto:amalia.cuervo@ed.gov) or Phyllis Scattergood, U.S. Department of Education, 400 Maryland Ave. SW., room 3E212, Washington DC, 20202-6450. Telephone: (202) 260-0504, or by email: [phyllis.scattergood@ed.gov](mailto:phyllis.scattergood@ed.gov).

If you use a telecommunications device for the deaf (TDD), you may call the Federal Relay Service (FRS) at 1-800-877-8339.

Individuals with disabilities may obtain this document in an alternative format (e.g., Braille, large print, audiotape, or computer diskette) on request to one of the program contact persons

listed in this section.

#### VIII. Other Information

Electronic Access to This Document: You may view this document, as well as all other documents of this Department published in the Federal Register, in text or Adobe Portable Document Format (PDF) on the Internet at the following site:

[www.ed.gov/news/fedregister](http://www.ed.gov/news/fedregister)

To use PDF you must have Adobe Acrobat Reader, which is available free at this site. If you have questions about using PDF, call the U.S. Government Printing Office (GPO), toll free, at 1-888-293-6498; or in the Washington, DC, area at (202) 512-1530.

Note: The official version of this document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and the Code of Federal Regulations is available on GPO Access at:

[www.gpoaccess.gov/nara/index.html](http://www.gpoaccess.gov/nara/index.html).

Dated: February 9, 2007

A handwritten signature in cursive script that reads "Deborah Price".

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Deborah A. Price,  
Assistant Deputy Secretary for  
Safe and Drug-Free Schools.

## Authorizing Legislation – No Child Left Behind Act of 2001

### Subpart 2-National Programs

#### SEC. 4129. GRANTS TO REDUCE ALCOHOL ABUSE.

(a) In General-The Secretary, in consultation with the Administrator of the Substance Abuse and Mental Health Services Administration, may award grants from funds made available to carry out this subpart under section 4003(2), on a competitive basis, to local educational agencies to enable such agencies to develop and implement innovative and effective programs to reduce alcohol abuse in secondary schools.

(b) Eligibility-To be eligible to receive a grant under subsection (a), a local educational agency shall prepare and submit to the Secretary an application at such time, in such manner, and containing such information as the Secretary may require, including —

- (1) a description of the activities to be carried out under the grant;
- (2) an assurance that such activities will include one or more of the proven strategies for reducing underage alcohol abuse as determined by the Substance Abuse and Mental Health Services Administration;
- (3) an explanation of how activities to be carried out under the grant that are not described in paragraph (2) will be effective in reducing underage alcohol abuse, including references to the past effectiveness of such activities;
- (4) an assurance that the applicant will submit to the Secretary an annual report concerning the effectiveness of the programs and activities funded under the grant; and
- (5) such other information as the Secretary determines appropriate.

(c) Streamlining of Process for Low-Income and Rural LEAs-The Secretary, in consultation with the Administrator of the Substance Abuse and Mental Health Services Administration, shall develop procedures to make the application process for grants under this section more user-friendly, particularly for low-income and rural local educational agencies.

(d) Reservations-

- (1) SAMHSA-The Secretary may reserve 20 percent of any amount used to carry out this section to enable the Administrator of the Substance Abuse and Mental Health Services Administration to provide alcohol abuse resources and start-up assistance to local educational agencies receiving grants under this section.
- (2) Low-Income and Rural Areas-The Secretary may reserve 25 percent of any amount used to carry out this section to award grants to low-income and rural local educational agencies.

## IV. GENERAL APPLICATION INSTRUCTIONS AND INFORMATION

### Preparing the Application

A completed application for assistance under this competition consists of two parts: a detailed narrative description of the proposed project and budget narrative including a project abstract and other forms required in this package. All forms and assurances must be submitted in order to receive a grant. An application under this program should address the specific needs of the applicant and propose activities specifically designed to meet those needs. We strongly discourage applicants from using “form” applications or proposals that address general rather than specific local needs. Identical or substantially similar applications are not responsive to the scoring criteria.

A panel of non-federal readers with experience in alcohol abuse prevention or other high-risk behaviors will review each eligible application submitted by the deadline. The panel will award points ranging from 0 to 100 to each application depending on how well the selection criteria are addressed. Be sure you provide a comprehensive response to each factor under each selection criterion. Applications that fail to do so will be read, but our experience suggests they may not score well enough to be funded.

If you apply via Grants.gov, you will use the following Grants.gov narrative forms:

- ED Abstract Narrative Attachment Form
- Project Narrative Attachment Form
- Other Narrative Attachment Form
- Budget Narrative Attachment Form

The **ED Abstract Narrative Attachment Form** is where you will attach your program abstract.

The **Project Narrative Attachment Form** is where you will attach the narrative sections addressing the selection criteria that will be used to evaluate applications submitted for this grant competition.

The **Other Narrative Attachment Form** is where you will attach proposal appendices, such as curriculum vitae of key personnel, letters of commitment, and samples of evaluation instruments. The Grants.gov system will allow applicants to attach as many as 10 separate appendices in this section.

The **Budget Narrative Attachment Form** is where you will attach a detailed line item budget and any supplemental budget information.

All applicants should adhere to the following formatting guidelines:

- Use 1-inch margins. If you submit your application in paper format by mail or hand delivery, your application should be printed on 8 1/2” by 11” paper.

- Use consistent font no smaller than 12-point type throughout your document. You may use boldface type, underlining, and italics; however, do not use colored text.
- For the project narrative, your application should consist of the number and text of each selection criterion followed by the narrative. The text of the selection criterion, if included, does not count against any page limitation.
- Place a page number at the bottom right of each page beginning with 1, and number your pages consecutively throughout your document, beginning with the Abstract and ending with the Appendices. **Note:** Do not paginate any of the forms.

If you submit your proposal via Grants.gov, you will use your own word-processing software to complete the application for this grant competition.

*If you are submitting an application in hard copy, you will follow the same general instructions but you will not attach your abstract, project narrative, or other narratives to the Grants.gov forms.*

## **Organizing the Application**

Supplemental Instructions for Standard Form 424

### **1. Application for Federal Assistance (SF Form 424):**

*Reminder: All applicants must obtain and use a DUNS number, and all applicants applying through Grants.gov must register with Grants.gov. Information on how to obtain a DUNS number is included below. The DUNS number used on the application must be the same number that you have used to register with the Central Contractor Registry. If the numbers are not the same, Grants.gov will reject the application.*

#### ***D-U-N-S NUMBER INSTRUCTIONS***

*The D-U-N-S Number is a unique nine-digit number that does not convey any information about the recipient. A built-in check digit helps to ensure the accuracy of the D-U-N-S Number. The ninth digit of each number is the check digit, which is mathematically related to the other digits. It lets computer systems determine if a D-U-N-S Number has been entered correctly.*

*You can obtain a D-U-N-S Number at no charge by calling 800/333-0505 or by completing the D-U-N-S Number Request Form, available online at [www.dnb.com/US/duns\\_update/index.html](http://www.dnb.com/US/duns_update/index.html). Dun & Bradstreet, a global information provider, has assigned D-U-N-S Numbers to more than 43 million companies worldwide. Customer service is available on Monday-Friday from 8:00 a.m. to 6:00 p.m. (Eastern Time) at 888/814-1435.*

Use the Application for Federal Assistance and the Department of Education Supplemental Information for SF 424. This is the title page of your application. Be sure that Item 10 identifies

the CFDA Number for this grant competition: 84.184A and the Title as Grant to Reduce Alcohol Abuse Program.

If you submit your proposal for this grant competition via Grants.gov, please complete the SF424 (Application for Federal Assistance) first. Grants.gov will insert the correct CFDA and program name automatically where needed.

If you submit your proposal in paper format by mail or hand delivery, you will need to insert the correct CFDA number and program name where requested.

Under Item 3 in the ED Supplemental Information, indicate whether the proposed project includes human subjects research activities, and if so, whether any or all of the proposed activities are exempt. For additional guidance, see instructions for ED Supplemental Information in the required forms section of this application package or call ED's protection of human subjects coordinator at 202/245-6153.

Electronic submission requires that narratives and other files be attached to the following attachment forms as per the instruction in this document such as:

- One Page Abstract must be attached to the "Department of Education Abstract Form"
- Program Narratives must be attached to the "Program Narrative Attachment Form"
- Budget Narratives must be attached to the "Budget Narrative Attachment Form"
- All vitas, table of contents, letters, certifications, supplementary statements; and other requested appendices must be attached to the "Other Attachment Form"

NOTE: Please do not attach any narratives, supporting files, or application components to the Standard Form (SF 424). Although this form accepts attachments, the Department of Education will only review materials/files attached to the attachment forms listed above."

**2. Abstract:** Include a concise, one-page, double-spaced abstract following the Table of Contents. This is a key element and should include a brief narrative describing a brief summary of the project goals and objectives and the intended outcomes of the project. Clearly mark this page with the applicant's name as shown in Item 1 of SF Form 424. If you submit your application via Grants.gov, attach this document to the **ED Abstract Narrative Attachment Form**.

**3. Project Narrative:** This section should be no more than 25 double-spaced typewritten pages. The narrative must contain evidence that the applicant meets the absolute priority and should contain and follow in sequence the information requested for each selection criterion. Applicants should review Section II for a discussion of the selection criteria and the chief considerations for this specific grant competition. A timeline or schedule of tasks and events, responsible person(s), project milestone(s), and/or completion dates should be included in the narrative. Include a Table of Contents with page references. The Table of Contents does not count against any page limitations. If you submit your application via Grants.gov, attach this document to the **Project Narrative Attachment Form**.

**4. Budget Narrative:** You will use the Budget Information Form (ED Form 524) provided in the required forms section of this application package to prepare a budget for the project. That form

will not be attached to the Budget Narrative Attachment Form **Note:** A budget must be submitted for each year in which funds are requested (up to 2 years). Failure to supply a budget and narrative for each year of the project will result in no funding for those years.

You must include a detailed budget narrative that supports and explains the information provided in ED Form 524. Use the same budget categories as those on ED Form 524 and explain the basis used to estimate costs for all budget categories, and how the cost items relate to the proposed project's goals, objectives, and activities. All expenditures must be necessary to carry out the goals and objectives of the project, reasonable for the scope and complexity of the project, and allowable under the terms and conditions of the grant and in accordance with government cost principles.

This *narrative for the Budget Information Form* should provide enough detail for ED staff to easily understand how costs were determined and if the budget is commensurate with the scope of the project. Applicants must submit separate detailed budgets for each year as shown on the Budget Information Form. If you submit your application via Grants.gov, attach this document to the **Budget Narrative Attachment Form**.

For this grant competition, you may charge indirect costs using the rate negotiated with your cognizant federal agency. Be sure to include evidence of a federally negotiated indirect cost rate. You may also use your State negotiated rate. If you budget for contractual services, please note that indirect costs may be applied only to the first \$25,000 of each subcontract, regardless of the period covered by the subcontract.

If you claim indirect costs in the budget for your proposed project and do not have a negotiated rate with the federal government, you have 90 days from the time you transmit your application to submit the necessary paperwork to the Department to receive a negotiated indirect cost rate. For more information about indirect cost rates, please visit [www.ed.gov/about/offices/list/ocfo/intro.html](http://www.ed.gov/about/offices/list/ocfo/intro.html).

**5. Appendices:** If you submit your application via Grants.gov, the **Other Narrative Attachment Form** is where you will attach proposal appendices that applicants may choose to submit in support of their capacity and preparation to undertake the proposed project, such as curriculum vitae of key personnel, letters of commitment, and samples of evaluation instruments. The Grants.gov system will allow applicants to attach as many as 10 separate appendices in this section.

If you submit your application in paper format via mail or hand delivery, information provided in this section includes forms and other material required by ED in order for an application to be eligible for funding as well as any other information that applicants may choose to submit in support of their capacity and preparation to undertake the proposed project.

The following items are **not** part of the appendices and may not be included:

- Budget or program narrative information that the applicant wishes to have reviewed as part of its response to one or more scoring criteria—all such information must be included in the narrative portion of the application
- Videotapes, CD-ROMs, photographs, or floppy disks—they will not be reviewed and we will not return them.

This section **must** include the following:

- GEPA 427, Equitable Access to and Participation in Federally Assisted Programs
- Letter of Transmittal to State Single Point of Contact (if your state participates)
- Proof of federally negotiated indirect cost rate (if you are claiming indirect costs)

This section **may** include the following:

- Other information the applicant wishes to include in support of its capacity, experience, and readiness to undertake the proposed project, including:
- Resumes of key personnel. If personnel have yet to be hired for this proposed project, include a narrative description of expected staff qualifications.
- Letters of commitment that reflect each person's awareness of their role in the proposed project. Each letter should indicate a willingness to put forth the necessary time and effort to make the project work efficiently and effectively.
- Relevant prior grant experience.

**6. Assurances and Certifications:** If you submit your application electronically, you must complete all forms posted on Grants.gov.

If you submit your application in paper format via mail or hand delivery, you **must** fill out, have signed by the person authorized to sign for the institution, and submit the following forms:

- Assurances, Non-Construction Programs (Standard Form, 424B)
- Grants.gov Lobbying Form (formerly ED Form 80-0013)
- Disclosure of Lobbying Activities (Standard Form-LLL)
- Survey on Ensuring Equal Opportunity for Applicants (private, nonprofit organizations only)

**Note:** If Item 2 of the Grants.gov Lobbying Form applies because of lobbying activities related to a previous grant, or are anticipated to occur with this project if it is funded, you must submit Standard Form LLL. If your organization does not engage in lobbying, please submit Standard Form LLL and indicate as "Not Applicable."

## **Instructions for Standard Forms**

- Application for Federal Assistance (Standard Form 424)
- Department of Education Supplemental Form for the Standard Form 424
- Department of Education Budget Information – Non-Construction Programs (ED Form 524)
- Disclosure of Lobbying Activities (Standard Form LLL)

## Instructions for Application for Federal Assistance (Standard Form 424)

Public reporting burden for this collection of information is estimated to average 60 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

This is a standard form (including the continuation sheet) required for use as a cover sheet for submission of preapplications and applications and related information under discretionary programs. Some of the items are required and some are optional at the discretion of the applicant or the Federal agency (agency). Required items are identified with an asterisk on the form and are specified in the instructions below. In addition to the instructions provided below, applicants must consult agency instructions to determine specific requirements.

Item	Entry:	Item	Entry:
1.	<b>Type of Submission:</b> (Required): Select one type of submission in accordance with agency instructions. <ul style="list-style-type: none"> <li>• Preapplication</li> <li>• Application</li> <li>• Changed/Corrected Application – If requested by the agency, check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this to submit changes after the closing date.</li> </ul>	10.	<b>Name Of Federal Agency:</b> (Required) Enter the name of the Federal agency from which assistance is being requested with this application.
		11.	<b>Catalog Of Federal Domestic Assistance Number/Title:</b> Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.
2.	<b>Type of Application:</b> (Required) Select one type of application in accordance with agency instructions. <ul style="list-style-type: none"> <li>• New – An application that is being submitted to an agency for the first time.</li> <li>• Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals.</li> <li>• Revision - Any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided.                A. Increase Award      B. Decrease Award                C. Increase Duration    D. Decrease Duration                E. Other (specify)</li> </ul>	12.	<b>Funding Opportunity Number/Title:</b> (Required) Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement.
		13.	<b>Competition Identification Number/Title:</b> Enter the Competition Identification Number and title of the competition under which assistance is requested, if applicable.
		14.	<b>Areas Affected By Project:</b> List the areas or entities using the categories (e.g., cities, counties, states, etc.) specified in agency instructions. Use the continuation sheet to enter additional areas, if needed.
3.	<b>Date Received:</b> Leave this field blank. This date will be assigned by the Federal agency.	15.	<b>Descriptive Title of Applicant's Project:</b> (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For preapplications, attach a summary description of the project.
4.	<b>Applicant Identifier:</b> Enter the entity identifier assigned by the Federal agency, if any, or applicant's control number, if applicable.		
5a.	<b>Federal Entity Identifier:</b> Enter the number assigned to your organization by the Federal Agency, if any.	16.	<b>Congressional Districts Of:</b> (Required) 16a. Enter the applicant's Congressional District, and 16b. Enter all District(s) affected by the program or project. Enter in the format: 2 characters State Abbreviation – 2-3 characters District Number, e.g., CA-12 for California 12 <sup>th</sup> district, NC-103 for North Carolina's 103 <sup>rd</sup> district. <ul style="list-style-type: none"> <li>• If all congressional districts in a state are affected, enter "all" for the district number, e.g., MD-all for all congressional districts in Maryland.</li> <li>• If nationwide, i.e. all districts within all states are affected, enter US-all.</li> <li>• If the program/project is outside the US, enter 00-000.</li> </ul>
5b.	<b>Federal Award Identifier:</b> For new applications leave blank. For a continuation or revision to an existing award, enter the previously assigned Federal award identifier number. If a changed/corrected application, enter the Federal Identifier in accordance with agency instructions.		
6.	<b>Date Received by State:</b> Leave this field blank. This date will be assigned by the State, if applicable.		
7.	<b>State Application Identifier:</b> Leave this field blank. This identifier will be assigned by the State, if applicable.		
8.	<b>Applicant Information:</b> Enter the following in accordance with agency instructions:		

	<p><b>a. Legal Name:</b> (Required): Enter the legal name of applicant that will undertake the assistance activity. This is the name that the organization has registered with the Central Contractor Registry. Information on registering with CCR may be obtained by visiting the Grants.gov website.</p>	17.	<p><b>Proposed Project Start and End Dates:</b> (Required) Enter the proposed start date and end date of the project.</p>		
	<p><b>b. Employer/Taxpayer Number (EIN/TIN):</b> (Required): Enter the Employer or Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.</p>	18.	<p><b>Estimated Funding:</b> (Required) Enter the amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.</p>		
	<p><b>c. Organizational DUNS:</b> (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting the Grants.gov website.</p>				
	<p><b>d. Address:</b> Enter the complete address as follows: Street address (Line 1 required), City (Required), County, State (Required, if country is US), Province, Country (Required), Zip/Postal Code (Required, if country is US).</p>	19.	<p><b>Is Application Subject to Review by State Under Executive Order 12372 Process?</b> Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State</p>		
	<p><b>e. Organizational Unit:</b> Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the assistance activity, if applicable.</p>				
	<p><b>f. Name and contact information of person to be contacted on matters involving this application:</b> Enter the name (First and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.</p>	20.	<p><b>Is the Applicant Delinquent on any Federal Debt?</b> (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.  If yes, include an explanation on the continuation sheet.</p>		
9.	<p>Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.</p> <table border="0" data-bbox="167 846 776 1392"> <tr> <td data-bbox="167 846 483 1241"> <ul style="list-style-type: none"> <li>A. State Government</li> <li>B. County Government</li> <li>C. City or Township Government</li> <li>D. Special District Government</li> <li>E. Regional Organization</li> <li>F. U.S. Territory or Possession</li> <li>G. Independent School District</li> <li>H. Public/State Controlled Institution of Higher Education</li> <li>I. Indian/Native American Tribal Government (Federally Recognized)</li> <li>J. Indian/Native American Tribal Government (Other than Federally Recognized)</li> <li>K. Indian/Native American Tribally Designated Organization</li> <li>L. Public/Indian Housing Authority</li> </ul> </td> <td data-bbox="483 846 776 1392"> <ul style="list-style-type: none"> <li>M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)</li> <li>N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)</li> <li>O. Private Institution of Higher Education</li> <li>P. Individual</li> <li>Q. For-Profit Organization (Other than Small Business)</li> <li>R. Small Business</li> <li>S. Hispanic-serving Institution</li> <li>T. Historically Black Colleges and Universities (HBCUs)</li> <li>U. Tribally Controlled Colleges and Universities (TCCUs)</li> <li>V. Alaska Native and Native Hawaiian Serving Institutions</li> <li>W. Non-domestic (non-US) Entity</li> <li>X. Other (specify)</li> </ul> </td> </tr> </table>	<ul style="list-style-type: none"> <li>A. State Government</li> <li>B. County Government</li> <li>C. City or Township Government</li> <li>D. Special District Government</li> <li>E. Regional Organization</li> <li>F. U.S. Territory or Possession</li> <li>G. Independent School District</li> <li>H. Public/State Controlled Institution of Higher Education</li> <li>I. Indian/Native American Tribal Government (Federally Recognized)</li> <li>J. Indian/Native American Tribal Government (Other than Federally Recognized)</li> <li>K. Indian/Native American Tribally Designated Organization</li> <li>L. Public/Indian Housing Authority</li> </ul>	<ul style="list-style-type: none"> <li>M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)</li> <li>N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)</li> <li>O. Private Institution of Higher Education</li> <li>P. Individual</li> <li>Q. For-Profit Organization (Other than Small Business)</li> <li>R. Small Business</li> <li>S. Hispanic-serving Institution</li> <li>T. Historically Black Colleges and Universities (HBCUs)</li> <li>U. Tribally Controlled Colleges and Universities (TCCUs)</li> <li>V. Alaska Native and Native Hawaiian Serving Institutions</li> <li>W. Non-domestic (non-US) Entity</li> <li>X. Other (specify)</li> </ul>	21.	<p><b>Authorized Representative:</b> (Required) To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required) title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant. A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)</p>
<ul style="list-style-type: none"> <li>A. State Government</li> <li>B. County Government</li> <li>C. City or Township Government</li> <li>D. Special District Government</li> <li>E. Regional Organization</li> <li>F. U.S. Territory or Possession</li> <li>G. Independent School District</li> <li>H. Public/State Controlled Institution of Higher Education</li> <li>I. Indian/Native American Tribal Government (Federally Recognized)</li> <li>J. Indian/Native American Tribal Government (Other than Federally Recognized)</li> <li>K. Indian/Native American Tribally Designated Organization</li> <li>L. Public/Indian Housing Authority</li> </ul>	<ul style="list-style-type: none"> <li>M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)</li> <li>N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)</li> <li>O. Private Institution of Higher Education</li> <li>P. Individual</li> <li>Q. For-Profit Organization (Other than Small Business)</li> <li>R. Small Business</li> <li>S. Hispanic-serving Institution</li> <li>T. Historically Black Colleges and Universities (HBCUs)</li> <li>U. Tribally Controlled Colleges and Universities (TCCUs)</li> <li>V. Alaska Native and Native Hawaiian Serving Institutions</li> <li>W. Non-domestic (non-US) Entity</li> <li>X. Other (specify)</li> </ul>				

## **Instructions for Department of Education Supplemental Information for Standard Form 424**

**1. Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.

**2. Novice Applicant.** Check “Yes” or “No” only if assistance is being requested under a program that gives special consideration to novice applicants. Otherwise, **leave blank**.

Check “Yes” if you meet the requirements for novice applicants specified in the regulations in 34 CFR 75.225 and included on the attached page entitled “Definitions for Department of Education Supplemental Information for SF 424.” By checking “Yes” the applicant certifies that it meets these novice applicant requirements. Check “No” if you do not meet the requirements for novice applicants.

**3. Human Subjects Research.** (See I. A. “Definitions” in attached page entitled “Definitions for Department of Education Supplemental Information for SF 424.”)

**If Not Human Subjects Research.** Check “No” if research activities involving human subjects are not planned at any time during the proposed project period. The remaining parts of Item 3 are then not applicable.

**If Human Subjects Research.** Check “Yes” if research activities involving human subjects are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution. Check “Yes” even if the research is exempt from the regulations for the protection of human subjects. (See I. B. “Exemptions” in attached page entitled “Definitions for Department of Education Supplemental Information for SF 424.”)

**3a. If Human Subjects Research is Exempt from the Human Subjects Regulations.** Check “Yes” if all the research activities proposed are designated to be exempt from the regulations. Insert the exemption number(s) corresponding to one or more of the six exemption categories listed in I. B. “Exemptions.” In addition, follow the instructions in II. A. “Exempt Research Narrative” in the attached page entitled “Definitions for Department of Education Supplemental Information for SF 424.”

**3a. If Human Subjects Research is Not Exempt from Human Subjects Regulations.** Check “No” if some or all of the planned research activities are covered (not exempt). In addition, follow the instructions in II. B. “Nonexempt Research Narrative” in the page entitled “Definitions for Department of Education Supplemental Information for SF 424.”

**3a. Human Subjects Assurance Number.** If the applicant has an approved Federal Wide (FWA) on file with the Office for Human Research Protections (OHRP), U.S. Department of Health and Human Services, that covers the specific activity, insert the number in the space provided. If the applicant does not have an approved assurance on file with OHRP, enter “None.” In this case, the applicant, by signature on the SF-424, is declaring that it will comply with 34 CFR 97 and proceed to obtain the human subjects assurance upon request by the designated ED official. If the application is recommended/selected for funding, the designated ED official will request that the applicant obtain the assurance within 30 days after the specific formal request.

**Note about Institutional Review Board Approval.** ED does not require certification of Institutional Review Board approval with the application. However, if an application that involves non-exempt human subjects research is recommended/selected for funding, the designated ED official will request that the applicant obtain and send the certification to ED within 30 days after the formal request.

*Paperwork Burden Statement. According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0017. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4700. If you have comments or concerns regarding the status of your individual submission of this form write directly to: Joyce I. Mays, Application Control Center, U.S. Department of Education, Potomac Center Plaza, 550 12<sup>th</sup> Street, S.W. Room 7076, Washington, D.C. 20202-4260.*

**Definitions for Department of Education  
Supplemental Information for Standard Form 424**

**Definitions:**

**Novice Applicant (See 34 CFR 75.225).** For discretionary grant programs under which the Secretary gives special consideration to novice applications, a novice applicant means any applicant for a grant from ED that—

- Has never received a grant or subgrant under the program from which it seeks funding;
- Has never been a member of a group application, submitted in accordance with 34 CFR 75.127-75.129, that received a grant under the program from which it seeks funding; and
- Has not had an active discretionary grant from the Federal government in the five years before the deadline date for applications under the program. For the purposes of this requirement, a grant is active until the end of the grant’s project or funding period, including any extensions of those periods that extend the grantee’s authority to obligate funds.

In the case of a group application submitted in accordance with 34 CFR 75.127-75.129, a group includes only parties that meet the requirements listed above.

**PROTECTION OF HUMAN SUBJECTS IN RESEARCH**

**I. Definitions and Exemptions**

**A. Definitions.**

**A research activity involves human subjects if the activity is research, as defined in the Department’s regulations, and the research activity will involve use of human subjects, as defined in the regulations.**

**—Research**

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as “a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge.” *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge it is research.* Activities, which meet this definition, constitute research whether or not they are conducted or supported under a program that is considered research for other purposes. For example, some demonstration and service programs may include research activities.

**—Human Subject**

The regulations define human subject as “a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information.” (1) *If an activity involves obtaining information about a living person by manipulating that person or that person’s environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met.* (2) *If an activity involves obtaining*

*private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met.* [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

**B. Exemptions.**

Research activities in which the **only** involvement of human subjects will be in one or more of the following six categories of **exemptions** are not covered by the regulations:

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects’ responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects’ financial standing, employability, or reputation. ***If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.*** [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and

which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

## II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives

If the applicant marked "Yes" for Item 3 of Department of Education Supplemental Information for SF 424, the applicant must provide a human subjects "exempt research" or "nonexempt research" narrative. Insert the narrative(s) in the space provided. If you have multiple projects and need to provide more than one narrative, be sure to label each set of responses as to the project they address.

### A. Exempt Research Narrative.

If you marked "Yes" for item 3 a. and designated exemption numbers(s), provide the "exempt research" narrative. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct.

### B. Nonexempt Research Narrative.

If you marked "No" for item 3 a. you must provide the "nonexempt research" narrative. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

#### (1) Human Subjects Involvement and Characteristics:

Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable.

(2) **Sources of Materials:** Identify the sources of research material obtained from individually identifiable living human

subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

(3) **Recruitment and Informed Consent:** Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

(4) **Potential Risks:** Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

(5) **Protection Against Risk:** Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

(6) **Importance of the Knowledge to be Gained:** Discuss the importance of the knowledge gained or to be gained as a result of the proposed research. Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

(7) **Collaborating Site(s):** If research involving human subjects will take place at collaborating site(s) or other performance site(s), name the sites and briefly describe their involvement or role in the research.

*Copies of the Department of Education's Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, D.C. 20202-4250, telephone: (202) 245-6120, and on the U.S. Department of Education's Protection of Human Subjects in Research Web Site: <http://www.ed.gov/about/offices/list/OCFO/humansub.html>*

NOTE: The **State Applicant Identifier** on the SF 424 is for State Use only. Please complete it on the OMB Standard 424 in the upper right corner of the form (if applicable).

**Instructions for Department of Education Budget Information –  
Non-Construction Programs (ED Form 524)**

General Instructions

This form is used to apply to individual U.S. Department of Education (ED) discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program specific instructions, if attached. Please consult with your Business Office prior to submitting this form.

Section A - Budget Summary  
U.S. Department of Education Funds

All applicants must complete Section A and provide a breakdown by the applicable budget categories shown in lines 1-11.

Lines 1-11, columns (a)-(e): For each project year for which funding is requested, show the total amount requested for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If funding is requested for only one project year, leave this column blank.

Line 12, columns (a)-(e): Show the total budget request for each project year for which funding is requested.

Line 12, column (f): Show the total amount requested for all project years. If funding is requested for only one year, leave this space blank.

**Indirect Cost Information:**

If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. (1): Indicate whether or not your organization has an Indirect Cost Rate Agreement that was approved by the Federal government. (2): If you checked "yes" in (1), indicate in (2) the beginning and ending dates covered by the Indirect Cost Rate Agreement. In addition, indicate whether ED or another Federal agency (Other) issued the approved agreement. If you check "Other," specify the name of the Federal agency that issued the approved agreement. (3): If you are applying for a grant under a Restricted Rate Program (34 CFR 75.563 or 76.563), indicate whether you are using a restricted indirect cost rate that is included on your approved Indirect Cost Rate Agreement or whether you are using a restricted indirect cost rate that complies with 34 CFR 76.564(c)(2). Note: State or Local government agencies may not use the provision for a restricted indirect cost rate specified in 34 CFR 76.564(c)(2). Check only one response. Leave blank, if this item is not applicable.

Section B - Budget Summary  
Non-Federal Funds

If you are required to provide or volunteer to provide matching funds or other non-Federal resources to the project, these should be shown for each applicable budget category on lines 1-11 of Section B.

Lines 1-11, columns (a)-(e): For each project year, for which matching funds or other contributions are provided, show the total contribution for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If non-Federal contributions are provided for only one year, leave this column blank.

Line 12, columns (a)-(e): Show the total matching or other contribution for each project year.

Line 12, column (f): Show the total amount to be contributed for all years of the multi-year project. If non-Federal contributions are provided for only one year, leave this space blank.

Section C - Budget Narrative [Attach separate sheet(s)]  
Pay attention to applicable program specific instructions, if attached.

1. Provide an itemized budget breakdown, and justification by project year, for each budget category listed in Sections A and B. For grant projects that will be divided into two or more separately budgeted major activities or sub-projects, show for each budget category of a project year the breakdown of the specific expenses attributable to each sub-project or activity.
2. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
3. If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. Specify the estimated amount of the base to which the indirect cost rate is applied and the total indirect expense. Depending on the grant program to which you are applying and/or your approved Indirect Cost Rate Agreement, some direct cost budget categories in your grant application budget may not be included in the base and multiplied by your indirect cost rate. For example, you must multiply the indirect cost rates of "Training grants" (34 CFR 75.562) and grants under programs with "Supplement not Supplant" requirements ("Restricted Rate" programs) by a "modified total direct cost" (MTDC) base (34 CFR 75.563 or 76.563). Please indicate which costs are included and which costs are excluded from the base to which the indirect cost rate is applied.

When calculating indirect costs (line 10) for "Training grants" or grants under "Restricted Rate" programs, you must refer to the information and examples on ED's website at: <http://www.ed.gov/fund/grant/apply/appforms/appforms.html>. You may also contact (202) 377-3838 for additional information regarding calculating indirect cost rates or general indirect cost rate information.

4. Provide other explanations or comments you deem necessary.

#### Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0004. The time required to complete this information collection is estimated to vary from 13 to 22 hours per response, with an average of 17.5 hours per response, including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to (insert program office), U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202.

## Instructions for Disclosure of Lobbying Activities (Standard Form LLL)

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

- 1) Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
- 2) Identify the status of the covered Federal action.
- 3) Identify the appropriate classification of this report. If this is a follow-up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
- 4) Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
- 5) If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
- 6) Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
- 7) Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
- 8) Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."
- 9) For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
- 10) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
- 11) The certifying official shall sign and date the form, print his/her name, title, and telephone number.

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According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503.

## Intergovernmental Review of Federal Programs

This grant competition is subject to the requirements of Executive Order 12372 and the regulations in 34 CFR Part 79. One of the objectives of the Executive Order is to foster an intergovernmental partnership and a strengthened federalism. The Executive Order relies on processes developed by state and local governments for coordination and review of proposed federal financial assistance.

Applicants must contact the appropriate State Single Point of Contact to find out about, and to comply with, the state's process under Executive Order 12372. Applicants proposing to perform activities in more than one state should immediately contact the Single Point of Contact for each of those states and follow the procedure established in each state under the Executive Order. The name and address of each State Single Point of Contact is listed below. *Note: A copy of the applicant's letter to the State Single Point of Contact must be included with the application.*

To view a list of states that participate in the intergovernmental review process, visit [www.whitehouse.gov/omb/grants/spoc.html](http://www.whitehouse.gov/omb/grants/spoc.html).

In states that have not established a process or chosen a program for review, state, area-wide, regional, and local entities may submit comments directly to the Department.

Any state process recommendation and other comments submitted by a State Single Point of Contact and any comments from state, area-wide, regional, and local entities must be received by May 25, 2007, at the following address: The Secretary, EO 12372—CFDA #84.184A, U.S. Department of Education, 400 Maryland Avenue, SW, Room 7W300, Washington, DC 20202-0124. Recommendations or comments may be hand-delivered until 4:30 p.m. (Eastern Time) on May 25, 2007. Please do not send applications to this address.

States that are not listed have chosen not to participate in the intergovernmental review process, and therefore do not have a State Single Point of Contact. If you are located within one of these states, you are exempt from this requirement.

### General Education Provisions Act (GEPA) Section 427

Section 427 of GEPA affects applicants for new discretionary grant awards under this program. All applicants for new awards must include information in their applications to address this provision, summarized below, in order to receive funding under this program.

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its federally-assisted program for students, teachers, and other program beneficiaries with special needs.

This section allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation that you may address: *gender, race, national origin, color, disability, or age*. Based on local circumstances, you can determine whether these or other barriers may prevent your students, teachers, or others from equitable access or

participation. Your description need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

**NOTE: A general statement of an applicant’s nondiscriminatory hiring policy is not sufficient to meet this requirement. Applicants must identify potential barriers and explain steps they will take to overcome these barriers.**

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the federal funds awarded to eliminate barriers it identifies.

### **Examples**

The following examples help illustrate how an applicant may comply with section 427.

1. An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.
2. An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audiotape or in Braille for students who are blind.
3. An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course might indicate how it tends to conduct “outreach” efforts to girls to encourage their enrollment.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

### **Estimated Public Reporting Burden**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for the GEPA 427 is OMB No. 1890-0007. The time required to complete GEPA 427 is estimated to average 1.5 hours per response, including the time to review instructions, search existing data sources, gather and maintain the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate or suggestions for improving this form, please write to: U.S. Department of Education, Washington, DC 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to: U.S. Department of Education, Office of Safe and Drug-Free Schools, 400 Maryland Avenue, SW, Washington, DC 20202-6450.

## **Application Preparation Checklist**

Application for Federal Assistance (SF Form 424) is completed according to the instructions and includes the nine-digit D-U-N-S Number and Tax Identification Number.

All required forms are signed in black or blue ink and dated by an authorized official and the signed original is included with your submission.

One signed original and two copies of the application, including all required forms and appendices plus one voluntarily submitted additional copy, are included. All copies are unbound and each page is consecutively numbered.

Deadline Date: **March 26, 2007**. See Sections I and IV of this application package for complete application transmittal instructions and general application instructions and information.

### **EACH COPY OF THE APPLICATION MUST INCLUDE THE FOLLOWING:**

- Application for Federal Assistance (SF Form 424) - Page 1
- Department of Education Supplemental Information Form for the SF 424
- Project Abstract - Page 2 (one page maximum)
- Project Narrative (up to 25 pages double-spaced)
- All applications must include the required forms, assurances, and certifications, including:
  - Budget Information Form (ED Form 524) and detailed budget narrative
  - Assurances, Non-Construction Programs (ED Form 424B)
  - Certification Regarding Lobbying (ED Form 80-0013)
  - Disclosure of Lobbying Activities (Standard Form–LLL)
- Narrative response to GEPA 427
- Copy of letter to State Single Point of Contact
- Proof of federally negotiated indirect cost rate (if you are claiming indirect costs)

### **Paperwork Burden Statement**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is OMB No. 1890-0009, Expiration Date: 06/30/2008. The time required to complete this information collection is estimated to average 32 hours per response, including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection.

If you have any comments concerning the accuracy of the time estimate or suggestions for improving this form, please write to: U.S. Department of Education, Washington, DC 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to: U.S. Department of Education, Office of Safe and Drug-Free Schools, 400 Maryland Avenue, SW, Washington, DC 20202-6450.