

# **SAFE SCHOOLS/HEALTHY STUDENTS**

**CFDA # 84.184L**

**OMB Control Number XXXXXX**

**Expiration Date: XXXXXX**

**Information and Application Procedures for Fiscal Year 2007**

**Application Deadline: May 31, 2007**

**U.S. Department of Education  
U.S. Department of Health and Human Services  
U.S. Department of Justice**



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**(Application transmittal instructions and Grants.gov submission procedures  
in separate documents since they're general (not program-specific)  
information.)**

## II. PROGRAM BACKGROUND INFORMATION

### General Information

#### ELIGIBILITY

This competition limits eligibility to local educational agencies (LEAs) that are not current SS/HS grantees with an active grant.

#### AUTHORITY

This application package is based on 34 CFR Parts 74, 75, 77, 79, 80, 81, 82, 84, 85, 86, 97, 98, and 99 of the Education Department General Administrative Regulations (EDGAR). This competition is authorized under Title IV, Section 4121 of the Elementary and Secondary Education Act (ESEA) as amended by the No Child Left Behind Act of 2001, the Public Health Service Act (42 U.S.C. 290aa); and the Juvenile Justice and Delinquency Prevention Act (42 U.S.C. 5614(b)(4)(e) and 5781 et seq.)

#### OFFICIAL DOCUMENTS NOTICE

The official documents governing this competition are the Notice Inviting Applications and the Notice of Final Priorities, Requirements, Selection Criteria, and Definitions published in the Federal Register (See Section III [Legal and Regulatory Documents] of this application package). These notices also are 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).

#### PAPERWORK REDUCTION ACT 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 collection is XXX-XXX and will expire on XXXXXX. The time required to complete these forms is estimated to average 26 hours per response, including the time to review the instructions and complete the survey. **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 any comments or concerns regarding the status of your individual submission of this form, write directly to:** Office of Safe and Drug-Free Schools, U.S. Department of Education, Federal Office Building 6, 400 Maryland Avenue, SW., Washington, DC 20202-6450.

#### RESOURCES

Any questions related to the requirements of this grant competition should be directed to Karen Dorsey, of the Office of Safe and Drug-Free Schools (OSDFS) at 202/708-4674. For more information about the Safe Schools/Healthy Students program and related subjects you can visit the following websites: [www.ed.gov/programs/xxx](http://www.ed.gov/programs/xxx) and at [www.sshs.samhsa.gov](http://www.sshs.samhsa.gov). Additional related websites are contained in Appendix B "Resource List."

#### AVAILABLE TECHNICAL ASSISTANCE

A series of 1-hour audio conferences will be held during the months of April and May. During these audio conferences Federal staff will take questions from prospective applicants on

eligibility requirements, grant application requirements, and the application review process. The schedule will be posted <http://www.sshs.samhsa.gov>.

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

The project period for this grant is 48 months (four budget periods of 12 months each). We intend the project and budget periods for projects funded under this grant competition to be September 1, 2007 – August 31, 2008. However, awards may be made as late as September 30, 2007. Projects will be funded for one year with continuation funding for additional years contingent upon substantial progress by the grantee and the availability of funds.

Applicants requesting funds must submit ED Form 524 and a detailed budget narrative for each of the four 12-month budget periods 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 \$750,000 to \$2,250,000 per year depending on the enrollment data of the LEA or the combined enrollment data of the LEAs for consortia applicants. These figures are only estimates and do not bind the Department of Education to a specific number of grants or amount of any grant.

### **BUDGET**

Applicants must complete and submit two sets of the ED 524 forms for each of the project's four 12-month budget periods -- one set should represent funds needed to support program Elements 1, 2, and 3 and another set should represent funds needed to support program Elements 4 and 5. Each 524 form should be accompanied by a budget narrative. The budget narratives should contain the same budget categories as are on the ED 524 and provide detailed information on how costs were. Failure to submit an ED 524 and budget narratives for each grant year will result in no funding for those years for which a budget was not submitted.

### **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 12 to 14 weeks. We expect to notify successful applicants in early September 2007.

### **HUMAN SUBJECTS RESEARCH**

Please see Item 3 of the instructions for Supplemental Information for Standard Form 424 in Section IV 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.

## **GRANT EXPECTATIONS**

By submitting an application for this program, applicants agree to fully cooperate with any evaluation efforts conducted by ED or SAMHSA, and their 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 a national evaluator to collect key program information that will help assess the extent to which projects supported under this grant competition are meeting their goals and objectives. ED, DOJ or HHS 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 violence, alcohol, tobacco and other drug use or promoting prosocial behaviors in youth.

## **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 on an annual basis and at the end of the 4-year grant period:

### **(1) Student Victimization/Perception of School Safety**

- Percentage of grantees that experience a decrease in students who did not go to school on one or more days during the past 30 days because they felt unsafe at school, or on their way to and from school.
- Percentage of grantees that experience a decrease in students who have been in a physical fight on school property in the 12 months prior to the survey.

### **(2) Student Substance Use/Abuse**

- Percentage of grantees that report a decrease in students who report current (30-day) marijuana use.
- Percentage of grantees that report a decrease in students who report current (30-day) alcohol use.

### (3) Mental Health Services Provided

- Percentage of grantees that report an increase in the number of students receiving school-based mental health services.
- Percentage of grantees that report an increase in the percentage of mental health referrals for students that result in mental health services being provided in the community.

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 reports. Grantees will be asked to provide student data for each of the measures detailed above so that staff can determine whether or not grantees are achieving progress in these areas.



## **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 [www.ed.gov/programs/xxx](http://www.ed.gov/programs/xxx) and at [www.sshs.samhsa.gov](http://www.sshs.samhsa.gov).
  - ✓ 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?**

- 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.
- 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. Agency staff will award any appropriate competitive preference points based on data concerning prior recipients of SS/HS grants. Competitive preference points will be in addition to points awarded by peer reviewers.

- A Grant Award Notification will be sent to applicants whose proposals rank highly enough to be awarded a grant. 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.

## II. The Safe Schools/Healthy Students Initiative

### Background

Since 1999, the U.S. Departments of Education, Health and Human Services, and Justice (the Federal partners) have collaborated on the Safe Schools/Healthy Students (SS/HS) Initiative. The SS/HS Initiative is a discretionary grant program that provides communities with Federal funding to implement a coordinated and comprehensive plan of activities, curricula, programs, and services that focus on creating safe school environments, promoting health childhood development, and preventing youth violence and alcohol and other drug abuse. Eligible applicants are local educational agencies (LEAs) or a consortium of LEAs that partner with their local, public mental health, law enforcement and juvenile justice agencies to develop and submit a community-specific SS/HS comprehensive plan that addresses the following five elements:

- Element 1: Safe school environments and violence prevention activities.
- Element 2: Alcohol, tobacco and other drug prevention activities.
- Element 3: Student behavioral, social, and emotional supports.
- Element 4: Mental health services.
- Element 5: Early childhood social and emotional learning programs.

Over the past years the SS/HS Federal partners, individually and collectively, have worked diligently to improve the lives of America's children. Unfortunate recent events of school violence and research show that more work and resources are needed. The SS/HS Initiative allows LEAs, in partnership with their local juvenile justice agency, law enforcement, and public mental health, to submit a single application for federal funds to coordinate and strengthen existing effective programs, policies, and strategies as well as institute new programs, policies and strategies that reduce and prevent violence and promote health childhood development.

To date the SS/HS Federal partners have provided over \$1 billion in funding and other resources to xxx communities across the Nation as they work collaboratively to implement their SS/HS comprehensive plan. In implementing their SS/HS comprehensive plan, SS/HS grantees have provided students, schools, families and communities with a network of effective activities, curricula, programs and services that:

- enhanced prosocial behaviors to prevent violent behavior and drug use;
- increased availability of mental health services;
- reduced incidents of violent behavior and drug use;
- created schools and communities that are safe, disciplined and drug-free
- engaged parents, community organizations, faith-based groups, and other agencies; and
- developed an infrastructure that have been institutionalized and sustained after the federal funding ended.

Key to the SS/HS Initiative is partnership. Issues that affect the learning environment of schools –such as bullying, fighting, alcohol and drug abuse, need for mental health services, and truancy – cannot be solved by schools alone. These diverse and complex problems not only affect students and their families but also frequently spill out into the community. To effectively respond to these issues a community collaboration approach can be very effective. The

community collaboration allows for combined knowledge, skill and resources of various local public, private and community agencies to respond to issues that frequently cross discipline, cultural, geographic and socio-economic lines. The SS/HS Initiative identifies four local agencies – education, mental health, law enforcement and juvenile justice – to provide leadership and management to the community collaboration as it supports the vision of the SS/HS program:

“To promote the mental health of students, to enhance academic achievement, to prevent violence and substance abuse, and to create safe and respectful climates through sustainable school-family-community partnerships and the use of research-based prevention and early intervention programs, and policies and procedures.”

The SS/HS Initiative draws on the best practice of education, justice, law enforcement, social and mental health services to encourage applicants to use a community-focused, collaborative approach to develop a comprehensive plan with a continuum of activities, curricula, programs, and services. Additionally, it is our hope that the SS/HS partnership will continue beyond the life of the project, ensuring continuation of the SS/HS funded activities, curricula, programs and services as well as a continued community-focused, collaborative approach in resolving future community problems.

## Requirements for SS/HS Grant Applications

To be eligible for funding, all applicants MUST meet the following requirements:

1. **Be an eligible applicant.** Eligible applicants are Local Educational Agencies (LEAs) or a consortium of LEAs that are not current SS/HS grantees or a member of a current SS/HS consortium. Applicants are encouraged to check with State Educational Agencies to verify their status as an LEA.

For the purpose of this eligibility requirement, a grant is considered to be a current grant 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. **Propose a project that meets the absolute project priority.** The LEA's application must propose to implement an integrated, comprehensive community-wide plan designed to create safe, respectful, and drug-free school environments and promote prosocial skills and healthy childhood development in youth. Plans must focus activities, curricula, programs, and services in a manner that responds to the community's existing needs, gaps, or weaknesses in areas related to the following five elements:

- Element One – Safe School Environments and Violence Prevention Activities.
- Element Two - Alcohol, Tobacco, and Other Drug Prevention Activities.
- Element Three - Student Behavioral, Social, and Emotional Supports.
- Element Four - Mental Health Services.
- Element Five - Early Childhood Social and Emotional Learning Programs.

See page **xx** for additional information about this topic under “SS/HS Absolute Priority.”

3. **Request no more than the maximum amount established based on the district's enrollment data.** An applicant's request for funding must not exceed the maximum amount established based on enrollment data. The maximum request for any of the project's four 12-month budget periods is:

- \$2,250,000 for an LEA with at least 35,000 students;
- \$1,500,000 for an LEA with at least 5,000 students but less than 35,000 students
- \$750,000 for an LEA with less than 5,000 students

Applicants must use the most recent student enrollment data from the National Center for Education Statistics (NCES) Common Core of Data (CCD) as published on the NCES website. See page **xx** for additional information about this topic under “Determining Your Maximum Funding Request.”

4. **Include a signed preliminary memorandum of agreement.** To demonstrate that the applicant has the support and commitment of the required SS/HS partners, applicants are required to include preliminary MOA with their application. The preliminary MOA must be signed, and dated no earlier than 6 months prior to the SS/HS application deadline, by the required SS/HS partners -- the authorized representative of the LEA, the their local juvenile justice agency, law enforcement, and public mental health.

See page xx for additional information about this topic under “Memorandum of Agreement.”

5. **Include a logic model.** The logic model is a graphic representation of the project in chart format that depicts by element, the integration of the proposed activities, curricula, programs, and services with the identified needs and gaps, goals, objectives, activities, partners’ role, outcomes and measures for outcomes.

See page xx for additional information about this topic in Appendix B “Resource List” and a sample logic model in Appendix D.

6. **Include the program-specific assurance if applicable.** Former LEAs are eligible to re-apply as a single applicant or as a member of a consortium provided a signed program-specific assurance is submitted with the application. For consortium applicants, all participating LEAs in the consortia must sign this program-specific assurance if one member of the consortium received funding from a SS/HS grant as a sole applicant or as part of another consortium. The program-specific assurance must state that the scope of work included in the current SS/HS application is new and that funding, if awarded, will not be used to sustain previously funded activities, curricula, programs, and services to a population served by the first SS/HS grant.

See Appendix C for sample program-specific assurance.

**Applications that fail to meet any one of the above six requirements will not be submitted to peer reviewers for consideration.**

## **Other Administrative Requirements that Apply to this Grant Program**

**General Education Provisions Act (GEPA) Statement.** Section 427 of GEPA requires each applicant for funding to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, Federal-assisted programs for students, teachers, and other program beneficiaries with special needs. Applicants for new SS/HS awards must include information in their applications to address this provision. More detailed information about the requirements is included on page XX.

**Equitable Participation of Private Schools.** LEAs that receive a SS/HS grant are required to provide for the equitable participation of private school children, their teachers, and other educational personnel in private schools located in areas served by the grant recipient. In order to ensure that grant program activities address the needs of private school children, the LEA must engage in timely and meaningful consultation with private school officials during the design and development of the program. This consultation must take place before any decision is made that affects the opportunities of eligible private school children, teachers, and other educational personnel to participate. Administrative direction and control over grant funds must remain with the grantee.

In order to ensure equitable participation of private school children, teachers, and other educational personnel, the LEA must consult with private school officials on issues such as how

children's needs will be identified; what services will be offered; how and where the services will be provided; who will provide the services; how the services will be assessed and how assessment results will be used to improve the services; the amount of funds available for services; the size and scope of the services to be provided; how and when decision about the delivery of services will be made; and the provisions of contract services through potential third-party providers.

See Section 9501 of the Elementary and Secondary Education Act as reauthorized by the No Child Left Behind Act of 2001.

**Maintenance of Effort.** An LEA may received an SS/HS grant only if the State Educational Agency finds that the combined fiscal effort per student or the aggregate expenditures of the LEA and the State with respect to the provision of public education by the LEA for the preceding fiscal year was not less than 90 percent of the combined fiscal effort or aggregate expenditures for the second preceding fiscal year.

## **SS/HS Absolute Priority**

SS/HS applicants' proposal must meet the absolute priority for the competition in order to be considered for funding. That is, applicants proposals must support the projects of local educational agencies (LEAs) proposing to implement an integrated, comprehensive community-wide plans designed to create safe, respectful, and drug-free school environments and promote prosocial skills and healthy childhood development in youth. Plans must focus activities, curricula, programs, and services in a manner that responds to the community's existing needs, gaps, or weaknesses in areas related to the five comprehensive plan elements:

- Element One – Safe School Environments and Violence Prevention Activities.
- Element Two - Alcohol, Tobacco, and Other Drug Prevention Activities.
- Element Three - Student Behavioral, Social, and Emotional Supports.
- Element Four - Mental Health Services.
- Element Five - Early Childhood Social and Emotional Learning Programs.

A complete discussion of the five elements begins on page **xx**.

## **Competitive Preference Priority**

A competitive preference will be given to applications from LEAs that have not yet received a grant under this program as an applicant or as a member of a consortium. For a consortium application to be eligible under this priority, no member of the LEA consortium can have received a grant or services under this program as an applicant or as a member of a consortium applicant.

## **Program-Specific Assurance for Former SS/HS Grantees**

Former LEAs are eligible to re-apply as a single applicant or as a member of a consortium provided a signed program-specific assurance is submitted with the application. For consortium applicants, all participating LEAs in the consortia must sign this program-specific assurance if one member of the consortium received funding from a SS/HS grant as a sole applicant or as part of another consortium. The program-specific assurance must state that the scope of work included in the current SS/HS application is new and that funding, if awarded, will not be used to sustain previously funded activities, curricula, programs, and services to a population served by the first SS/HS grant. See Appendix C for a sample program-specific assurance.

## **Memoranda of Agreement (MOAs)**

To demonstrate the support and commitment of the required SS/HS partners -- the LEA, local juvenile justice agency, local law enforcement agency, and local public mental authority -- applications must include a preliminary MOA. Additionally, the preliminary MOA must include information that supports the selection of the identified local juvenile justice agency, law enforcement, and public mental health partners to assure effective change to and access to resources, policies, programs, and services that relate to the project priority is possible.



### **Definitions for Required Partnerships**

**Local Law Enforcement Partner:** the local agency or agencies with law enforcement authority for the communities to be served by the grant. Examples of local law enforcement agencies include municipal, county, and state police; tribal police and councils; and sheriff's departments.

**Local Juvenile Justice Partner:** a local-level agency or organization that is officially recognized by state or local government to have the capacity to address juvenile justice system issues in the communities to be served by the grant. Examples of juvenile justice partners include, but are not limited to, local juvenile justice task forces, juvenile justice centers, juvenile and/or family courts, juvenile probation, and juvenile corrections.

**Local Public Mental Health Partner\*:** the legally constituted entity closest to the community level that, directly or through contract with the state mental health authority, provides administrative control or oversight of mental health services delivery within the community.

*\*Applicants should contact their State Department of Mental Health to identify the relevant local public mental health authority. Mental health entities that have no legal authority in the administrative oversight of the delivery of mental health services are not acceptable as the sole mental health partner. The local public mental health authority is not required to provide mental health services to the selected population.*

The **preliminary MOA** must name a core management team. Community collaboration is challenging. The core management team will be responsible for supporting the project director and provide leadership and management, to SS/HS project /collaborative process. Your preliminary MOA must also describe the process used to engage multiple and diverse sectors of the community in the design, and will use in the implementation and continuous improvement of the comprehensive plan. Community engagement allows those affected to help define problems (and causes for those problems) and identifying solutions. Meaningful community engagement is essential when responding to diverse needs; it not only builds trust and a sense of community but can also empower individuals to be actively involved and commitment to sustaining the project. Finally, the preliminary MOA must include a logic model, a graphic representation of the project in chart format. Additional information about “Developing Your SS/HS Logic Model” can be found on page **xx**.

We have found that some communities experience significant changes from the time the SS/HS application is submitted to the time of the award. To ensure that needed partners and resources remain available to implement the comprehensive plan, grantees will be required to submit a **final MOA**. The final MOA would update information included in the preliminary MOA and provide additional assurances; address management and service delivery issues; and other pertinent information that would increase the likelihood of a successful project. The final MOA would be signed by the authorized representatives of each of the required partners and be submitted no later than six months after the award is made.

The requirements for the signed MOAs are as follows --

At the minimum the **preliminary MOA** must:

- be signed by the authorized representatives of the LEA, the local juvenile justice agency, the local law enforcement agency, and the local public mental authority – the required SS/HS partners;
- For consortium applicants, be signed by each member LEA and the corresponding required SS/HS partners for each member LEA;
- include information that supports the selection of each identified SS/HS required partner that has signed the preliminary MOA;
- demonstrate the support and commitment of the required SS/HS partners to implement and sustain the project if funded;
- name a core management team of senior representatives from the required partners, and clearly define how each member of the team will support the project director in the day-to-day management of the project;
- describe how multiple and diverse sectors of the community, including parents and students, have been and will continue to be involved in the design, implementation, and continuous improvement of the project; and
- include, as an attachment, a logic model (a graphic representation of the project in chart format) that identifies needs or gaps and connects those needs or gaps with corresponding project goals, objectives, activities, partners' roles, outcomes, and outcome measures for each of the SS/HS elements.

Applications that do not include the preliminary MOA signed by the authorized representatives of each of the required partners (the LEA, local juvenile justice agency, local law enforcement agency, and local public mental authority) and the logic model would be rejected and not considered for funding

At a minimum the **final MOA** must:

- be signed by the SS/HS partners – the authorized representatives for the LEA, the local juvenile justice agency, the local law enforcement agency, and public mental health authority;
- for consortium applicants, be signed by each member LEA and the corresponding required SS/HS partners for each member LEA;

- include information that supports the selection of each identified SS/HS required partner that has signed the final MOA;
- include any needed revisions to the statement of support and commitment for each of the required SS/HS partners to implement and sustain the project;
- include a final roster of the core management team of senior representatives from the required SS/HS partners, that clearly defines how each member of the team will support the project director in the day-to-day management of the project;
- include any needed revisions to the process for including multiple and diverse sectors of the community in the implementation and continuous improvement of the project;
- include a final logic model that identifies needs or gaps and connects those needs or gaps with corresponding project goals, objectives, activities, partners' role, outcomes, and outcome measures for each of the SS/HS elements;
- include a description of each partner's financial responsibility for the services that it will provide along with the conditions and terms of responsibility for those services, including quality, accountability, and coordination of services as they relate to achieving the goals, objectives, and outcomes of the project;
- include a description of the procedures to be used for referral, treatment, and follow-up for children and adolescents in need of mental health services and an assurance that the local public mental health authority will provide administrative control and/or oversight of the delivery of mental health services; and
- include any other necessary revisions to information furnished in the preliminary MOA.

Additional information and technical assistance will be provided to grantees to support them as they finalize the MOA. Decisions for continuation funding will be based, in part, on the submission of a complete final MOA in a timely manner.

### **Developing Your SS/HS Logic Model**

SS/HS projects are usually large and complex. Our experience has shown that the use of a visual tool, such as a logic model, can be invaluable to applicants, peer reviewers, and federal staff. The logic model provides a snapshot view of basic information on one page. The chart format allows for easy cross-referencing between the project narrative, preliminary MOA, and the budget. The logic model will allow the applicant, peer reviewer and Federal staff to readily evaluate --

- If needs and gaps have been identified.
- If goals and objectives respond to the identified needs and gaps.
- If implementing proposed activities are related to and will contribute towards achieving identified goals and objectives.

- If partners are actively and appropriately participating in implementing the project.
- If outcomes and measures for outcomes are presented.
- If resources (staff, materials, training, etc) are allocated in the budget

The SS/HS logic model should provide a very clear picture (graphic representation in ac chart format) of your SS/HS comprehensive plan. For each element, the logic model chart should illustrate the relationship between the information identified as a need or gap with the corresponding goals, objectives, activities, partners’ roles in implementing those activities, and outcomes and method for measuring outcomes. (An example of this presentation is presented in Figure #1.)

**FIGURE 1:**

<b>SS/HS Program Logic Model</b>					
<b>Element One - Safe School Environments &amp; Violence Prevention Materials</b>					
<b>Needs and Gaps</b>	<b>Goals</b>	<b>Objectives</b>	<b>Activities</b>	<b>Partners Role</b>	<b>Outcomes &amp; Outcome Measures</b>

**Determining Your Maximum Funding Request**

To determine your maximum funding request for the SS/HS application, you must use the most current enrollment data published by NCES. The enrollment data can be found by using the National Public School and School District Locator. The Locator is available online at <http://nces.ed.gov/ccd/districtsearch/>.

An applicant’s request for funding must not exceed the maximum amount established based on enrollment data. Consortia applicants should base their maximum funding request on the combined enrollment of all participating LEAs. The maximum request for any of the project’s four 12-month budget periods is:

- \$2,250,000 for an LEA with at least 35,000 students;
- \$1,500,000 for an LEA with at least 5,000 students but less than 35,000 students
- \$750,000 for an LEA with less than 5,000 students

### **How to Use the NCES School District Locator to Access Enrollment Data**

1. Go to the online NCES Locator at <http://nces.ed.gov/ccd/districtsearch/>.
2. Type in the city and state of the school district that will serve as the fiscal agent and primary applicant for the SS/HS grant application and click on the “Search” button. This will bring up a list of possible school districts found in that city and state.
3. Click on the correct district link. This will bring up information under two headings -- “District Information and “District Details.”
4. Under the heading “District Details” you will find a number for “total students” -- use this number to determine the maximum funding you are eligible to request.
5. Print this page and include it with the SS/HS application. Consortia applicants will need to print and include this page for each of the participating LEAs.

NOTE: Bureau of Indian Affairs (BIA) schools do not have to use the locator. BIA applicants need only to include documentation of their status as a BIA school if the request for funding does not exceed \$750,000 for any of the project’s four 12-month periods. BIA schools requesting more than \$750,000 for any of the project’s four 12-month periods must also provide documentation of student enrollment data.

**Applicants should ensure that their budget requests do not exceed the maximum funding request allowable for its student enrollment data. Applications that exceed the maximum for their designated enrollment size will not be read, and grants will not be awarded for amounts that exceed these established maximum amounts.**

### **Including a Continuum of Evidence-Based Strategies in Your SS/HS Comprehensive Plan**

As you design your comprehensive plan including a continuum of strategies -- activities, curricula, programs, and services -- that are evidence-based, across elements, will help in reaching your project’s goals and objectives.

#### ***A Continuum of Strategies***

Recent literature on the subjects of violence and substance abuse prevention emphasizes the importance of providing a continuum of strategies (activities, curricula, programs, and services). This continuum is frequently described as a three-stage model -- (1) universal prevention, (2) early intervention, and (3) intensive services. The three-stage model recognizes that all students can benefit from participating in universal prevention activities and that students at higher risk for substance abuse and/or violence, or those already demonstrating such problematic behaviors, require different interventions.

**Universal Prevention-** Activities, curricula, programs or services provided to students regardless of risk in hopes of delaying or preventing negative and/or violent behavior (such as bullying or fighting) and enhancing knowledge and skills that will improve the level of respect and caring attitude displayed by all.

**Early Intervention -** Activities, curricula, programs or services provided to students who are at risk of engaging in, or experiencing, negative and/or violent behavior

**Intensive-** Activities, curricula, programs or services designed for individuals at highest risk of engaging in negative and/or violent behavior, or individuals who are already demonstrating such behavior. For additional information on this topic please see Appendix B “Resource List.”

### ***Choosing Evidence-Based Programs***

The federal *No Child Left Behind Act of 2001*, and many federal K-12 grant programs, require educational practitioners to use “scientifically-based research” (also referred to as “evidence-based,” “science based” or “researched based”) programs. With limited available resources selecting programs that have proven to be effective in creating positive change is critical. There is a wide range of evidence-based strategies (activities, curricula, programs, and services) available to select from as well as a growing body of evidence-based principles and research to consider (see section under Resources). Below are a few of the questions (this is not an inclusive list) you may want to consider when selecting strategies to include in your comprehensive plan --

1. Is the activity, curricula, program, or service based on a well-defined theory or model?
2. Is there sound research (quality and appropriateness of design, data collection, and analysis) to show evidence that activity, curricula, program, or service caused or contributed to a desired outcome?
3. Given your community’s risk and protective factors, can you replicate the activity, curricula, program or service with fidelity?
4. Is the program age, gender, culturally appropriate for your selected population?

## **The SS/HS Elements**

### **Element 1: Safe school environments and violence prevention activities.**

Without a safe learning environment, teachers cannot teach and students cannot learn. Safe school environments and effective violence prevention efforts promote a climate in which learning can take place. The goal of this element is to identify issues, conditions, behaviors, and/or structures that contribute to unsafe school environments and violence in schools and the community and then propose strategies that will address identified issues and result in safe and orderly schools and reduced level of violence in schools and the community.

To accomplish this goal, applicants should consider including strategies that focus on the entire school population as well as those students with disruptive, destructive or violent behaviors. A

continuum of strategies -- including universal prevention, early intervention, and intensive activities, curricula, programs and services-- is key to success.

Examples of strategies for universal prevention include such things as conducting a safety and security assessment and then implementing interventions to correct deficiencies, such as installing surveillance cameras. **(Reminder, no more than 10 percent of the total budget for each year may be used to support costs associated with security equipment, personnel and minor remodeling of school facilities to improve safety).** Other universal prevention activities could include developing and implementing a district-wide school safety plan; instituting a district-wide research based violence prevention curriculum; and promoting good citizenship and character as part of a plan to improve overall school climate.

Early intervention strategies include such things as providing violence prevention curricula in an intensive, small group setting; training staff on the early warning signs of violence; developing a district-wide policy for assessment and referral; parenting programs; and training staff and identified students on conflict resolution skills.

More intensive strategies include such things as alternative programs; case management and coordinated services for students re-entering schools from juvenile justice or alternative school placements; and student courts.

## **Element 2: Alcohol, tobacco and other drug (ATOD) prevention activities.**

ATOD use and abuse is a complex human behavior often related to other factors in the home or wider community, but it has a negative impact on the learning environment of the school. Schools have developed and implemented curricula and instructional programs to address ATOD use. Although curricula and instructional programs are important and necessary, they are insufficient alone.

The prevention or reduction of substance use and abuse among youth needs to be coordinated with broader environmental strategies that address change not only at the individual, classroom, and school levels, but also at the family and community levels. Recognizing the importance of the family is critical. Research has suggested that family interventions aimed at improving parenting practices and the family environment can be effective in reducing risk for later problem behaviors and ATOD abuse among youth

Examples of strategies include school-wide implementation of research-based ATOD prevention curricula; social norms campaigns aimed at reshaping attitudes and beliefs regarding ATOD use; and review of policies and procedures addressing ATOD use across schools and other community institutions. (All of these are examples of universal prevention). Programming to address the needs of students who are at higher risk or those already engaging in problem behavior would include more individually focused supports and more intensive evidence-based programming or practices.

### **Element 3: Student behavioral, social, and emotional supports.**

Academic and social success depends on more than instruction alone. In addition to having a strong academic focus that supports students to achieve high standards, successful schools also foster positive relationships for youth, promote meaningful parental and community involvement, and recognize that the social and emotional needs of students play an important role in their development. When youth participate in supervised, engaging, and well-planned programs that provide positive interaction with peers and adults, promote initiative, and encourage youth to contribute to society, youth are more likely to succeed academically and have positive attitudes toward their school and community.

Youth who engage in such activities also exhibit improved behavior, including an increase in self and social awareness, an ability to effectively manage negative emotions, and improved decision-making and negotiation skills to address negative peer pressure. Students, families, and other community members such as law enforcement officers, juvenile justice personnel, social services and mental health professionals, faith-based, and community based organizations are important partners in addressing the behavioral, social and emotional supports for students and should be involved in the planning of these activities.

Examples of universal strategies that can be included in your comprehensive plan include: opportunities for students to participate in after-school programs; staff training focused on knowledge and skills needed to support positive student behavior; designated staff to improve school-community liaisons. Well-designed mentoring programs may address the needs of students at higher risk for problem behavior or those already demonstrating such behavior.

(This grant is not intended to fund activities that support direct academic instruction, such as academic tutoring.)

### **Element 4: Mental health services.**

Many children and adolescents have mental health needs but are unable to access appropriate high-quality mental health services. Growing evidence shows that school mental health programs improve educational outcomes by decreasing absences, decreasing discipline referrals, and improving test scores. Identifying mental health problems early, and providing appropriate services is key to improving academic achievement and overall student well being.

In responding to this element, an applicant should consider including the following activities:

- providing early identification and assessment in the school setting;
- providing appropriate school-based mental health early intervention services for at-risk children and adolescents and their families;
- providing referral and follow up with local public mental health agencies when treatment is indicated, consistent with the written agreement between the schools and the local public mental health organization;
- providing training and consultation to school personnel;



- providing supportive services to families in order that they may participate fully in the educational, social, and healthy development of their children; and
- revising policies and procedures as needed to ensure enhanced communication and information sharing across service systems (such as common referral or intake forms).

It is intended that this element’s activities will support enhanced integration, coordination, and resource sharing among education, mental health and social services providers. For this reason, the SS/HS final MOA requires a formal arrangement between schools and public mental health entities concerning the delivery of mental health services for children and adolescents with more serious mental health problems, to complement school-based universal prevention and early intervention services.

These grant funds are not intended to supplant the financial resources already dedicated to improving mental health services under the Individuals with Disabilities Education Act (IDEA). These funds are intended to leverage and coordinate mental health services.

### **Element 5: Early childhood social and emotional learning programs.**

Experiences that occur in the first five years of life profoundly affect later development. Learning that occurs in these early years is rapid, spanning various domains – cognitive, linguistic, moral, social, emotional, and behavioral – all of which impact school readiness. Children who develop a secure attachment to at least one adult are more likely to develop social and emotional skills that lay the foundation for future healthy interpersonal relationships, association with non-violent peers, and improved academic achievement.

Because younger children are not yet enrolled in school, access to families with children and toddlers may be complex; for this reason, proposed activities should include ways to overcome barriers to identifying and serving children and families in need of the services to be provided. Appropriate community partners should be identified and consulted in the development of services to address the proposed early childhood social and emotional learning programs

Examples of activities, curricula, programs and services that can be included under element 5 include: training for parents; training for professionals working in early childcare centers; parent and caregiver support groups; and screening for developmental milestones and school readiness in all early childhood programs. (These are examples of universal prevention activities). Examples of activities and programs that address the needs of youngsters at higher risk or those already demonstrating problem behavior might include pre- and post-natal nurse home visitation; case management; crisis intervention; and intensive therapy.

### **Local Evaluation**

Applicants are to present a plan for evaluating their SS/HS comprehensive plan. At least 7 percent of the total budget must be allocated to local evaluation efforts for each of the 4 years of the grant. The purpose of the local evaluation is to provide timely information for creating strategic plans, measuring progress, and keeping the project focused on the overall objective of the SS/HS—promoting healthy childhood development and preventing violence and substance

abuse. Local evaluation is also an important tool in sustaining local progress after federal funding has ended.

#### **Evaluation Planning Considerations: Characteristics of Strong Evaluation Plans**

The design is consistent with the goals and objectives and link with activities and proposed process and outcome measures.

The design provides needed levels of autonomy and independence to collect, analyze, and report on data.

The design includes both process and outcome measures that:

- Describe how the SS/HS comprehensive plan (activities, curricula, and activities) will be implemented and how it will be determined whether goals and objectives have been met.
- Report on the local adaptation and fidelity of implementation of selected evidence-based programs.
- Show if, and to what extent, the SS/HS comprehensive plan (activities, curricula, and programs) is producing its intended effects with the targeted population.

The design describes how the SS/HS partners will be provided with data that can be used to make adjustments in service delivery and improve the SS/HS comprehensive plan.

The design provides for lead evaluator and staff to serve in an advisory capacity to the local SS/HS partner and assist with planning, implementation, and sustainability activities.

The design allows for the accurate and timely collection of Government Performance and Results Act data.

Goals are generally broad outcome statements (e.g., improve school safety), and objectives are more specific statements that operationalize the broader goal statement into smaller, measurable units.

The local evaluation design should include both process and outcome measures linked directly to goals and objectives. Process measures describe what was done, how it was done, and to whom and for whom it was done. Process measures are especially important to ensure that evidence-based programs are implemented with fidelity in order to maximize their effectiveness. Outcome measures evaluate the effect of activities, curricula, and programs.

Applicants should demonstrate a strong commitment to making evaluation an integral part of their SS/HS planning and implementation activities.

### **SELECTION CRITERIA**

The following selection criteria will be used to evaluate applications. For ease of reading by the reviewers, applicants should develop their narrative to follow the sequence of the criteria below.

The maximum number of possible points for all selection criteria is 100. Applicants must address each sub criterion. Your response to the selection criteria is the narrative portion of your SS/HS application. This narrative portion of your application, combined with your logic model, will serve as your SS/HS comprehensive plan. The narrative portion is limited to 40 double-spaced pages and must adhere to the format requirements on page xx.

- 1) Community Assessment – 20 points
- 2) Goals and Objectives – 15 points
- 3) Project Design – 25 points
- 4) Evaluation – 15 points
- 5) Management – 20 points
- 6) Budget – 5 points

### **1. COMMUNITY ASSESSMENT (20 Points)**

- (a) The extent to which the applicant describes individual, family, school, and community risk and protective factors that relate to the five SS/HS elements and will be addressed by the project.
- (b) The extent to which the applicant describes student problem behaviors as they relate to the five SS/HS elements and how they will be addressed by the project.
- (c) The extent to which the applicant identifies, in the project narrative and the logic model, needs and gaps related to the five SS/HS elements that are not addressed by current services and programs.

### **2. GOALS AND OBJECTIVES (15 Points)**

- (a) The extent to which the applicant's project narrative and logic model specify one or more goals for each of the five SS/HS elements, and the goals are clearly linked to the needs and gaps identified in the community assessment.
- (b) The extent to which the objectives identified in the applicant's project narrative and logic model are measurable and linked to each of the stated goals.

### **3. PROJECT DESIGN (25 points)**

- (a) The extent to which the applicant's project narrative and logic model propose activities, curricula, programs, and services that will address each of the goals and objectives of the proposed project.
- (b) The extent to which activities, curricula, programs, and services proposed by the applicant are evidence-based or reflect current research and effective practice, and are appropriate for the age and developmental levels, gender, and cultural diversity of the target population.

### **4. EVALUATION (15 points)**

(a) The extent to which the applicant's project narrative describes a plan for regularly monitoring program implementation, and identifies process measures that the applicant will use to assess the quality and completeness of the activities planned under the grant.

(b) The extent to which the applicant's project narrative and logic model identify outcomes that are clearly linked to the identified objectives and activities for the project, and specify how outcomes will be measured.

## **5. MANAGEMENT (20 points)**

(a) The extent to which the applicant describes a management plan adequate to achieve objectives of the proposed program on time and within budget, including clearly defined responsibilities of partners, staff, and contracted service providers, and milestones for accomplishing project tasks.

(b) The extent to which the applicant provides, in the project narrative and preliminary MOA, information about any preexisting partnership involving the required SS/HS partners, and that partnership's accomplishments directly related to the five SS/HS elements.

(c) The extent to which the applicant describes, in the project narrative and in the preliminary MOA, a core management team that is appropriate and adequate to achieve the project's objectives and support the project director in day-to-day management of the project.

(d) The extent to which the applicant describes, in the project narrative and in the preliminary MOA, how multiple and diverse sectors of the community, including students and families, have been and will continue to be involved in the design, implementation, and continuous improvement of the project.

(e) The extent to which the applicant describes a plan to develop data systems that will be used to support decision making processes established for the grant, including the use of technology.

## **6. BUDGET (5 points)**

The extent to which the proposed budget and budget narrative correspond to the project design and are reasonable in relation to the numbers of students and staff, and the identified objectives to be achieved.

## **The Safe Schools Healthy Students Approach: Getting Started**

There are many available resources on comprehensive community planning for sustainable school and community improvement (see page XXX for additional resources). SS/HS supports efforts to encourage and enhance such improvement through a broad-based, comprehensive plan of activities. This section provides some recommended topics to consider as you begin planning and designing your SS/HS Comprehensive Plan. The Comprehensive Plan should address all the selection criteria found on page XX of this application.

### ***1. Building on Existing Partnership***

One of the purposes of this grant is to enhance and expand existing school-community partnerships. Applicants should build on a preexisting school-community partnership that involves at least two of the four required SS/HS partners, working together on issues of school improvement, parental involvement, juvenile delinquency or other activities through groups, coalitions, committees, etc. in addressing community concerns. Consideration should be given to the partnership's mission and vision statement, governance and leadership of the partnership, member organizations, demonstrated substantial participation of members, and examples of accomplishments (measurable results, leveraging of resources/financial support, systems change, interdisciplinary training, public awareness campaigns, and community events).

While certain entities are required SS/HS partners, applicants are encouraged to create broad, strong partnerships that include a range of organizations in the community that contribute to achieving the project's goals. Successful SS/HS partnerships have included government agencies, courts, public and private social services agencies, the faith community, businesses, civic organizations, and private citizens.

### ***2. Assessing Your Community***

The goals of completing a community assessment are to identify problems and strengths related to school safety, issues of substance use and violence among youth, and child and family development that exist in the community, and to identify the gaps in programs, infrastructure, services, and available resources to support efforts to improve in each of these areas. Both can be addressed through a thorough needs assessment.

The data used to support a community's assessment should be both quantitative and qualitative and may be derived from such sources as police reports, juvenile justice referrals, school discipline records, graduation rates, focus group results, and the like. Examples of the types of problems communities may identify are increasing drug use among youth, decreased graduation rates, or high numbers of youth with behavioral disorders not receiving mental health services. Examples of gaps in available services infrastructure, or resources may include lack of adequate after-school programming, lack of strong school – local business partnerships, or an inadequate number of mental health service providers.

### ***3. Addressing the Five Elements***

Although the five elements are required components that should be addressed in the comprehensive plan, they are not meant to be discrete program elements, nor should activities associated with each element be conducted or implemented in isolation (see page xxx “SS/HS Comprehensive Plan & Addressing the Five Elements.) LEAs and their SS/HS partners should develop comprehensive plans that reflect and address the unique needs of their communities, families, and students for each of the five elements. Activities, curricula, programs and services to address these needs identify but should also build upon and incorporate programs that have been shown to be effective and appropriate for the populations they are serving; and demonstrate that the partnership has the capacity to successfully implement and sustain the proposed activities.

In addressing the five elements, applicants will find it helpful to consider the continuum of strategies described on pages xx.

#### ***4. Selecting Activities, Curricula, and Programs***

Selection of activities, curricula, and programs to be included in your comprehensive plan should build upon existing resources and address gaps in programs and services as identified in your community assessment. Selected interventions should be evidence-based, culturally competent, and developmentally appropriate for the intended population. Appendix A contains a definition of the term “evidence-based”. In selecting activities, curricula, and programs to be included in the SS/HS comprehensive plan, applicants are strongly encouraged to use those activities, curricula, and programs evaluated and determined to be effective. (See also Appendix B “Resource List.”) Applicants should include a rationale for their selections. This rationale should include information about the research base that supports the selected activities, curricula, and programs, as well as a discussion about why the selected program or activity is appropriate for the intended population and how it addresses needs identified in the community assessment. Information about the research base for programs or activities may reference either specific program evaluations or accepted theory from youth development or human development research.

#### ***6. Starting with the Logic Model***

The purpose of the SS/HS Logic Model is to create for the project staff, partners, and community, as well as the federal government, a graphic depiction of the sequence of processes and activities connecting the needs and gaps identified by the community assessment with the project’s desired outcomes. Creating this model helps applicants see, in a concrete form, how the investment of human and financial resources can result in successfully reaching the intended goals and objectives of your comprehensive plan. The Logic Model will provide a means to assure all gaps and needs are addressed, and that corresponding goals and objectives can be monitored and evaluated throughout the implementation of your comprehensive plan.

Additional sources for creating a logic model are included in Appendix B “Resource List.” A sample logic model can be found in Appendix D

## FREQUENTLY ASKED QUESTIONS

### Eligibility

#### **We did not serve as the lead local educational agency for a Safe Schools/Healthy Students grant, but we did receive some services as part of that grant. Are we eligible to apply?**

Yes. Local educational agencies (LEAs) that have previously received grant funds or services under the Safe Schools/Healthy Students (SS/HS) Initiative directly or as part of a consortium of LEAs may apply for funding, but must include a signed assurance as part of their application stating that the proposed project's scope of work is new and that funding will not be used to sustain previously funded activities, curricula, programs and services. We will not consider applications from prior grantees, or from LEAs that have received services as part of a SS/HS grant unless that application includes the required assurance.

#### **My LEA currently has a SS/HS grant, but would like to apply for another. Can we do so?**

No. Because SS/HS projects are unusually large and complex, we have elected to limit eligibility for new awards to LEAs that do not currently have an active SS/HS grant. A grant is considered current 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.

#### **What is the definition of the term "LEA"? How can we determine whether or not our organization is an LEA?**

The definition of the term "LEA" is provided in the definitions section of the application package on page **xx**. If you are unsure whether your organization is an LEA, contact your State Educational Agency (SEA)—the agency in your State primarily responsible for the State supervision of public elementary and secondary schools—for help in determining if your organization meets this definition.

#### **Are charter schools eligible to apply for SS/HS?**

The only entities eligible to receive a grant under this initiative are LEAs. Because statutes in some States designate individual charter schools as LEAs and others make charter schools part of an existing LEA, interested applicants from charter schools should check with their SEA to determine if they are considered to be an LEA. Charter schools that are not LEAs are not eligible to apply directly, but the LEA that they reside in can apply for an SS/HS grant that targets one or more public schools (including charter schools).

#### **How would a consortium of LEAs apply for a SS/HS grant?**

To apply as a consortium, all LEAs in the consortium must meet all of the application requirements. The consortium of LEAs then must assign one LEA as the lead and applicant for

the grant. As the applicant, the LEA completes all the required forms and submits the application on behalf of the consortium. Authorized representatives of all LEAs participating in the consortium must sign the required preliminary memorandum of agreement (MOA). Authorized representatives of local law enforcement, local juvenile justice agencies, and local public mental health authorities that correspond to each of the participating LEAs in the consortium must also sign the required preliminary MOA.

## **Funding**

### **Available funding amounts under the program are now determined by student enrollment. How should I determine my LEAs enrollment for the purpose of submitting a SS/HS application?**

To determine its enrollment, a school district (with the exception of BIA applicants) must use the enrollment data from the National Center for Education Statistics (NCES) National Public School and School District Locator Web page (<http://nces.ed.gov/ccd/districtsearch>). Directions for finding that information on the website are provided on page xx.

### **What should I do if I cannot find my school district in the NCES locator?**

If you cannot find your school district in the NCES school district locator, try again, limiting information to the State and city fields only. This database conducts its search using all of the information that you enter and is text sensitive. Therefore, it is best to enter minimal information, such as the State and city where the district administrative offices are located. The locator page's "About the Data" and "Help" links are useful. If you are still unable to locate your district, contact the Office of Safe and Drug-Free Schools at 202-260-3954 and reference the Safe Schools/Healthy Students Initiative grant competition.

### **We are part of a consortium of school districts applying for SS/HS. How is our enrollment determined?**

A consortium should determine its enrollment by adding together the enrollment of each of the participating LEAs in the consortium, as determined on the NCES website. Consortium applications should print out verification from the website for each participating LEA and include that with the application.

### **What is the maximum amount of funding that can be awarded to an applicant?**

The maximum funding that can be awarded in a 4-year-grant to an LEA (or consortium of LEAs) with 35,000 or more students is \$2,250,000 per year or \$9,000,000 for a maximum of four years. The maximum funding for an LEA (or consortium of LEAs) with less than 35,000 but at least 5,000 students is \$1,500,000 per year or \$6,000,000 for a maximum of four years. The maximum funding for an LEA (on consortium of LEAs) with less than 5,000 students is \$750,000 per year or \$3,000,000 for a maximum of four years.

### **What happens if we request more funding than we are eligible for?**



Your application will not be considered for funding. Grants will not be awarded for amounts that exceed these established caps. Applicants should ensure that their budget requests do not exceed the maximum award amount for their enrollment.

### **Memoranda of Agreement**

#### **What is the difference between the preliminary and final MOAs?**

While the two MOAs require the same signatures, the preliminary agreement is designed to provide basic information about the partnership, demonstrate the commitment of required partners to the project, and other basic information about project design and implementation. Grantees will be required to provide a final MOA for the project that updates and enhances information provided in the preliminary agreement, reflecting more details about the project as it moves into actual implementation.

Detailed information about the preliminary and final MOAs is provided beginning on page **XX** of this application. Applications that do not include the preliminary MOAs with all required partner signatures will not be considered complete and cannot be considered for funding.

#### **Several school districts are applying as a consortium. Who must sign the preliminary MOA?**

Authorized representatives of each LEA in the consortium and the authorized representatives of the local law enforcement agency, public mental health authority, and juvenile justice entity for each school district must each sign the preliminary MOA. If one of the required partners (law enforcement, public mental health, or juvenile justice) covers one or more of the school districts in the consortium, the applicant should clearly state which agency (or agencies) corresponds to which LEA. In those jurisdictions where there is more than one entity that meet the partner requirements (for example, a police department and a sheriff's department), the LEA should obtain the signature of the agency providing services to those schools where the program will be located.

The law enforcement partner is the agency (or agencies) with law enforcement authority for the LEA. Another way to consider the appropriate partner is that it should be the entity that would respond to an emergency situation at a school. Examples of local law enforcement agencies include municipal, county, and State police; tribal police and councils; and sheriff's departments.

If you are applying as a consortium of LEAs with one lead LEA, you must designate a law enforcement partner or partners for each of the partnering LEAs. If a law enforcement agency has jurisdiction over more than one LEA in the consortium, you should clearly indicate which agencies have jurisdiction over which LEA. NOTE: LEAs or a consortium of LEAs can be served by one law enforcement partner or more than one law enforcement partner.

#### **How do I identify the local public mental health authority? What if we don't have one?**

Contact your Single State Agency (SSA) for Mental Health (see list in Appendix E). The local

public mental health authority is the legally constituted entity closest to the community level that, directly or through contract with the State mental health authority, provides administrative control or oversight of mental health services delivery within the community. If your SSA is unable to provide you with a community-level entity, you must provide a memorandum of agreement (MOA) with the SSA.

### **Can our school district police force serve as the law enforcement partner?**

A school district's police force may serve as the law enforcement partner, if it is accredited as a law enforcement entity, and has jurisdiction over the LEA and its schools.

### **How do I know who should serve as our juvenile justice partner?**

The selection of the juvenile justice agency or organization that serves as the SS/HS partner should be based on the agency's role in the comprehensive plan. Examples of potential juvenile justice partners include juvenile justice task forces, juvenile justice centers, juvenile and/or family courts, juvenile probation, and juvenile corrections.

### **What should I do if I cannot get all required signatures on the preliminary MOA or federal application forms? Can I send or fax them in later?**

A complete application must be postmarked by the deadline for the application, May 31, 2007. Late additions or appendices will not be accepted. Applications missing the required preliminary MOA or missing signatures will not be reviewed.

### **The solicitation states that the preliminary MOA must be signed by the authorized representative for the applicant LEA, as well as authorized representatives for the other required SS/HS partners. Who should sign the ED Form 424 (cover sheet)?**

An authorized representative for the LEA should sign both the preliminary MOA and the ED 424 (the cover sheet). Authorized representatives for other required partners must also sign the preliminary MOA if applying as a single district. If applying as a consortium, the authorized representative for the lead LEA should sign the cover sheet, but authorized representatives for all participating LEAs and their corresponding required partners should sign the preliminary MOA.

### **Evidence of Preexisting School-Community Partnership**

#### **One of the elements for a selection criterion seeks information about preexisting partnerships. How can we demonstrate a preexisting school-community partnership in our application?**

Examples of evidence of a preexisting partnership include, but are not limited to, the partnership's history (including the circumstances of its creation), mission and vision, and accomplishments. If your LEA is part of a preexisting school-community partnership, you should include information about the partnership in the narrative response to that element and also in the preliminary MOA.

## **Creating the Comprehensive Plan and Addressing the Five SS/HS Elements**

**Does each LEA in a consortium need to submit a separate comprehensive plan, or is it okay to develop the application using the five components as a framework describing what the consortium will do?**

A single comprehensive plan may be submitted on behalf of a consortium of LEAs. Although it is not necessary for all services to be implemented in all LEAs in the consortium, each participating LEA must implement a comprehensive approach addressing its five-element framework. If LEAs within a consortium are taking different approaches, these differences should be delineated and sufficient explanation should be provided to show in detail how the approaches differ and how the consortium will ensure that a comprehensive plan will be used in all areas and relate to the SS/HS goals and objectives.

**Is the SS/HS comprehensive plan an additional document that applicants must submit?**

No. The SS/HS comprehensive plan is not a separate document; it is the narrative portion of the SS/HS application package. Your response to the selection criteria, in its entirety, will represent your SS/HS comprehensive plan. The selection criteria are written in a manner that will guide LEAs and their SS/HS partners' process in (a) assessing community needs and strengths; (b) articulating goals and objectives, process and outcome measures; (c) finding best practices and evidence-based programs and curricula that closely match your needs, available resources, goals and objectives; (d) evaluating and improving activities; (e) effectively managing the SS/HS project; and (f) matching budget resources to proposed activities.

**We're required to submit a Logic Model as part of our SS/HS application. What is a Logic Model? How is it different from our comprehensive plan?**

For the purposes of preparing your SS/HS application, we consider a logic model to be a graphic representation of your SS/HS plan in a chart format. A sample format is included in this application package on page XX, and additional information about developing logic models is available in Appendix B "Resource List." The purpose of the logic model is to help applicants make sure that their proposed project connects community needs; goals and objectives; programs, services, curricula, and activities; management structures, and evaluation activities.

**Should each LEA in a consortium have a separate logic model?**

If the activities and/or measures for one LEA will differ from those of the other consortium members, those activities and measures should be captured in the comprehensive logic model representing the SS/HS comprehensive plan.

**Where can I find out more about developing a logic model?**

Information about the logic model requirement is included in this application package on page xx. A sample page from a logic model for one element of a SS/HS project is included in this application package on XX. The resource list on page XX also contains sources on creating logic models.

## **Where do we start to conduct a needs assessment? What kinds of data should we consider using as part of the community assessment?**

Communities developing their comprehensive SS/HS plan should consider a broad range of data from a variety of sources, and should especially consider the core members of the SS/HS partnership as important resources in this area. Applicants should look for data that will help them understand how the children in their community are doing with regard to the five elements that must be addressed in each SS/HS comprehensive plan. The purpose of gathering this data is to help communities begin to assess, in a concrete way, if their community is providing a safe school environment for its students, as well as the other services and supports needed to support the development of healthy students.

Schools may be able to provide data about the prevalence of student drug use and violence; crime, violence, and weapons in schools; suspensions and expulsions; truancy; and academic success. The law enforcement or juvenile justice partners may be able to inform the needs assessment phase of the SS/HS plan by contributing information about levels of youth violence in the community; students involved with the juvenile justice system or on probation; or youth gang activity. The public mental health authority or social service agencies in your community may be able to provide data about mental health needs of students in schools and the community; information about levels of child abuse or neglect and students in foster care or child protective services.

In addition to identify problems, communities should also assess their strengths and existing resources. Again, data on these topics might be available from schools, but also other community-based or governmental organizations. Applicants might want to consider things like whether or not their community already provides after-school programs that provide supervision and enriching activities for students, as well as other strategies such as mentoring. Schools can contribute information about the drug and violence prevention programs and strategies that they're already implementing, and applicants should also consider the extent to which high quality mental health and other social services are already available to students and families.

## **How should my application address management?**

The application should include a clear plan for managing the tasks necessary to implement the comprehensive plan. The management plan should address how the partnership will make decisions, operate, communicate, share information and resources, overcome barriers, increase levels and intensity of collaboration, and plan for mutual sustainability of the comprehensive plan. Partnership activities and meetings may be supported with grant funds. Preliminary information about management structures should be included in the preliminary MOA, and more detailed information will be required in the final MOA for applicants that receive a grant.

## **How can I get more information on “evidence based” activities, curricula, and programs?**

Sources for additional information on “evidence based” activities, curricula, and programs are listed in Appendix B “Resource List.”

## **Evaluation**

### **Are we required to select a local evaluator before applying?**

No. You do not need to select a local evaluator prior to applying; however, you should include information about the professional qualifications you will look for in an evaluator.

### **If we identify a specific evaluator in our application package, must we employ that evaluator if we receive a grant?**

If funded, a grantee must follow the basic procurement guidelines outlined in section 80.36 of the Education Department General Administrative Regulations (EDGAR) in order to contract for evaluation or any other project services.

(<http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html>) Those standards require grantees to use their own procurement procedures, which reflect State and local laws and regulations, provided that the procurements conform to applicable Federal law and standards identified in this section of EDGAR. The provisions describe standards for engaging in procurements for both small purchases and sealed bids, as well as for competitive and (rarely) non-competitive proposals. Both applicants and potential contractors should be aware that including a specific individual or firm in a grant application does not free a grantee from its responsibility to use its procurement procedures when contracting for services.

### **What are our obligations to a national evaluation should one be conducted that includes our grant cohort?**

Part 75 of EDGAR is one of the regulations that are applicable to the SS/HS initiative. Section 75.591 requires that grantees cooperate in any evaluation of the program sponsored by the Department of Education.

## **GPRA Performance Indicators**

### **Do we have to collect GPRA performance indicators, even though we are conducting a comprehensive local evaluation?**

Yes. The Government Performance and Results Act (GPRA) of 1993 (Public Law 103–62) requires all federal departments and agencies to develop strategic plans that specify what they will accomplish over a 5-year period, to annually set performance targets related to their strategic plan, and to annually report the degree to which the targets set in the previous year were met. In addition, agencies must regularly evaluate their programs and use the results of the evaluations to “explain their successes and failures based on the performance monitoring data.”

Information about the GPRA measures for the SS/HS initiative is contained on page **xx** of the application package. We will expect grantees to provide detailed information about each of the GPRA measures on an annual basis, including results of student surveys or other data collection activities.

## **Budget**

### **Why are two separate budgets required?**

The U.S. Departments of Education, Health and Human Services, and Justice jointly support SS/HS. The Department of Education has statutory language that prohibits use of funds for certain activities. To ensure that the use of Department of Education funds is in compliance with the statute, applicants are asked to develop two separate budgets for each year of grant funding requested. The first budget represents costs needed to support Elements 1, 2, and 3—the costs that the Department of Education can support. The second budget supports Elements 4 and 5—the costs that the Department of Education generally cannot support and are thus supported by either the Department of Health and Human Services or the Department of Justice.

### **The grant will provide funds for up to 4 years. Do I need to submit budgets for each project year?**

Yes. A set of two budgets is required for each proposed project year. Use the ED form 524 to submit the 4-year project budget with your application. Include detailed budgets for all 4 years. Failure to submit two budgets and detailed budgets for each project year will result in no funding for those years omitted.

### **How should program administration costs (e.g., project director's salary, evaluation, supplies, etc.) that are associated with all elements and both budgets be handled?**

These costs should be allocated between the two required budgets in the appropriate line items.

### **Is there a matching or in-kind requirement?**

No. SS/HS does not require a matching or in-kind contribution. If you choose to include and/or identify additional nonfederal funds, such as a match or in-kind services that will support your SS/HS plan, you must honor and report on these activities if your application is funded.

### **May I use grant funds to purchase guns and other equipment or lease vehicles for School Resource Officers (SROs)?**

Generally, grants funds may not be used to purchase these kinds of items. In unusual circumstances some costs associated with equipping SROs might be allowable. Federal project officers would review requests for such purchases on a case-by-case basis.

### **May I use grant funds for construction, remodeling, and/or renovations?**

Grant funds cannot be used for construction. Minor renovations and/or remodeling to adapt office or classroom space for grant activities may be allowable in some cases. Minor renovations and remodeling related to improving school safety and security (e.g., installing break-proof doors and window locks) cannot exceed 10 percent of the total funds requested each year. All remodeling and renovation requests should be consistent with the applicant's proposed comprehensive plan.

**May I use grant funds to support professional development activities?**

Yes. Grant funds may be used to support professional development activities. These activities should directly support the activities, curricula, programs, and overall goals of the SS/HS comprehensive plan.

**Other Federal Administrative Requirements**

**Do I have to submit separate applications to all the federal agencies involved in this initiative?**

No. A unique aspect of the SS/HS Initiative is that applicants submit one application for funding, though a comprehensive variety of activities will be implemented if a project is funded.

**In responding to program management criteria, I want to include position descriptions, vitas, and a timeline. Would these documents be counted toward the 40-page text limit for the narrative?**

No. Position descriptions, vitas, and timelines can be included in attachment **X** of your application. Reviewers will be permitted to read and evaluate these materials. Reviewers will not read or evaluate any additional attachment(s) other than those specified on pages **XX**.

**Will letters of support from officials or others help our chances of being awarded a SS/HS grant?**

Peer reviewers will be instructed to read and evaluate only the application narrative and information provided in specified attachments, as detailed on page **xx**. If other organizations or individuals plan to play a specific role in your SS/HS project, that information should be included in the project narrative.

**General Information**

**How can I find more information on current grantees?**

Information on current grantees is available on the following Web site:  
<http://www.sshs.samhsa.gov>.

**What is the CFDA number for SS/HS applications?**

The CFDA number is 84.184L.

**How can I get assistance with completing the standard federal application forms?**

Assistance with completing federal discretionary grant application forms is available through the U.S. Department of Education's Web site:  
<http://www.ed.gov/admins/grants/apply/techassist/index.html>.

### **Can I get copies of previous applications from sites that have received SS/HS grants?**

Copies of the three highest scoring applications from the FY 2005 competition are available at [http://www.ed.gov/policy/gen/leg/foia/readingroom\\_2.html](http://www.ed.gov/policy/gen/leg/foia/readingroom_2.html). You should be aware that the application requirements are different than those in effect when these posted applications were submitted. You may request copies of applications from previous applicants or grantees, but they are not obligated to provide them. If they agree to provide copies of their application they may require you to cover the costs of those copies. You may request copies through the Freedom of Information Act, but requesters must cover the costs associated with providing the copies, and it may take some weeks for copies to be received.

### **If funded, we plan to use some of the grant funds to contract for services that we will need to implement our planned project. Because we would be using federal funds to support contracts, are there special procedures that we would need to use in awarding contracts funded with grant monies?**

The Education Department General Administrative Regulations (EDGAR) (Section 80.36) authorizes grantees to use their own procurement procedures, which reflect applicable State and local laws and regulations, provided the procurements conform to applicable federal laws and standards contained in Section 80.36. EDGAR is available online at: <http://www.ed.gov/policy/fund/reg/edgarReg/edlite-table.html>.

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

The Freedom of Information Act (FOIA) was enacted in 1966 and provides that any person has the right to request access to federal agency records or information. All agencies of the U.S. Government 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).



## APPENDIX A: Definitions and Other Terms

### Definitions

**Authorized representative** - the official within an organization with the legal authority to give assurances, make commitments, enter into contracts, and execute such documents on behalf of the organization as may be required by the U.S. Department of Education (the Department), including certification that commitments made on grant proposals will be honored and that the applicant agrees to comply with the Department's regulations, guidelines, and policies.

**Local educational agency:** For the purpose of this competition, the definition of the term “local educational agency” is the definition at Section 9101 (26) of the Elementary and Secondary Education Act of 1965 (ESEA), as amended:

In general—The term “local educational agency” means a public board of education or other public authority legally constituted within a State for either administrative control or direction of, or to perform a service function for public elementary or secondary schools in a city, county, township, school district, or other political subdivision of a State, or for a combination of school districts or counties that is recognized in a State as an administrative agency for its public elementary schools or secondary schools.

Administrative controls and directions—The term includes any other public institution or agency having administrative control or direction of a public elementary or secondary school.

BIA schools—The term includes an elementary school or secondary school funded by the Bureau of Indian Affairs but only to the extent that including the school makes the school eligible for programs for which specific eligibility is not provided to the school in another provision of law and the school does not have a student population that is smaller than the student population of the local educational agency receiving assistance under the ESEA Act with the smallest student population except that the school shall not be subject to the jurisdiction of any State educational agency other than the Bureau of Indian Affairs.

Educational service agencies—The term includes educational service agencies and consortia of these agencies.

State educational agency—The term includes the State educational agency in any State in which the State educational agency is the sole educational agency for all public schools.

**Local juvenile justice agency** - an agency or entity at the local level that is officially recognized by State or local government to address juvenile justice issues in the communities to be served by the grant. Examples of juvenile justice agencies include: juvenile justice task forces; juvenile

justice centers; juvenile or family courts; juvenile probation agencies; and juvenile corrections agencies.

**Local law enforcement agency** - the agency (or agencies) that has law enforcement authority for the LEA. Examples of local law enforcement agencies include: municipal, county, and State police; tribal police and councils; and sheriffs' departments.

**Local public mental health authority** - the entity legally constituted (directly or through contract with the State mental health authority) to provide administrative control or oversight of mental health services delivery within the community.

## Other Terms

**Community policing:** Community policing is a policing philosophy that promotes and supports organizational strategies to address the causes and reduce the fear of crime and social disorder through problem-solving tactics and community-police partnerships. A fundamental shift from traditional, reactive policing, community policing stresses the prevention of crime before it occurs. Community policing is an integral part of combating crime and improving the quality of life in the nation's cities, towns, and rural areas. Core components of community policing include partnering with the community, problem solving, and transforming policing agencies to support and empower frontline officers, decentralize command, and encourage innovative problem solving.

**Developmentally appropriate:** In designing prevention programs, the developmental appropriateness of different intervention strategies must be considered. A key question is whether the intervention takes into account the developmental stage of the child or youth targeted for the intervention by addressing appropriate risk and protective factors. For example, dyadic (one-on-one) parent-child training programs may be effective with young children and early adolescents at risk for adopting violent coping strategies, but they are not appropriate for or may have negative effects on older adolescents who are seeking independence from parents and who look to peers for approval and status. Likewise, attempting to teach young elementary-school children how to deal with peer pressure for engaging in violence or taking drugs is not likely to be effective because they have no understanding of the intense need for peer approval and badges of adult status that emerge in this developmental stage.

**Early Intervention Strategies:** Activities, curricula, programs, or services provided to students who are at risk of engaging in or experiencing negative and/or violent behavior.

**Evidence-based:** A great deal of progress has been made in recent years in developing and testing promising behavioral intervention strategies for high-risk children, youth, and families. As a result, the scientific knowledge base has grown rapidly, and many effective, developmentally appropriate programs are available. Equally important is the availability of information on programs that not only do not work, but can have potentially harmful effects.

The SS/HS Initiative requires the application of evidence-based preventive, treatment, and other behavioral interventions. *Evidence-based* refers to the extent to which an intervention is supported by scientific data to indicate its effectiveness. Evidence-based programs have met high standards of safety, efficacy, and effectiveness, based on the strength of the study design, magnitude of the beneficial effects of the intervention, sustainability of the effects over time, and replications of the benefits across different settings and populations.

Please see page **xxx** for additional resources on evidence-based programs

**Goal:** Broad, general statements concerning what a program intends to accomplish. This is also the intended long-term outcome of the program or strategy. Goals should be clearly defined and specific, realistic and attainable, and measurable. Examples of program goals that are relevant to the SS/HS initiative are reducing rates of youth drug use, reducing number of fights at school, or increasing access to mental health services for students.

**Indicated/Intensive Strategies:** Activities, curricula, programs, or services provided to students who are at high risk to engage or who are engaging in negative and/or violent behavior.

**Logic Model:** A graphic presentation of the project in chart format that shows, by element: identified needs and gaps, goals, objectives, activities, partners' roles, outcomes, and process for measuring outcomes.

**Long-term strategies:** These are strategies that span most (or even all) of an SS/HS project's 3-year duration. These long-term strategies should be linked closely with the program goals and desired outcomes, and are likely to be supported by a number of simpler steps or short-term strategies that will help implement the long-term strategy. An example of a long-term strategy that supports a program goal to reduce the rates of youth drug use would be "to implement a research-based ATOD prevention curriculum in all school district elementary schools." (See also short-term strategies.)

**Objectives:** specific statements that identify: 1) what will change for whom, 2) by how much, and 3) by when. Typically, SS/HS objectives are related to changes in knowledge, attitudes, skills, and behaviors. Objectives can be either short-term (immediate) or long-term. Objectives should be derived from program goals.

Example of an objective: To increase the percentage of students in grades 6-8 who report using peer mediation strategies by 25% from baseline by June 2007.

**Outcomes:** specific data that will be used to objectively determine the degree of success a program or strategy has had in achieving its stated objectives, goals, and planned activities. Outcomes should be specific and measurable, and should be derived from program goals and objectives

Example of an outcome: Number of 6-8th grade classrooms who receive the bullying prevention program

**Prevention:** Reduction of risk of onset, or delay of onset, of an adverse health, mental health, or other outcome. Prevention interventions can be characterized as *universal*, *early intervention*, or *intensive* based on the level of risk associated with the groups or individuals for whom the intervention is intended. Successful prevention interventions may reduce risk of onset, or they may delay onset, of negative outcomes. Preventive interventions may also include treatment interventions intended to reduce risk of comorbidity (having two or more diagnosable conditions at the same time), lessen the severity of illness, or prevent relapse of episodic disorders in diagnosed populations.

**Prosocial:** Refers to interpersonal skills and behaviors intended to evoke empathy and other characteristics of caring towards others, and the desire to help an individual, group, or situation.

**Protective factors:** Characteristics, variables, and/or conditions present in individuals or groups that increase resistance to risk and fortify against the development of a disorder or adverse outcome. Both protective and risk factors can vary over time.

**Risk factors:** Characteristics, variables, and/or hazards present in an individual or group that increase the likelihood of that individual or group developing a disorder or adverse outcome. Because both the potency and clustering of risk and protective factors can vary over time and developmental periods, prevention interventions that are successful and developmentally appropriate take this variation into account.

**School resource officer:** A career law enforcement officer, with sworn authority, deployed in community-oriented policing and assigned by the employing police department or agency to work in collaboration with schools and community-based organizations to: (a) address crime and disorder problems, gangs, and drug activities affecting or occurring in or around an elementary or secondary school; (b) develop or expand crime prevention efforts for students; (c) educate likely school-age victims in crime prevention and safety; (d) develop or expand community justice initiatives for students; (e) train students in conflict resolution, restorative justice, and crime awareness; (f) assist in the identification of physical changes in the environment that may reduce crime in or around the school; and (g) assist in developing school policy that addresses crime and to recommend procedural changes.

**Short-term strategies:** These are strategies that can be accomplished in a relatively short, discrete period of time (perhaps 6 to 12 months). Short-term strategies should directly support the implementation of the proposed project's long-term strategies and attainment of its goals. Examples of short-term strategies might include the development of staff training activities, providing training to school staff, and purchasing a curriculum, all of which would support a long-term strategy of implementing a research-based prevention program. (See also long-term strategies.)

**Social marketing:** The social marketing concept differs from conventional "marketing" techniques. In social marketing, the objectives of the marketer are not focused on a product, but seek to use the core principles of marketing to influence social behaviors rather than to benefit the marketer. The beneficiaries of social marketing should be the "target audience" and the

community served by the grant, and social marketing activities should ultimately enhance the health and well-being of the community.

**Universal Strategies:** Activities, curricula, programs or services provided to all students in hopes of delaying or preventing negative and/or violent behavior (such as bullying) and enhancing knowledge and skills that will improve the level of respect and caring attitude displayed by all.

**APPENDIX B - RESOURCE LIST**  
**--under development**

## **Evidence-based programs**

<http://www.helpingamericasyouth.gov>

<http://www.surgeongeneral.gov/library/youthviolence>

[http://www.dsgonline.com/mpg\\_non\\_flash/mpg\\_index2.htm](http://www.dsgonline.com/mpg_non_flash/mpg_index2.htm)

<http://www.colorado.edu/cspv/blueprints/>

<http://www.modelprograms.samhsa.gov>

<http://www.mentalhealth.samhsa.gov/schoolviolence/>

## **Logic Models**

## **APPENDIX C - Sample Assurances**



**Competitive Preference Assurance – LEAs That Have Not Previously Received a Grant or Services Under the Safe Schools/Healthy Students Initiative – For Single Applicants**

Applicants that wish to apply for this competitive preference must provide an assurance that they have not previously received funding or services under the Safe Schools/Healthy Students Initiative. We have provided the sample form below as a way to help applicants comply with this requirement. Applicants may choose another format, but must provide the required assurance, with signature. Please include your competitive preference assurance as Attachment XXX to your application package. [A sample form for applications from a consortium of LEAs is provided on page xx.]

If you are submitting an electronic application, you must fax the completed, sign form below it (along with the 424 and other forms) to the Office of Safe and Drug-Free Schools at 202-260-7767 within 3 working days of submitting your electronic application.

**Competitive Preference Priority for LEAs That Have Not Previously Received a Grant or Services under the Safe Schools/Healthy Students Initiative:** Under this priority, we give a 5/10 point competitive preference to applications from LEAs that have not yet received a grant under this program as an applicant or as a member of a consortium.

As the duly authorized representative, I certify that

\_\_\_\_\_ located in \_\_\_\_\_  
Name of LEA City, State

has never received SS/HS funds or services, as a grantee or as a member of a SS/HS consortia grantee.

\_\_\_\_\_  
Signature of Authorized Representative

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date

**Competitive Preference Assurance – LEAs That Have Not Previously Received a Grant or Services Under the Safe Schools/Healthy Students Initiative – For Consortia Applicants**

Applicants that wish to apply for this competitive preference must provide an assurance that they have not previously received funding or services under the Safe Schools/Healthy Students Initiative. We have provided the sample form below as a way to help applicants comply with this requirement. Applicants may choose another format, but must provide the required assurance, with signature. For an application from a consortium, applicants must furnish this required assurance for the lead LEA and all other participating LEAs. The form requires the signature of the authorized representative for the lead LEA and also for each LEA participating in the consortium. Please include your competitive preference assurance as Attachment XXX to your application package. (A sample form for single applicants is available on page xx.)

If you are submitting an electronic application, you must fax the completed, signed forms (along with the 424 and other forms) to the Office of Safe and Drug-Free Schools at 202-260-7767 within 3 working days of submitting your electronic application.

Competitive Preference Priority for LEAs That Have Not Previously Received a Grant or Services under the Safe Schools/Healthy Students Initiative: Under this priority, we give a 5/10 point competitive preference to applications from LEAs that have not yet received a grant under this program as an applicant or as a member of a consortium. In order for a consortium application to be eligible for this competitive preference, no member of the LEA consortium may have received a grant or services under this program as an applicant or as a member of a consortium applicant.

As the duly authorized representative, I certify that

\_\_\_\_\_ located in \_\_\_\_\_  
Name of Member LEA City, State

has never received SS/HS funds or services, as a grantee or as a member of a SS/HS consortia grantee.

\_\_\_\_\_  
Signature of Authorized Representative for Member LEA

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature of Authorized Representative for Lead LEA

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date

has never received SS/HS funds or services, as a grantee or as a member of a SS/HS consortia grantee.

Program-Specific Assurance – Former SS/HS Grant Recipients

We have provided the following sample form to help you complete the required assurance for former SS/HS grant recipients. You may choose another format to obtain the necessary signature and content, but former SS/HS grant recipients must include this assurance in order to be eligible for another SS/HS grant. Please include this program specific assurance as Attachment XXX to your application package. For consortia applicants with more than one member LEA that was a former SS/HS grantee or a former member of another SS/HS consortia, you will need to complete a separate form for each applicable member LEA.

If you are submitting an electronic application, you must fax the completed, sign form below it (along with the 424 and other forms) to the Office of Safe and Drug-Free Schools at 202-260-7767 within 3 working days of submitting your electronic application.

As the duly authorized representative(s), I certify that the following LEA(s) has received funds or services as a (please check as appropriate):

\_\_\_\_\_ former SS/HS grantee.

\_\_\_\_\_ member of a former SS/HS grant consortium.

Additionally, I certify that proposed project’s scope of work is new and that if funded, will not be used to sustain previously funded or received activities, curricula, programs or services to a population served by the first SS/HS grant.

LEA \_\_\_\_\_

City & State \_\_\_\_\_

Previous PR Award Number: \_\_\_\_\_

Signature of Authorizing Representative \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

## APPENDIX - SAMPLE LOGIC MODEL D

## Safe Schools/Healthy Students Program Logic Model Example

SS/HS Program Logic Model – Putting It All Together						
Element 1 – Safe School Environments and Violence Prevention Activities						
Needs and Gaps	Goals	Objectives	Activities	Partners	Outcomes	Process for Measuring Outcomes
<p>1. A local survey of middle grades youth (grades 6-8) shows higher levels of students reported being bullied, threatened, or pushed around in school or on the way to or from school in the past 30 days (35%) than among students in a state survey (25%).</p> <p>2. There is currently no bullying prevention program in grades 6-8 in our school district.</p>	<p>To reduce the level of bullying among middle grades youth (grades 6-8) in our school district.</p>	<p>1. To increase the percentage of students in grades 6-8 who report using peer mediation strategies by 25% from baseline by June 2007.</p> <p>2. To reduce the percentage of students in grades 6-8 who indicate that they were bullied, threatened, or pushed around in school or on the way to or from school in the past 30 days from 35% to 25% by June 2008.</p>	<p>Purchase curriculum, train staff, arrange school schedule to accommodate curriculum, and obtain parental permission for student participation, as needed.</p> <p>Implement the evidence-based bullying prevention curriculum in grades 6-8 with all students.</p>	<p>Mental health partner will assist with staff training; Teachers will deliver the bullying program</p>	<p>1. Number of 6-8th grade classrooms who receive the bullying prevention program;</p> <p>2. Number of sessions delivered per classroom</p> <p>3. Measures of program fidelity such as classroom observation or teacher checklists.</p>	<p>1. The percentage of students in grades 6-8 who report using peer mediation strategies by 25% from baseline by June 2007 will be measured by pretest and posttests of program participants administered at the beginning of the program (June 2006), and in June 2007 and June 2008.</p> <p>2. The reduction of the percentage of students in grades 6-8 who indicate that they were bullied, threatened, or pushed around in school or on the way to or from school in the past 30 days from 35% to 25% by June 2008 will be measured by a school-wide survey administered in June 2008.</p>

## APPENDIX E - SINGLE STATE MENTAL HEALTH AUTHORITIES

*Applicants are encouraged to contact their State Department of Mental Health to identify the relevant local public mental health authority, the entity that has legal authority in the administrative oversight of the delivery of mental health service . The local public mental health authority is not required to provide mental health service.*

### **Alabama**

*John Houston*  
Commissioner  
Alabama Department of Mental Health and Mental Retardation  
Department of Mental Health & Mental Retardation  
100 North Union Street  
P.O. Box 301410  
Montgomery, Alabama 36130-1410  
Phone: (334) 242-3107  
Fax: (334) 242-0684  
Email: [john.houston@mh.alabama.gov](mailto:john.houston@mh.alabama.gov)

### **Alaska**

*Stacy Toner*  
Deputy Director  
Division of Behavioral Health  
Department of Health & Social Services  
PO Box 110620  
Juneau, Alaska 99811-0620  
Phone: (907) 465-2817  
Fax: (907) 465-2668  
Email: [stacy\\_toner@health.state.ak.us](mailto:stacy_toner@health.state.ak.us)

### **American Samoa**

*Uiagalelei Lealofi, Ph.D.*  
Director  
Department of Human & Social Services  
American Samoa Government  
P.O. Box 997534  
Pago Pago, American Samoa 96799  
Phone: (684) 633-2696  
Fax: (684) 633-7449  
Email: [proberto@mail.gov.gu](mailto:proberto@mail.gov.gu)

### **Arizona**

*Eddy Broadway*  
Deputy Director  
Division of Behavioral Health Services  
Department of Health Services  
150 N. 18th Avenue, Suite 200  
Phoenix, Arizona 85007  
Phone: (602) 364-4567  
Fax: (602) 364-4570  
Email: [broadwed@azdhs.gov](mailto:broadwed@azdhs.gov)

## **Arkansas**

*John Althoff, Ph.D.*  
Interim Director  
Division of Behavioral Health Services  
Department of Human Services  
4313 West Markham Street  
Little Rock, Arkansas 72205-4096  
Phone: (501) 686-9164  
Fax: (501) 686-9182  
Email: [john.althoff@arkansas.gov](mailto:john.althoff@arkansas.gov)

## **California**

*Stephen W. Mayberg, Ph.D.*  
Director  
State of California  
Department of Mental Health  
1600 9th Street, Room 151  
Sacramento, California 95814  
Phone: (916) 654-2309  
Fax: (916) 654-3198  
Email: [stephen.mayberg@dmh.ca.gov](mailto:stephen.mayberg@dmh.ca.gov)

## **Colorado**

*Janet Wood*  
Director  
Behaviorial Health Services  
Department of Human Services  
3824 West Princeton Circle  
Denver, Colorado 80236  
Phone: (303) 866-7486  
Fax: (303) 866-7428  
Email: [janet.wood@state.co.us](mailto:janet.wood@state.co.us)

## **Connecticut**

*Thomas A. Kirk, Jr., Ph.D.*  
Commissioner  
DMHAS  
Department of Mental Health & Addiction Services  
410 Capitol Avenue, MS #14COM  
Hartford, Connecticut 06106  
Phone: (860) 418-6700  
Fax: (860) 418-6691  
Email: [thomas.kirk@po.state.ct.us](mailto:thomas.kirk@po.state.ct.us)

## **Delaware**

*Renata Henry, M.Ed.*  
Director  
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### **III. LEGAL AND REGULATORY DOCUMENTS**

--To be inserted --

**Notice Inviting Applications**  
**Federal Register Publication Date –**

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

Subpart 2-National Programs  
SEC. 4121. FEDERAL ACTIVITIES.

-To be Inserted -

## IV. GENERAL APPLICATION INSTRUCTIONS AND INFORMATION

### Preparing the Application

A completed application for assistance under this competition consists of two parts: (1) a detailed narrative description of the proposed project and budget, and (2) all forms and assurances that 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, tobacco, and other drug abuse prevention, violence prevention, mental health, early childhood development, or evaluation 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 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, including, the preliminary MOA, logic model, program-specific assurances for former SS/HS grant recipients, and competitive preference assurance. 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.

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

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

All applicants must obtain and use a D-U-N-S number, and all applicants applying through Grants.gov must register with Grants.gov. The D-U-N-S Number used on the application must be the same number that the applicant's organization used to register with Grants.gov. If the numbers are not the same, Grants.gov will reject the application.

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.

## Organizing the Application

### Supplemental Instructions for Standard Form 424

**1. Application for Federal Assistance (SF Form 424):** 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: 84.184H and the Title as Grant Competition to Prevent High-Risk Drinking or Violent Behavior among College Students.

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.

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.

**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:** There is a 40-page limit placed on the program narrative section of the SS/HS application. The program narrative is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. This narrative is also considered to be your SS/HS comprehensive plan. All applicants should adhere to the following formatting guidelines and standards:

- A “page” is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.
- All text in the application must be double space (no more than three lines per vertical inch). Titles, headings, footnotes, quotations, references, and captions, as well as all text in charts, tables, figures, and graphs, can be single space.
- Text must be presented in a **12-point Courier New font**.
- All pages must be consecutively numbered using the style 1 of 40, 2 of 40, etc.
- Please include a Table of Contents with page references. The page limit does not apply to the Table of Contents.

Our reviewers will not read any pages of the SS/HS application that:

- Exceed the page limit if you apply these standards; or
- Exceed the equivalent of the page limit if you apply other standards.

These requirements are designed to prevent any applicant from gaining an unfair competitive advantage by providing a more extensive discussion than the requirements permit. These requirements also facilitate evaluation of applications by peer reviewers by ensuring that applications are readable.

Do not attach anything to the application that cannot be photocopied using an automatic process, i.e., anything stapled, folded, pasted, or in a size other than 8.5" x 11" on white paper.

If you submit your application via Grants.gov, attach this document to the **Project Narrative Attachment Form**.

**4. Budget and Budget Narrative:** Use the Budget Information Form (ED Form 524) form provided in the required forms section of this application package to prepare the budgets for the project. Applicants will need to submit two (2) budget ED Form 524 and two (2) budget narratives for each of the project’s four 12-month period. The first budget narrative should represent funds needed to support program Elements 1, 2, and 3. The second budget narrative should represent funds needed to support program Elements 4 and 5. The budget narratives should contain the same budget categories as are on the ED 524 and provide detailed information on how costs were calculated.

Two budgets must be submitted for each year in which funds are requested (4 years). Failure to supply any of the two budgets and supporting narrative for each of the four years 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.

The Budget Information Form and accompanying narrative 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. At a minimum, the following should be included in each of the four 12-month budgets:

- Salary for a full-time project director.
- Include travel for at least three but no more than five individuals (including at a minimum the project director and representatives from the required SS/HS partners) to attend an annual national SS/HS conference.-
- Include travel for the project director to attend two other 3-day meetings to be determined by the federal SS/HS partners. Grant funds may be used to pay all expenses associated with attending these meetings.
- At least 7 percent of the total of each grant year for local evaluation. SS/HS projects are unusually complex, and require a broad range of evaluation activities, including process, formative, and outcome evaluations in order to supply the information needed for effective management and project improvement.
- No more than 10 percent of the total of each grant year allotted for security equipment, security personnel, or minor remodeling related to security. (See page [insert] for more instructions on this cap.)

For this grant competition, you may charge indirect costs using the rate negotiated with your cognizant federal agency (e.g., Department of Education, Department of Health and Human Services, Department of the Interior). Be sure to include evidence of a federally negotiated indirect cost rate. Individuals who apply for any grant competition through ED are not allowed to budget for an indirect cost 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.



You are encouraged to give priority to direct services to students by limiting the indirect costs charged to the project. You will not be penalized for failure to reduce indirect costs nor will you gain competitive advantage if you do.

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).

If you submit your application via Grants.gov, attach this document to the **Budget Narrative Attachment Form**.

**NOTE: There are no requirements for nonfederal matching funds.** No matching or in-kind contributions are required under the SS/HS grant program. Applicants who propose to address part (or parts) of their SS/HS comprehensive plan with matching or in-kind contributions must complete a second ED 524 form Section B – Budget Summary Nonfederal Funds. Applicants that receive grant awards under this program and proposed matching contributions are expected to provide the funds described in their application.

**5. Appendices:** Below is a list and order of required appendices. If you submit your application via Grants.gov, the **Other Narrative Attachment Form** is where you will attach required forms\* and supplemental documents for the program. The Grants.gov system will allow applicants to attach as many as 10 separate appendices in this section. If you submitted submit your application in paper format via mail or hand delivery, you **must** submit with your application, completed and signed forms.

The following items are part of the appendices and should be included:

- Attachment A - Preliminary MOA
- Attachment B - SS/HS Logic Model
- Attachment C - Assurance for Priority Preference
- Attachment D – Program-Specific Assurance for Former SS/HS Grant Recipients
- Attachment E – NCES District Information Page
- Attachment F -Department of Education & Other Federal Administrative Requirements
  - GEPA 427, Equitable Access to and Participation in Federally Assisted Programs Statement
  - Equitable Participation of Private Schools Statement
  - Maintenance of Effort Statement
  - 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)
  - Assurances, Non-Construction Programs (Standard Form, 424B)
  - Grants.gov Lobbying Form (formerly ED Form 80-0013)

- **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.”
- Disclosure of Lobbying Activities (Standard Form-LLL)
- Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion—Lower Tier Covered Transactions (ED Form 80-0014)

\*If you are submitting an electronic application, in addition to above stated required attachments, you must also attach the following documents to the **Other Narrative Attachment Form** section:

- (1) Application for Federal Assistance – Standard Form 424\*
- (2) Department of Education Supplemental Form for the Standard Form 424

All forms that require a signature, must be completed, signed and faxed to the Office of Safe and Drug-Free Schools at 202-260-7767 within 3 working days of submitting your electronic application.

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.

## **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)

-ED Forms to be inserted-

# Confidentiality and Participant Protection Requirements and Protection of Human Subjects Regulations

SAMHSA Confidentiality and Participant Protection Requirements and Protection of Human Subjects Regulations

Applicants must describe procedures relating to Confidentiality, Participant Protection and the Protection of Human Subjects Regulations in Section I of the application, using the guidelines provided below. Problems with confidentiality, participant protection, and protection of human subjects identified during peer review of the application may result in the delay of funding.

## Confidentiality and Participant Protection:

All applicants must describe how they will address requirements for each of the following elements relating to confidentiality and participant protection.

### 1. Protect Clients and Staff from Potential Risks

- Identify and describe any foreseeable physical, medical, psychological, social and legal risks or potential adverse effects as a result of the project itself or any data collection activity.
- Describe the procedures you will follow to minimize or protect participants against potential risks, including risks to confidentiality.
- Identify plans to provide guidance and assistance in the event there are adverse effects to participants.
- Where appropriate, describe alternative treatments and procedures that may be beneficial to the participants. If you choose not to use these other beneficial treatments, provide the reasons for not using them.

### 2. Fair Selection of Participants

- Describe the target population(s) for the proposed project. Include age, gender, and racial/ethnic background and note if the population includes homeless youth, foster children, children of substance abusers, pregnant women, or other targeted groups.
- Explain the reasons for including groups of pregnant women, children, people with mental disabilities, people in institutions, prisoners, and individuals who are likely to be particularly vulnerable to HIV/AIDS.
- Explain the reasons for including or excluding participants.
- Explain how you will recruit and select participants. Identify who will select participants.

### 3. Absence of Coercion

- Explain if participation in the project is voluntary or required. Identify possible reasons why participation is required, for example, court orders requiring people to participate in a program.

- If you plan to compensate participants, state how participants will be awarded incentives (e.g., money, gifts, etc.).
- State how volunteer participants will be told that they may receive services intervention even if they do not participate in or complete the data collection component of the project.

#### 4. Data Collection

- Identify from whom you will collect data (e.g., from participants themselves, family members, teachers, others). Describe the data collection procedures and specify the sources for obtaining data (e.g., school records, interviews, psychological assessments, questionnaires, observation, or other sources). Where data are to be collected through observational techniques, questionnaires, interviews, or other direct means, describe the data collection setting.
- Identify what type of specimens (e.g., urine, blood) will be used, if any. State if the material will be used just for evaluation or if other use(s) will be made. Also, if needed, describe how the material will be monitored to ensure the safety of participants.
- Provide in Appendix 2, "Data Collection Instruments/Interview Protocols," copies of all available data collection instruments and interview protocols that you plan to use.

#### 5. Privacy and Confidentiality:

- Explain how you will ensure privacy and confidentiality. Include who will collect data and how it will be collected.
- Describe:
  - How you will use data collection instruments.
  - Where data will be stored.
  - Who will or will not have access to information.
  - How the identity of participants will be kept private, for example, through the use of a coding system on data records, limiting access to records, or storing identifiers separately from data.

NOTE: If applicable, grantees must agree to maintain the confidentiality of alcohol and drug abuse client records according to the provisions of Title 42 of the Code of Federal Regulations, Part 2.

#### 6. Adequate Consent Procedures:

- List what information will be given to people who participate in the project. Include the type and purpose of their participation. Identify the data that will be collected, how the data will be used and how you will keep the data private.
- State:

- Whether or not their participation is voluntary.
- Their right to leave the project at any time without problems.
- Possible risks from participation in the project.
- Plans to protect clients from these risks.
- Explain how you will get consent for youth, the elderly, people with limited reading skills, and people who do not use English as their first language.

NOTE: If the project poses potential physical, medical, psychological, legal, social or other risks, you must obtain written informed consent.

- Indicate if you will obtain informed consent from participants or assent from minors along with consent from their parents or legal guardians. Describe how the consent will be documented. For example: Will you read the consent forms? Will you ask prospective participants questions to be sure they understand the forms? Will you give them copies of what they sign?
- Include, as appropriate, sample consent forms that provide for: (1) informed consent for participation in service intervention; (2) informed consent for participation in the data collection component of the project; and (3) informed consent for the exchange (releasing or requesting) of confidential information. The sample forms must be included in Appendix 3 , " Sample Consent Forms ", of your application. If needed, give English translations.

NOTE: Never imply that the participant waives or appears to waive any legal rights, may not end involvement with the project, or releases your project or its agents from liability for negligence.

- Describe if separate consents will be obtained for different stages or parts of the project. For example, will they be needed for both participant protection in treatment intervention and for the collection and use of data?
- Additionally, if other consents (e.g., consents to release information to others or gather information from others) will be used in your project, provide a description of the consents. Will individuals who do not consent to having individually identifiable data collected for evaluation purposes be allowed to participate in the project?

#### 7. Risk/Benefit Discussion:

Discuss why the risks are reasonable compared to expected benefits and importance of the knowledge from the project.

#### Protection of Human Subjects Regulations

SAMHSA expects that most grantees funded under Services Grant programs will not be required to comply with the Protection of Human Subjects Regulations (45 CFR 46). However, in some instances, special evaluation and data collection requirements for a particular funding opportunity may necessitate that all grantees comply with these regulations. In such instances, the applicaiton will explicitly state that grantees must comply with the regulations.

Applicants whose projects must comply with the Protection of Human Subjects Regulations must describe the process for obtaining Institutional Review Board (IRB) approval fully in their applications. While IRB approval is not required at the time of grant award, these applicants will be required, as a condition of award, to provide the documentation that an Assurance of Compliance is on file with the Office for Human Research Protections (OHRP) and the IRB approval has been received prior to enrolling any clients in the proposed project.



## **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 April 20, 2007, at the following address: The Secretary, EO 12372—CFDA #84.184L, 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 April 20, 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**

-Statement to be inserted-

## 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: **May 31, 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 single-spaced page maximum)
- ❑ Project Narrative (up to 40 pages double-spaced)
- ❑ Application Attachments
  - Attachment A - Preliminary MOA\* (must also be faxed within 3 working days of submitting your electronic application)
  - Attachment B - SS/HS Logic Mode\*
  - Attachment C - Assurance for Priority Preference\*(must also be faxed within 3 working days of submitting your electronic application)
  - Attachment D – Program-Specific Assurance for Former SS/HS Grant Recipients\*(must also be faxed within 3 working days of submitting your electronic application)
  - Attachment E – NCES District Information Page\*
  - Attachment G – Budget Information Form (ED Form 524) and Budget Narrative\*\*\*
  - Attachment F -Department of Education & Other Federal Administrative Requirements
    - Narrative Response to GEPA 427, Equitable Access to and Participation in Federally Assisted Programs\*
    - Equitable Participation of Private Schools Statement\*
    - Maintenance of Effort Statement\*
    - 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)\*
    - Assurances, Non-Construction Programs (Standard Form, 424B)\*\*\*\*\*
    - Grants.gov Lobbying Form (formerly ED Form 80-0013)\*\*\*\*
    - Disclosure of Lobbying Activities (Standard Form-LLL)\*\*\*\*\*
    - Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion—Lower Tier Covered Transactions (ED Form 80-0014)
    - Statement Regarding Confidentiality and Participant Protection (DHHS)-

If you are submitting an electronic application:

\*Attach to **Other Narrative Attachment Form**

\*\*Attach to **ED Abstract Narrative Attachment Form** - This section allows for only 10 documents to be attached. It is recommended to combine all of the assurances for Attachment F into a single document.

\*\*\*Attach to **Budget Narrative Attachment Form**

\*\*\*\*If funded documents with original signatures must be presented to the Department within 3 working days of award.