Models of Exemplary, Effective, and Promising Alcohol or Other Drug Abuse Prevention Programs on College Campuses Grant Competition

CFDA #84.184N

Information and Application Procedures for Fiscal Year 2008

OMB No. XXXX-XXXX   Expiration Date: XX/XX/XXXX

Application Deadline: May 19, 2008

Frequently Asked Questions
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U.S. Department of Education

Office of Safe and Drug-Free Schools

Dear Colleague:

Thank you for your interest in applying for recognition through the Models of Exemplary, Effective, and Promising Alcohol or Other Drug Abuse Prevention Programs on College Campuses Grant Competition.

We know that high-risk drinking and drug use by college students contribute to a number of academic, social, and health-related problems. According to recent findings from the Monitoring the Future National Survey Results on Drug Use, 1975-2006, in 2006, approximately 40 percent of the nation's college students engage in heavy drinking (defined as five or more drinks in a row in the past two weeks). In addition, 34 percent of college students have used an illicit drug in the past year.

Survey data from the Core Institute, located at Southern Illinois University Carbondale, also indicate the consequences of drinking. In 2006, as a result of drinking in the year prior to the survey, more than 32 percent of students reported that they had gotten into an argument or fight; 27 percent drove a car while under the influence; approximately 30 percent missed a class; and almost 16 percent were hurt or injured.

Given these statistics, there is a national need to identify exemplary and effective programs and strategies that reduce alcohol and other drug abuse among college students. Funds awarded through this program will be used to identify and disseminate information about exemplary and effective alcohol or other drug abuse prevention programs implemented on college campuses. This year, for the first time, we also will recognize colleges and universities whose programs, while not yet exemplary or effective, show evidence that they are promising. The funds also will be used by grantees to enhance and further evaluate their exemplary, effective, and promising programs. We hope that other institutions of higher education will use the exemplary and effective programs identified through this competition to strengthen their prevention efforts.

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

Sincerely,

Deborah A. Price
Assistant Deputy Secretary

Our mission is to ensure equal access to education and to promote educational excellence throughout the Nation.

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I. APPLICATION SUBMISSION PROCEDURES

Application Transmittal Instructions

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

Attention Electronic Applicants: Please note that you must follow the application procedures as described in the Notice Inviting Applications for this grant competition, published in the <u>Federal Register</u> on April 4, 2008. Some programs may require electronic submission of applications and those programs will have specific requirements and waiver instructions in the <u>Federal Register</u> notice.

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

<u>**Applications Submitted Electronically**</u>
You must submit your grant application through the Internet using the software provided on the Grants.gov Web site (www.grants.gov) by 4:30:00 p.m. (Washington, DC time) on the application deadline date. If you submit your application through the Internet via the Grants.gov Web site, you will receive an automatic acknowledgment when we receive your application.

For more information on using Grants.gov, please refer to the Notice Inviting Applications that was published in the Federal Register on April 4, 2008, the Grants.gov Submission Procedures and Tips document on pages 8-10 of this application package, and the Grants.gov Web site (www.grants.gov).

You may access the electronic application for the Models of Exemplary, Effective, and Promising Alcohol or Other Drug Abuse Prevention Programs on College Campuses Grant Competition at the following Web sites: www.grants.gov or www.ed.gov/programs/dvpcollege/applicant.html.

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

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

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

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

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

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

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

You must mail the original and two copies of the application on or before the deadline date. To help expedite our review of your application, we would appreciate your voluntarily including an additional copy of your application. Applications that are delivered by commercial carrier, such as Federal Express or United Parcel Service should be mailed to: U.S. Department of Education, Application Control Center – Stop 4260, Attention: CFDA #84.184N, 7100 Old Landover Road, Landover, MD 20785-1506.

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

Grants.gov Submission Procedures and Tips for Applicants

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

1. **Register Early** – Grants.gov registration may take five or more business days to complete. You may begin working on your application while completing the registration process, but you cannot submit an application until all of the registration steps are complete. For detailed information on the registration steps, go to www.grants.gov/applicants/get_registered.jsp. **Note**: Your organization will need to update its Central Contractor Registry (CCR) registration annually.

2. **Submit Early** – We strongly recommend that you do not wait until the last day to submit your application. Grants.gov will put a date and time stamp on your application and then process it after it is fully uploaded. The time it takes to upload an application will vary depending on a number of factors including the size of the application and the speed of your Internet connection, and the time it takes Grants.gov to process the application will vary as well. If Grants.gov rejects your application (see step 3 below), you will need to resubmit successfully by 4:30:00 p.m. (Washington, DC time) on the deadline date. **Note**: To submit successfully, you must provide the D-U-N-S Number on your application that was used when your organization registered with the CCR.

3. **Verify Submission is OK** – You will want to verify that Grants.gov and ED received your Grants.gov submission timely and that it was validated successfully. To see the date and time your application was received, log in to Grants.gov and click on the Track My Application link. For a successful submission, the date and time received should be by 4:30:00 p.m. (Washington, DC time) on the deadline date, and the application status should be Validated, Received by Agency, or Agency Tracking Number Assigned.

   If the date and time received is later than 4:30:00 p.m. (Washington, DC time) on the closing date, your application is late. If your application has a status of "Received" it is still awaiting validation by Grants.gov. Once validation is complete, the status will either change to "Validated" or "Rejected with Errors." If the status is "Rejected with Errors," your application has not been received successfully. Some of the reasons Grants.gov may reject an application can be found on the Grants.gov site (www.grants.gov/help/submit_application_faqs.jsp#10). For more detailed information on why an application may be rejected, please review the Application Error Tips document (www.grants.gov/section910/ApplicationErrorTips.pdf). If you discover your application is late or has been rejected, please see the instructions below.

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

Submission Problems – What Should You Do?

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

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

If electronic submission is required, you must submit an electronic application by 4:30:00 p.m. (Washington, DC time), unless you follow the procedures in the Federal Register notice and qualify for one of the exceptions to the electronic submission requirement and submit, no later

than two weeks before the application deadline date, a written statement to ED that you qualify for one of these exceptions. See the Federal Register notice for detailed instructions.

Helpful Hints When Working with Grants.gov

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

Please go to www.grants.gov/applicants/applicant_help.jsp for help with Grants.gov. For additional tips related to submitting grant applications, please refer to the Grants.gov Submit Application FAQs found on Grants.gov (www.grants.gov/help/submit_application_faqs.jsp).

Dial-Up Internet Connections

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

Mac Users

If you do not have a Windows operating system, you will need to use the Citrix solution discussed on Grants.gov or a Windows Emulation program to submit an application using Grants.gov. For additional information, review the FAQs for non-Windows users (**www.grants.gov/resources/download_software.jsp#non_window**). To view the white paper for Macintosh users published by Pure Edge, go to **www.grants.gov/section678/PureEdgeSupportforMacintosh.pdf** or contact Grants.gov Customer Support (**www.grants.gov/contactus/contactus.jsp**) for more information. If electronic submission is required and you are concerned about your ability to submit electronically as a non-Windows user, please follow the instructions in the Federal Register notice to obtain an exception to the electronic submission requirement no later than two weeks before the application deadline date. See the Federal Register notice for detailed instructions.

II. PROGRAM BACKGROUND INFORMATION

General Information

ELIGIBILITY
This competition limits eligibility to institutions of higher education (IHEs) that offer an associate or baccalaureate degree.

AUTHORITY
This application package is based on 34 CFR Parts 74, 75, 77, 79, 80, 81, 82, 84, 85, 86, 97, 98, 99, and 299 of the Education Department General Administrative Regulations (EDGAR). This competition is authorized under Title IV, Section 4121 of the Elementary and Secondary Education Act as amended by the No Child Left Behind Act of 2001.

OFFICIAL DOCUMENTS NOTICE
The official documents governing this competition are in Section III (Legal and Regulatory Documents) of this application package. These notices also are available online at www.ed.gov/programs/dvpcollege/applicant.html.

RESOURCES
Any questions related to the requirements of this grant competition should be directed to Richard Lucey, Jr. (202/205-5471) in ED's Office of Safe and Drug-Free Schools (OSDFS). The OSDFS Web site is located at www.ed.gov/osdfs. For more information about drug abuse and violence prevention programs in higher education, contact ED's Higher Education Center for Alcohol and Other Drug Abuse and Violence Prevention. The Center is a national resource for training and technical assistance in alcohol and other drug abuse and violence prevention on college campuses and in their surrounding communities. The Center can be contacted via telephone (800/676-1730) or its Web site (www.higheredcenter.org). Additional resources related to alcohol and other drug abuse prevention are listed on page 26 of this application package.

PROJECT PERIOD
The project periods for this grant are 18 months for exemplary and effective programs and 12 months for promising programs. The definitions of exemplary, effective, and promising programs are included in the Funding Priority section of this application. We intend the project and budget periods for projects funded under this grant competition to be August 1, 2008 – January 31, 2010 for exemplary and effective programs and August 1, 2008 – July 31, 2009 for promising programs. However, awards may be made as late as September 30, 2008.

GRANT AWARDS
An estimated five new awards will be made. The maximum amount an applicant may receive for a project recognized as an exemplary or effective program may be no more than $150,000 plus indirect costs, and a project recognized as a promising program may receive no more than $100,000 plus indirect costs. These figures are only estimates and do not bind ED to a specific number of grants or amount of any grant. Contingent upon the availability of funds and the quality of applications, we may make additional awards in fiscal years 2008 and 2009 based on the list of unfunded applications from this competition.

TRAVEL BUDGET

Applicants must budget for the project director and at least one additional staff member to attend ED's annual National Meeting on Alcohol and Other Drug Abuse and Violence Prevention in Higher Education during their project period. For planning purposes, applicants should include funds for transportation, lodging for four nights and four days, per diem costs, and conference registration fee. Although the site for the 2008 National Meeting is not selected yet, applicants should use a Washington, DC destination to estimate expenses. For more information about this year's National Meeting, visit www.higheredcenter.org/natl/2008.

SITE VISITS

Based on the first-stage peer reviewers' recommendation, you may receive a one-day site visit by two peer reviewers, who will not be the same reviewers who evaluated and scored your proposal. The site visit's purpose is to provide another source of information about each project to ED. Since grantees under this program will be recognized as having an exemplary, effective, or promising program, a site visit is conducted to confirm the program's effectiveness and to clarify any concerns or questions raised by the first-stage reviewers. Under this grant competition, ED selects an institution of higher education for recognition as having an exemplary, effective, or promising program based on the recommendation from the two peer reviewers who conduct the site visit. Therefore, please note that selection for a site visit does not ensure recognition as an exemplary, effective, or promising program by ED. We expect site visits to be conducted in June 2008 and expect applicants selected for a site visit to be available during that time.

RECOGNITION TYPES

Contingent upon the quality of data provided by the applicant and the recommendation of site visitors, an applicant may earn one of three levels of recognition.

Level 1 is recognition as an exemplary program. An IHE whose program is designated as exemplary must:
➢ Within 30 days of receiving an award, provide to the Department a plan to disseminate information about its program to other IHEs;
➢ Upon approval by the Department, implement its dissemination plan; and
➢ Enhance and further evaluate the exemplary program during the project period of the grant award.

Level 2 is recognition as an effective program. An IHE whose program is designated as effective must:
➢ Within 30 days of receiving an award, provide to the Department a plan to disseminate information about its program to other IHEs;
➢ Upon approval by the Department, implement its dissemination plan; and
➢ Enhance and further evaluate the effective program during the project period of the grant award.

Level 3 is designation as a promising program. An IHE whose program is recognized as promising must:
➢ Within 30 days of receiving an award, submit to the Department a plan to enhance and further evaluate its program;

➢ Upon approval by the Department, implement its enhancement and evaluation plan; and
➢ Within 12 months of award provide to the Department a report detailing the results of its evaluation.

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

REVIEW OF APPLICATIONS AND NOTIFICATION OF AWARD
The review of applications and notification of awards for this grant competition requires approximately 6 to 8 weeks. We expect to notify successful applicants by early August 2008. Unsuccessful applicants will be notified within 60 days of the award start date.

HUMAN SUBJECTS RESEARCH ACTIVITIES
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 in research coordinator at 202/260-3353.

THE U.S. DEPARTMENT OF EDUCATION'S EXPECTATIONS
By submitting an application for this program, applicants agree to fully cooperate with any evaluation efforts conducted by ED or its contractors. At a minimum, grantees are expected to maintain records on how their program is operating and 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 will be expected to work with ED's Higher Education Center for Alcohol and Other Drug Abuse and Violence Prevention to assist in developing a national publication describing the exemplary and effective programs or for other dissemination efforts (see pages 15-16).

CONTRACTING FOR SERVICES
Generally, all procurement transactions must be conducted in a manner providing full and open competition, consistent with the standards in Section 80.36 of EDGAR. This section requires that grantees use their own procurement procedures (which reflect state and local laws and regulations) to select contractors, provided that those procedures meet certain standards described in EDGAR, available online at www.ed.gov/policy/fund/reg/edgarReg/edgar.html.

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

Consistent with Section 75.515 of EDGAR concerning the use of consultants, contractors or consultants may be used to help prepare grant applications, but their participation in the

application development process should not be presumed to result in the receipt of a contract for work under the project if a grant is awarded. Applicants may include a sum for grant writing costs in their proposed budget provided that the amount requested is necessary and reasonable.

The Government Performance and Results Act (GPRA)

The Government Performance and Results Act of 1993 (GPRA) is designed to address problems identified by Congress more than a decade ago, including lack of performance data that can be used by federal program managers to improve program efficiency and effectiveness and by Congress to ensure that spending decisions and oversight are informed by data about program performance. GPRA seeks to improve public confidence in the capability of federal government by systematically holding federal agencies accountable for achieving results, promoting an increased focus on results and service quality, and helping federal managers improve program quality.

As required by GPRA, ED has developed a strategic plan that reflects organizational priorities and integrates those with our mission and program authorities. The Secretary may choose to develop performance measures for the Models of Exemplary, Effective, and Promising Alcohol or Other Drug Abuse Prevention Programs on College Campuses Grant Competition in accordance with GPRA. If measures are developed, grantees will be asked to provide information that relates to participant outcomes. In the absence of specific performance measures, however, grantees are expected to further enhance and implement evaluation plans capable of demonstrating the impact their programs have had on target populations, for example, student behavior changes as a direct result of the program.

Grantees are expected to collect data on their respective performance measures and report those data to ED in their performance report.

Tips for Preparing and Submitting an Application

A. Before You Begin
- ➢ Read this application package carefully and make sure you follow all of the instructions.
- ➢ Use the tools we have provided to help you including:
  - ✓ Frequently Asked Questions section in this application package
  - ✓ Resources related to this specific grant competition on our Web site at www.ed.gov/programs/dvpcollege/index.html
  - ✓ General grant application technical assistance resources on our Web site at www.ed.gov/admins/grants/apply/techassist/index.html
- ➢ If there is information that you do not understand, contact Richard Lucey, Jr. (202/205-5471) in ED's Office of Safe and Drug-Free Schools (OSDFS).

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 reasonable and necessary to carry out your program.

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

D. What Happens Next?
- ➢ If you submit your application by mail, you should receive a postcard in approximately two weeks (depending on the volume of applications we receive) from ED's Application Control Center (ACC) acknowledging receipt of your application and giving you its assigned PR/Award Number. If you have any questions about your postcard, please contact the ACC vie e-mail (application.center@ed.gov) or telephone (202/377-6289). If you submit your application electronically, the PR/Award Number will be generated automatically when you submit your application. Please refer to this PR/Award Number if you need to contact us about your application.
- ➢ OSDFS staff members screen each application to ensure that all program eligibility requirements are met and all forms are included.
- ➢ Your application will be assigned to a three-person panel of independent reviewers and will receive a score from 0 to 100 depending how well it addresses the selection criteria.
- ➢ A Grant Award Notification will be sent to applicants whose proposals score within the funding range. Unsuccessful applicants will receive a notification letter. All applicants will receive a copy of their respective peer reviewers' scores and comments.

Preventing Alcohol and Other Drug Abuse among College Students

ED has supported campus- and community-based prevention programs for more than two decades, in response to alcohol and other drug (AOD) abuse on college campuses and in their surrounding communities. Through discretionary grants and dissemination of information on effective strategies via its Higher Education Center for Alcohol and Other Drug Abuse and Violence Prevention, ED supports efforts to address these complex issues facing our nation's institutions of higher education. Projects funded by ED have been based on theory, expert consensus, practical experience, and evaluated programs.

Data from the Monitoring the Future study show that, in 2006, approximately 40 percent of the nation's college students engaged in heavy drinking (defined as five or more drinks in a row) in the previous two weeks and nearly 34 percent have used an illicit drug.[1] Furthermore, survey data from the Core Institute, located at Southern Illinois University Carbondale, also illustrate the consequences of drinking. For example, in 2006, as a result of drinking in the year prior to the survey, more than 32 percent of students reported that they had gotten into an argument or fight; 27 percent drove a car while under the influence; approximately 30 percent missed a class; and almost 16 percent were hurt or injured.[2]

There is a national need to identify exemplary and effective programs and strategies that reduce alcohol and other drug abuse among college students. The goals of this grant competition are to identify and disseminate information about exemplary and effective alcohol or other drug abuse prevention programs implemented on college campuses. Through this grant competition, ED also will recognize colleges and universities whose programs, while not yet exemplary or effective, show evidence that they are promising.

Exemplary and effective programs will show reductions in campus alcohol or other drug use or reductions in AOD-related problems. These programs should have a significant role in developing or maintaining a safe and healthy campus environment. Programs also should be part of a comprehensive approach—a broad, multifaceted, campus-based strategy focused on alcohol and other drug abuse prevention. A comprehensive approach is one that combines a range of policies, practices, and programs to address the various factors that influence student behavior, and results in an institution-wide approach to reducing alcohol or other drug problems on campus. **Note**: All grantees funded under this program will be expected to promote a nonuse message to students under the minimum legal drinking age as part of their funded project.

NATIONAL PUBLICATION AND AWARDS CEREMONY

Each institution recognized for having an exemplary or effective program will be featured in a national publication to bring attention to the selected institutions and their respective programs. In addition to receiving a monetary award, representatives of schools recognized for having an exemplary, effective, or promising program will be invited to attend a national awards ceremony sponsored by ED to bring attention to the selected institutions and their respective programs.

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1 Johnston, L.D., O'Malley, P.M., Bachman, J.G., and Schulenberg, J.E. Monitoring the Future: National Survey Results on Drug Use, 1975-2006. Volume II: College Students and Adults Ages 19-45. National Institute on Drug Abuse, 2007.
2 The Core Institute. Available online at www.siu.edu/~coreinst.

LESSONS LEARNED

ED's two decades of experience with discretionary grant programs has shown that successful projects adapt strategies that are based on sound prevention theory, research, or effective programs and practices. The implementation of a successful program relies on a strategic planning process, which will result in a well-designed needs assessment; the selection of policies and programs with evidence of effectiveness or a solid foundation in behavior change theory; specific goals and objectives; a summary that links each program and policy to specific objectives; and allocation of sufficient resources to ensure full implementation of the program.[3]

IHEs have considerable experience in educational- and individual-based prevention programs on campuses, and these strategies are necessary in order to provide a comprehensive array of prevention programming on campus. ED emphasizes that while educational and individually focused prevention programs are necessary on college campuses, they are insufficient alone to create significant or long-lasting change. Therefore, ED is interested in projects that incorporate individual-based strategies into a broader and more comprehensive approach. Research strongly supports the use of comprehensive, integrated programs with multiple complementary components that target individuals, including at-risk or alcohol-dependent drinkers; the student population as a whole, and the college and surrounding community.[4]

The evidence supporting prevention strategies varies, which does not mean that one strategy is better than another. Some strategies have not been as thoroughly studied as others or have not been evaluated for specific application to drinkers in college. The Task Force of the National Advisory Council on Alcohol Abuse and Alcoholism placed prevention strategies in tiers based on the evidence available to support or refute them.[5] Applicants should examine these tiers closely when identifying which strategies they plan to incorporate in their project design.

It also is noted that the concept of responsible drinking is much more complicated than it appears in preventing high-risk drinking among college students. There are many factors involved, including what was drunk and how rapidly; what, if anything, was eaten; and environmental factors. Furthermore, as people drink, their ability to make an unimpaired decision is lessened by the amount of alcohol consumed. Responsible drinking messages are at the least mixed and potentially misleading, which can result in a neutral, if not negative impact on preventing high-risk drinking among college students. Educational campaigns will be ineffective in campus environments that encourage drinking and deny or ignore the risks associated with drinking.[6] To strengthen the quality of drug abuse and violence prevention programs implemented with funds from OSDFS, ED established a set of Principles of Effectiveness in 1998, since incorporated into the No Child Left Behind Act of 2001 (Title IV – Section 4115). Although the new statutory requirements do not specifically apply to this grant competition, a subset of the principles of effectiveness that are most applicable to institutions of higher education can be summed up as follows:

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3 DeJong, W. Experiences in Effective Prevention. The U.S. Department of Education's Alcohol and Other Drug Prevention Models on College Campuses Grants. The Higher Education Center for Alcohol and Other Drug Abuse and Violence Prevention, U.S. Department of Education, 2007.

4 National Institute on Alcohol Abuse and Alcoholism. A Call to Action: Changing the Culture of Drinking at U.S. Colleges. U.S. Department of Health and Human Services, 2002.

5 See number 4.

6 New York State Office of Alcoholism and Substance Abuse Services. Healthy Campus Communities: NYS College Alcohol and Other Drug Abuse Prevention Manual, 2003.

➢ Design programs based on a thorough needs assessment of objective data;
➢ Establish a set of measurable goals and objectives linked to identified needs;
➢ Implement prevention activities that research or evaluation have shown to be effective in preventing alcohol or other drug abuse among college students; and
➢ Use evaluation results to refine, improve, and strengthen the program and refine goals and objectives as appropriate.

Basic to the success of any program to prevent alcohol or other drug abuse among college students is the need to ensure the widespread involvement of key stakeholders including students, faculty members, alumni, and community members in the program's design and implementation. Leadership from college and university presidents and other senior administrators is essential to institutionalizing prevention as a priority on campus.

EVALUATION REQUIREMENTS
Evaluation is a powerful tool that supports program planning and an understanding of effective strategies to prevent alcohol or other drug abuse among college students. Keep in mind that what constitutes convincing evidence of success may differ from one project to the next. This grant competition requires each applicant to enhance and further evaluate an exemplary, effective, or promising alcohol or other drug abuse prevention program being implemented on its campus. Although it is anticipated that applicants may use a variety of both outcome-based and process measures for the program's enhancement, all applicants must use outcomes-based performance measures that are related to the prevention and reduction of alcohol or other drug abuse among college students.

Outcome-Based Performance Measures
Examples of outcome-based performance measures may include, but are not limited to:

➢ changes in alcohol sales and service techniques and policies in social or commercial hosting situations that cater to students;
➢ decreases in the overall quantity and frequency of high-risk drinking; and
➢ changes in the number of AOD-related incidents or problems.

Process Measures
Examples of process measures may include, but are not limited to:

➢ decreases in the percentage of media advertisements promoting high-risk drinking;
➢ increases in the number and frequency of alcohol-free social activities; and
➢ increases in the percentage of individuals involved in AOD abuse prevention efforts.

Funding Priority

For FY 2008 and any subsequent year in which we make awards on the basis of the list of unfunded applications from this competition, this priority is an absolute priority. Under 34 CFR 75.105(c)(3), we consider only applications that meet this absolute priority.

Absolute Priority: Exemplary, Effective, and Promising Alcohol or Other Drug Abuse Prevention Programs on College Campuses

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Note: "Exemplary program" means a program that has a strong theoretical base and demonstrated effectiveness in reducing alcohol or other drug abuse among college students or reducing problems resulting from alcohol or other drug use among college students, using a research design of the highest quality. For the purpose of this grant competition, a research design of the highest quality means an experimental design in which students are randomly assigned to participate in a project being evaluated (treatment group) or not participate in the project (control group). The effect of the project is the difference in outcomes between the treatment and control groups.

If strong, experimentally determined evidence of the effectiveness of a program already exists, and the program was implemented on the applicant's campus with fidelity to the research, then a quasi-experimental evaluation of the program's implementation on the applicant's campus may be an acceptable research design. For the purpose of this grant competition, quasi-experimental designs include several designs that attempt to approximate a random assignment design.

"Effective program" means a program that has a strong theoretical base and has been evaluated using either an experimental or quasi-experimental research design, with the evaluation results suggesting effectiveness in reducing alcohol or other drug abuse among college students, reducing problems resulting from alcohol or other drug use among college students, reducing risk factors, enhancing protective factors, or resulting in some combination of those impacts.

"Promising program" means a program that has a strong theoretical base and for which evidence has been obtained, using limited research methods, that the program may reduce alcohol or other drug abuse among college students, reduce problems resulting from alcohol or other drug use among college students, reduce risk factors, enhance protective factors, or result in some combination of those impacts. For the purpose of this grant competition, limited research methods are methods that include a pre- and post-treatment measurement of the effects of a treatment on a single subject or group of single subjects.

To meet the absolute priority in its application, an applicant must:

1. describe the program that **for at least two full years** been implemented on its campus, including the structure and content of the program, the student population that is targeted by the program, and any unique features of the program;

2. provide a **detailed theoretical basis** for the program's effectiveness;

3. provide **data to demonstrate the program's impact** on the target student population, including evidence of cognitive or behavioral changes, or both, among the target population; and

4. **consent to a site visit** to clarify information in the application and verify evaluation data.

Selection Criteria

The following selection criteria will be used to evaluate your application. For ease of reading by the reviewers, you should develop your narrative description to follow the sequence of criteria provided below. The maximum number of possible points for all selection criteria is 100. **Note**: The criteria contain weighted subcriteria. Applicants must address <u>each</u> subcriterion to qualify for the maximum number of points for each criterion.

These selection criteria are used by the first-stage peer reviewers to evaluate your exemplary, effective, or promising alcohol or other drug abuse prevention program and plan to disseminate information about it. The peer reviewers also use the selection criteria used to assess your plan to enhance and further evaluate the program. You are advised to carefully read each selection criterion's subelements and the notes section below each criterion for further guidance.

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1. Significance (20 points)

A. The potential contribution of the program to the development and advancement of theory, knowledge, and practices in the field of study. (15 points)
B. The quality of the applicant's plan to disseminate the program in ways that will enable others to use the information or strategies, including evidence of the program's readiness for replication. (5 points)

In your response to this criterion, you must provide a detailed description of the alcohol or other drug abuse prevention program that has been implemented on your campus for at least two full years (i.e., no later than spring 2006). Your application must describe a comprehensive dissemination plan that provides information to other IHEs about your campus's alcohol or other drug abuse prevention program, informs them as to how the program might be used on their campus, and provides materials or enough detailed information so interested campuses can create a similar program. The plan may include but not be limited to writing articles for appropriate publications, providing consultations at your institution or at institutions interested in implementing the program, hosting a conference, or creating Web sites related to the project.

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2. Project Design (40 points)

A. The extent to which the design of the program reflects up-to-date knowledge from research and effective practices. (20 points)
B. The extent to which the plan to enhance the program reflects up-to-date knowledge from research and effective practices. (10 points)
C. The extent to which the goals, objectives, and outcomes to be achieved by the enhancement to the program are clearly specified and measurable. (10 points)

In your response to this criterion, clearly describe how the program that has been implemented on your campus for at least two full years is based on current research and practice to prevent alcohol or other drug abuse among college students.

You also must provide a comprehensive description of the enhancements you propose to make to the program, including how you selected the proposed enhancements, why they are appropriate strategies, and the specific outcomes you intend to achieve after implementation of the enhancements. Enhancements to the program may include, but are not limited to, expanding the number of students served by the program, identifying a new specific student population to be served by the program, or implementing a new strategy to evaluate. You should demonstrate how proposed enhancements will build on or improve the program.

You must clearly describe the conceptual framework underlying the proposed enhancements to your program, and explain how the enhancements reflect current research and practice to prevent alcohol or other drug abuse among college students.

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3. Project Evaluation (40 points)

A. The extent to which the evaluation data provide evidence of the effectiveness of the program in reducing alcohol or other drug use, or both, reducing problems resulting from alcohol or other drug use, or both, reducing risk factors, enhancing protective factors, or some combination of those impacts. (25 points)
B. The extent to which the methods of evaluation used during the implementation of the program will provide guidance about effective strategies suitable for replication or testing in other settings. (10 points)
C. The extent to which the methods of evaluation used during the enhancement of the program will provide performance feedback and permit periodic assessment of progress toward achieving intended outcomes. (5 points)

In your response to this criterion, the peer reviewers will look for evidence of the effectiveness of your campus's alcohol or other drug abuse program. The peer reviewers will look for a comprehensive explanation of the specific data that serve as a clear indication of your program's effectiveness. You must describe the methods used to evaluate your program, include the instruments used to measure the observed outcomes (or an in-depth description of those instruments), and provide quantitative and qualitative data collected before and after program implementation. Examples of possible outcome-based performance measures are on page 17.

Your application also must specify your plan to evaluate the proposed enhancements to your program during the project period. Evaluations should be designed to continue to collect data on existing program elements as well as any program enhancements.

Frequently Asked Questions

Competition-Specific Information

What is the goal of this grant competition?

➢ The goals of this grant competition are to identify and disseminate information about exemplary and effective alcohol or other drug abuse prevention programs implemented on college campuses. Through this grant competition, ED also will recognize colleges and universities whose programs, while not yet exemplary or effective, show evidence that they are promising.

Who is eligible to apply?

➢ This competition limits eligibility to institutions of higher education (IHEs) that offer an associate or baccalaureate degree.

Do I need to address all four elements of the absolute priority to be considered for this grant competition?

➢ Yes. Applications that do not clearly address all four required elements of the absolute priority will be deemed ineligible.

What are the project and budget periods for these grants?

➢ The project periods for this grant are 18 months for exemplary and effective programs and 12 months for promising programs. We intend the project and budget periods for projects funded under this grant competition to be August 1, 2008 – January 31, 2010 for exemplary and effective programs and August 1, 2008 – July 31, 2009 for promising programs. However, awards may be made as late as September 30, 2008.

How many new awards will be made and what is the average amount of each award?

➢ It is estimated that five new awards will be made. Projects will be funded for approximately $100,000 to $150,000, plus indirect costs, depending on the scope of work. These figures are only estimates and do not bind ED to a specific number of grants or amount of any grant.

Will all applicants receive a site visit as part of the peer review process?

➢ No. Applicants may receive a one-day site visit by two peer reviewers, who will not be the same reviewers who evaluated and scored your proposal. The site visit's purpose is to provide another source of information about each project to ED. Since grantees under this program will be recognized as having an exemplary, effective, or promising program, a site visit is conducted to confirm the program's effectiveness and to clarify any concerns or questions raised by the first-stage reviewers. Under this grant competition, ED selects an institution of higher education for recognition as having an exemplary, effective, or

promising program based on the recommendation from the two peer reviewers who conduct the site visit. Therefore, please note that selection for a site visit does not ensure recognition as an exemplary, effective, or promising program by ED. We expect site visits to be conducted in June 2008 and expect applicants selected for a site visit to be available during that time.

Budget Information

Is there a matching funds requirement?

➢ No. However, if you volunteer to provide matching funds or other non-federal resources to the project, you must complete Section B on ED Form 524 (Budget Information Form). You also will be required to account for voluntary matching funds or other non-federal resources to this project in your final performance report.

Is there a restricted indirect cost rate for this program?

➢ No. For this grant competition, you may charge indirect costs using the rate negotiated with your cognizant federal agency (e.g., Department of Education, Department of Health and Human Services, Department of the Interior). **Note**: Since these grants are not research grants, it is not appropriate to use your institution's indirect cost rate for organized research. If you intend to claim indirect costs during the project period, you should use the indirect cost rate for other sponsored activities, as specified in your institution's federally-approved indirect cost rate agreement.

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 a 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, ED will establish a temporary indirect cost rate for your project (i.e., 10 percent of the direct salaries and wages included in the budget for the project). You will be allowed to draw at the temporary rate during the first 90 days after ED made the grant, as determined by the date of the Grant Award Notification. If you do not submit an indirect cost rate proposal to your cognizant agency within that first 90 days, you will not be allowed to draw any more funds for indirect costs until you obtain a federally recognized indirect cost rate from your cognizant agency. For more information about indirect cost rates, visit www.ed.gov/about/offices/list/ocfo/intro.html.

Can grant funds be used to support professional development activities?

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

Are there guidelines for how much money can be spent on consultants? What is the daily limit and is there a cap?

➢ There is no daily limit or cap for consultant fees. Information related to these fees should be included on ED Form 524 under the Contractual budget category. Also, applicants must fully substantiate all expenditures in the budget narrative.

Application Transmittal Information

Do I have to submit my application electronically?

➢ No. Applications may be submitted electronically or in paper format by mail or hand delivery. The electronic submission of applications is voluntary. However, if you choose to submit your application electronically you must use the Grants.gov site. **Note**: You may not submit your application by e-mail or facsimile.

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

➢ May 19, 2008.

May I get an extension of the deadline date?

➢ Waivers for individual applications failing to meet the deadline will not be granted, regardless of the circumstances. Under very extraordinary circumstances ED may change the closing date for a grant competition. When this occurs, ED announces such a change in a notice published in the Federal Register.

If you experience problems submitting your application electronically through Grants.gov, please contact the Grants.gov Support Desk at 800/518-4726. You must obtain a Grants.gov Support Desk Case Number and keep a record of it.

If you are prevented from electronically submitting your application on the application deadline date because of technical problems with the Grants.gov system, we will grant you an extension until 4:30:00 p.m. (Washington, DC time) the following business day to enable you to transmit your application electronically or by hand delivery. You also may mail your application by following the mailing instructions described elsewhere in this application package.

If you electronically submit an application after 4:30:00 p.m. (Washington, DC time) on the application deadline date, please contact Rich Lucey (richard.lucey@ed.gov or 202/205-5471) and provide an explanation of the technical problem you experienced with Grants.gov, along with the Grants.gov Support Desk Case Number. We will accept your application if we can confirm that a technical problem occurred with the Grants.gov system and that that problem affected your ability to electronically submit your application by 4:30:00 p.m. (Washington, DC time) on the application deadline date. ED will contact you after a determination is made on whether your application will be accepted.

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

Do I need to provide the Funding Opportunity Number (Item #12) and the Competition Identification Number (Item #13) on the SF-424?

➢ If you submit your application electronically via Grants.gov, then you need to provide these numbers. They are located on the Grants.gov Web site on the application download page and also on the application package page once it is downloaded. If you submit your application in paper format by mail or hand delivery, then you do not need to provide these numbers as they are used strictly for the electronic package submitted via Grants.gov.

Does Grants.gov support the new Microsoft Vista Operating System?

➢ Grants.gov uses two viewer products – Adobe Acrobat Reader and PureEdge – that predate the release of Windows Vista. Adobe Reader 7.0.9 **may** work with Vista, but Adobe does not fully support this configuration. PureEdge Viewer v.6.0.2 is only compatible with Vista when using a Citrix server connection. Grants.gov is anticipating the release of Adobe Reader 8.1.1 shortly, which will be compatible with Microsoft Vista. Until Adobe Reader 8.1.1 is released, you have two choices: Use an operating system other than Vista or use Citrix, which has been identified as an option for any applicant that is using Vista. The Grants.gov Web site (www.grants.gov/help/general_faqs.jsp#18) has been updated to provide applicants with instructions on how to utilize the Citrix solution.

General Information

Do I need to notify my State Single Point of Contact about my application?

➢ Yes. You must contact the appropriate State Single Point of Contact to find out about, and to comply with, your state's process under Executive Order 12372, and include a copy of your letter to the State Single Point of Contact with your application. For more information about this requirement, see the Intergovernmental Review of Federal Programs section in this application package.

On the Application for Federal Assistance (Standard Form 424), you also must check the appropriate box in Item 19. Specifically, check box (a) and provide the date on which you made your application available to the State Single Point of Contact for review **or** check box (b) if the State Single Point of Contact indicated that they will not review the application. **Note**: Do not check box (c) since this grant program is covered by Executive Order 12372.

How does the Freedom of Information Act affect my application?

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

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

➢ Richard Lucey, Jr., Education Program Specialist, U.S. Department of Education, 400 Maryland Avenue, SW – Room 3E335, Washington, DC 20202-6450, Phone: 202/205-5471, Fax: 202/260-7767, E-mail: richard.lucey@ed.gov.

Alcohol and Other Drug Abuse Prevention Resource List

DeJong, William, et al., Environmental Management: A Comprehensive Strategy for Reducing Alcohol and Other Drug Use on College Campuses. The Higher Education Center for Alcohol and Other Drug Prevention, U.S. Department of Education, 1998.

DeJong, William, et al., Experiences in Effective Prevention. The U.S. Department of Education's Alcohol and Other Drug Prevention Models on College Campuses Grants. The Higher Education Center for Alcohol and Other Drug Abuse and Violence Prevention, U.S. Department of Education, 2007.

DeJong, William and Linda Langford, Evaluating Environmental Management Approachs to Alcohol and Other Drug Abuse Prevention. The Higher Education Center for Alcohol and Other Drug Abuse and Violence Prevention, U.S. Department of Education, 2006.

Johannessen, Koreen, et al., A Practical Guide to Alcohol Abuse Prevention: A Campus Case Study in Implementing Social Norms and Environmental Management Approaches. The Higher Education Center for Alcohol and Other Drug Prevention, U.S. Department of Education, 1999.

Muraskin, Lana D., Understanding Evaluation: The Way to Better Prevention Programs. U.S. Department of Education, 1993.

National Institute on Drug Abuse, Preventing Drug Use Among Children and Adolescents: A Research-Based Guide for Parents, Educators, and Community Leaders. National Institutes on Health, 2003.

Perkins, H. Wesley and David W. Craig, A Multifaceted Social Norms Approach to Reduce High-Risk Drinking: Lessons from Hobart and William Smith Colleges. The Higher Education Center for Alcohol and Other Drug Prevention, U.S. Department of Education, 2002.

Presley, Cheryl A., S. Bryn Austin, and Judith Jacobs., Selecting the Right Tool: A Compendium of Alcohol and Other Drug Assessment and Evaluation Instruments for Use in Higher Education. The Higher Education Center for Alcohol and Other Drug Prevention, U.S. Department of Education, 1998.

Ryan, Barbara E., Alcohol and Other Drugs: Prevention Challenges at Community Colleges. The Higher Education Center for Alcohol and Other Drug Prevention, U.S. Department of Education, 1998.

Ryan, Barbara E., Tom Colthurst, and Lance Segars, College Alcohol Risk Assessment Guide: Environmental Approaches to Prevention. The Higher Education Center for Alcohol and Other Drug Prevention, U.S. Department of Education, 1997.

Task Force of the National Advisory Council on Alcohol Abuse and Alcoholism, A Call to Action: Changing the Culture of Drinking at U.S. Colleges. National Institutes of Health, U.S. Department of Health and Human Services, 2002.

III. LEGAL AND REGULATORY DOCUMENTS

Placeholder for the following items:

1. **Notice of Proposed Priority**
2. **Notice of Final Priority**
3. **Notice Inviting Applications**

Authorizing Legislation – No Child Left Behind Act of 2001

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

(a) Program Authorized-From funds made available to carry out this subpart under section 4003(2), the Secretary, in consultation with the Secretary of Health and Human Services, the Director of the Office of National Drug Control Policy, and the Attorney General, shall carry out programs to prevent the illegal use of drugs and violence among, and promote safety and discipline for, students. The Secretary shall carry out such programs directly, or through grants, contracts, or cooperative agreements with public and private entities and individuals, or through agreements with other Federal agencies, and shall coordinate such programs with other appropriate Federal activities. Such programs may include-

1) the development and demonstration of innovative strategies for the training of school personnel, parents, and members of the community for drug and violence prevention activities based on State and local needs;
2) the development, demonstration, scientifically based evaluation, and dissemination of innovative and high quality drug and violence prevention programs and activities, based on State and local needs, which may include-
    a) alternative education models, either established within a school or separate and apart from an existing school, that are designed to promote drug and violence prevention, reduce disruptive behavior, reduce the need for repeat suspensions and expulsions, enable students to meet challenging State academic standards, and enable students to return to the regular classroom as soon as possible;
    b) community service and service-learning projects, designed to rebuild safe and health neighborhoods and increase students' sense of individual responsibility
    c) video-based projects developed by noncommercial telecommunications entities that provide young people with models for conflict resolution and responsible decision-making; and
    d) child abuse education and prevention programs for elementary and secondary students;
3) the provision of information on drug abuse education and prevention to the Secretary of Health and Human Services for dissemination;
4) the provision of information on violence prevention and education and school safety to the Department of Justice for dissemination;
5) technical assistance to chief executive officers, State agencies, local educational agencies, and other recipients of funding under this part to build capacity to develop and implement high-quality, effective drug and violence prevention programs consistent with the principles of effectiveness in section 4115(a);
6) assistance to school systems that have particularly severe drug and violence problems, including hiring drug prevention and school safety coordinators, or assistance to support appropriate response efforts to crisis situations;
7) the development of education and training programs, curricula, instructional materials, and professional training and development for preventing and reducing the incidence of crimes and conflicts motivated by hate in localities most directly affected by hate crimes;
8) activities in communities designated as empowerment zones or enterprise communities that will connect schools to community-wide efforts to reduce drug and violence problems; and
9) other activities in accordance with the purpose of this part, based on State and local needs.

(b) Peer Review-The Secretary shall use a peer review process in reviewing applications for funds under this section.

IV. GENERAL APPLICATION INSTRUCTIONS AND INFORMATION

Preparing the Application

A completed application for assistance under this competition consists of two parts: a detailed narrative description of the proposed project and budget, and all forms and assurances that must be submitted in order to receive a grant.

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

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

> ➢ ED Abstract Form
> ➢ Project Narrative Attachment Form
> ➢ Other Attachments Form
> ➢ Budget Narrative Attachment Form

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

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

All applicants should adhere to the following formatting guidelines:

> ➢ Use 1-inch margins. If you submit your application in paper format by mail or hand delivery, your application must be printed on 8 1/2" by 11" paper.
> ➢ Use consistent font no smaller than 12-point type throughout your document. You may use boldface type, underlining, and italics; however, do not use colored text.
> ➢ For the project narrative, your application should consist of the number and text of each selection criterion followed by the narrative. The text of the selection criterion, if included, does not count against any page limitation.

➢ Place a page number at the bottom right of each page beginning with 1, and number your pages consecutively throughout your document, beginning with the Abstract and ending with the Appendices. **Note**: Do not paginate any of the forms.

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

If you submit your application in paper format by mail or hand delivery, you will follow the same general instructions but you will not attach your abstract, project narrative, or other narratives to the Grants.gov forms.

Organizing the Application

Supplemental Instructions for Standard Form 424
1. Application for Federal Assistance (SF Form 424): Reminder: All applicants must obtain and use a D-U-N-S Number, and all applicants applying through Grants.gov must register with Grants.gov. Information on how to obtain a D-U-N-S Number is included below. The D-U-N-S Number used on the application must be the same number that you used to register with the Central Contractor Registry. If the numbers are not the same, Grants.gov will reject the application.

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

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

Use the Application for Federal Assistance and the Department of Education Supplemental Information for SF 424. This is the title page of your application. Be sure that Item 10 identifies the CFDA Number for this grant competition: 84.184N and the Title as Models of Exemplary, Effective, and Promising Alcohol or Other Drug Abuse Prevention Programs on College Campuses Grant Competition.

If you submit your proposal for this grant competition electronically via Grants.gov, please complete the SF 424 first. Grants.gov will insert the correct CFDA number and program name automatically where needed.

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

Under Item 3 in the ED Supplemental Information, indicate whether the proposed project includes human subjects research activities, and if so, whether any or all of the proposed activities are exempt. For additional guidance, see instructions for ED Supplemental Information in the required forms section of this application package or call ED's protection of human subjects in research coordinator at 202/260-3353.

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

One-Page Abstract must be attached to the ED Abstract Form.
Program Narratives must be attached to the Program Narrative Attachment Form.
Budget Narratives must be attached to the Budget Narrative Attachment Form.
All appendices must be attached to the Other Attachments Form.

Note: Do not attach any narratives, supporting files, or application components to the SF 424. Although this form accepts attachments, ED will only review materials and files attached to the appropriate attachment forms listed above.

2. Abstract: Include a concise, one-page, double-spaced abstract following the Table of Contents. This is a key element and must include a brief narrative describing a 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 Form**.

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

4. Budget Narrative: You will use the Budget Information Form (ED Form 524) provided in the required forms section of this application package to prepare a budget for the project. That form will not be attached to the Budget Narrative Attachment Form.

You must include a detailed budget narrative that supports and explains the information provided on 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 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. **Note**: Failure to submit a detailed budget narrative may result in significant cuts to your request. If you submit your application via Grants.gov, attach this document to the **Budget Narrative Attachment Form**.

For this grant competition, you may charge indirect costs using the rate negotiated with your cognizant federal agency (e.g., Department of Education, Department of Health and Human Services, Department of the Interior). **Note**: Since these grants are not research grants, it is not appropriate to use your institution's indirect cost rate for organized research. If you intend to claim indirect costs during the project period, you should use the indirect cost rate for other sponsored activities, as specified in your institution's federally-approved indirect cost rate agreement. Be sure to include evidence of a federally negotiated 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, ED will establish a temporary indirect cost rate for your project (i.e., 10 percent of the direct salaries and wages included in the budget for the project). Grantees will be allowed to draw at the temporary rate during the first 90 days after ED made the grant, as determined by the date of the Grant Award Notification. If a grantee does not submit an indirect cost rate proposal to its cognizant agency within that first 90 days, the grantee will not be allowed to draw any more funds for indirect costs until it obtains a federally recognized indirect cost rate from its cognizant agency. For more information about indirect cost rates, visit www.ed.gov/about/offices/list/ocfo/intro.html.

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

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

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

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

This section **must** include the following:

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

This section **may** include the following:

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

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

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

- Assurances, Non-Construction Programs (Standard Form, 424B)
- Grants.gov Lobbying Form (formerly ED Form 80-0013)
- Disclosure of Lobbying Activities (Standard Form-LLL)

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

Instructions for Standard Forms

➢ Application for Federal Assistance (Standard Form 424)

➢ Department of Education Supplemental Information Form for the Standard Form 424

➢ Department of Education Budget Information – Non-Construction Programs (ED Form 524)

➢ Disclosure of Lobbying Activities (Standard Form LLL)

Instructions for Application for Federal Assistance (Standard Form 424)

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

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

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

Item	Entry:	Item	Entry:
1.	**Type of Submission:** (Required): Select one type of submission in accordance with agency instructions. • Preapplication • Application • Changed/Corrected Application – If requested by the agency, check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this to submit changes after the closing date.	10.	**Name Of Federal Agency**: (Required) Enter the name of the Federal agency from which assistance is being requested with this application.
		11.	**Catalog Of Federal Domestic Assistance Number/Title:** Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.
2.	**Type of Application**: (Required) Select one type of application in accordance with agency instructions. • New – An application that is being submitted to an agency for the first time. • Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals. • Revision - Any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided. A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration E. Other (specify)	12.	**Funding Opportunity Number/Title:** (Required) Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement.
		13.	**Competition Identification Number/Title:** Enter the Competition Identification Number and title of the competition under which assistance is requested, if applicable.
		14.	**Areas Affected By Project:** List the areas or entities using the categories (e.g., cities, counties, states, etc.) specified in agency instructions. Use the continuation sheet to enter additional areas, if needed.
3.	**Date Received:** Leave this field blank. This date will be assigned by the Federal agency.	15.	**Descriptive Title of Applicant's Project:** (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For preapplications, attach a summary description of the project.
4.	**Applicant Identifier**: Enter the entity identifier assigned by the Federal agency, if any, or applicant's control number, if applicable.		
5a	**Federal Entity Identifier**: Enter the number assigned to your organization by the Federal Agency, if any.	16.	**Congressional Districts Of**: (Required) 16a. Enter the applicant's Congressional District, and 16b. Enter all District(s) affected by the program or project. Enter in the format: 2 characters State Abbreviation – 2-3 characters District Number, e.g., CA-12 for California 12th district, NC-103 for North Carolina's 103rd district. • If all congressional districts in a state are affected, enter "all" for the district number, e.g., MD-all for all congressional districts in Maryland. • If nationwide, i.e. all districts within all states are affected, enter US-all. • If the program/project is outside the US, enter 00-000.
5b.	**Federal Award Identifier**: For new applications leave blank. For a continuation or revision to an existing award, enter the previously assigned Federal award identifier number. If a changed/corrected application, enter the Federal Identifier in accordance with agency instructions.		
6.	**Date Received by State:** Leave this field blank. This date will be assigned by the State, if applicable.		
7.	**State Application Identifier:** Leave this field blank. This identifier will be assigned by the State, if applicable.		
8.	**Applicant Information**: Enter the following in accordance with agency instructions:		
	a. Legal Name: (Required): Enter the legal name of applicant that will undertake the assistance activity. This is the name that the organization has registered with the Central Contractor Registry. Information on registering	17.	**Proposed Project Start and End Dates**: (Required) Enter the proposed start date and end date of the project.

	with CCR may be obtained by visiting the Grants.gov website.			
	b. Employer/Taxpayer Number (EIN/TIN): (Required): Enter the Employer or Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.	18.	**Estimated Funding:** (Required) Enter the amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.
	c. Organizational DUNS: (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting the Grants.gov website.		
	d. Address: Enter the complete address as follows: Street address (Line 1 required), City (Required), County, State (Required, if country is US), Province, Country (Required), Zip/Postal Code (Required, if country is US).	19.	**Is Application Subject to Review by State Under Executive Order 12372 Process?** Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State
	e. Organizational Unit: Enter the name of the primary organizational unit (and department or division, if applicable**)** that will undertake the assistance activity, if applicable.		
	f. Name and contact information of person to be contacted on matters involving this application: Enter the name (First and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.	20.	**Is the Applicant Delinquent on any Federal Debt?** (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes. If yes, include an explanation on the continuation sheet.

9.	Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.		21.	**Authorized Representative**: (Required) To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required) title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant. A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)

Type of Applicant selections:

A. State Government
B. County Government
C. City or Township Government
D. Special District Government
E. Regional Organization
F. U.S. Territory or Possession
G. Independent School District
H. Public/State Controlled Institution of Higher Education
I. Indian/Native American Tribal Government (Federally Recognized)
J. Indian/Native American Tribal Government (Other than Federally Recognized)
K. Indian/Native American Tribally Designated Organization
L. Public/Indian Housing Authority

M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)
N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)
O. Private Institution of Higher Education
P. Individual
Q. For-Profit Organization (Other than Small Business)
R. Small Business
S. Hispanic-serving Institution
T. Historically Black Colleges and Universities (HBCUs)
U. Tribally Controlled Colleges and Universities (TCCUs)
V. Alaska Native and Native Hawaiian Serving Institutions
W. Non-domestic (non-US) Entity
X. Other (specify)

Instructions for Department of Education
Supplemental Information for Standard Form 424

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

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

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

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

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

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

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

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

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

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

Definitions for Department of Education
Supplemental Information for Standard Form 424

Definitions:

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

- Has never received a grant or subgrant under the program from which it seeks funding;

- Has never been a member of a group application, submitted in accordance with 34 CFR 75.127-75.129, that received a grant under the program from which it seeks funding; and

- Has not had an active discretionary grant from the Federal government in the five years before the deadline date for applications under the program. For the purposes of this requirement, a grant is active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds.

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

PROTECTION OF HUMAN SUBJECTS IN RESEARCH

I. Definitions and Exemptions

A. Definitions.

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

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

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

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

B. Exemptions.

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

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

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

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

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

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

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

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

II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives

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

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

B. Nonexempt Research Narrative.

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

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

(2) **Sources of Materials**: Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

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

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

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

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

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

Copies of the Department of Education's Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, D.C. 20202-4250, telephone: (202) 245-6120, and on the U.S. Department of Education's Protection of Human Subjects in Research Web Site: http://www.ed.gov/about/offices/list/OCFO/humansub.html NOTE: The **State Applicant Identifier** on the SF 424 is for State Use only. Please complete it on the OMB Standard 424 in the upper right corner of the form (if applicable).

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

General Instructions

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

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

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

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

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

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

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

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

Section B - Budget Summary
Non-Federal Funds

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

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

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

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

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

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

1. Provide an itemized budget breakdown, and justification by project year, for each budget category listed in Sections A and B. For grant projects that will be divided into two or more separately budgeted major activities or sub-projects, show for each budget category of a project year the breakdown of the specific expenses attributable to each sub-project or activity.

2. If applicable to this program, provide the rate and base on which fringe benefits are calculated.

3. If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. Specify the estimated amount of the base to which the indirect cost rate is applied and the total indirect expense. Depending on the grant program to which you are applying and/or your approved Indirect Cost Rate Agreement, some direct cost budget categories in your grant application budget may not be included in the base and multiplied by your indirect cost rate. For example, you must multiply the indirect cost rates of "Training grants" (34 CFR 75.562) and grants under programs with "Supplement not Supplant" requirements ("Restricted Rate" programs) by a "modified total direct cost" (MTDC) base (34 CFR 75.563 or 76.563). Please indicate which costs are included and which costs are excluded from the base to which the indirect cost rate is applied.

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

4. Provide other explanations or comments you deem necessary.

Paperwork Burden Statement

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

Instructions for Disclosure of Lobbying Activities (Standard Form LLL)

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

1) Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.

2) Identify the status of the covered Federal action.

3) Identify the appropriate classification of this report. If this is a follow-up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.

4) Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.

5) If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.

6) Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.

7) Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.

8) Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."

9) For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.

10) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.

   (b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).

11) The certifying official shall sign and date the form, print his/her name, title, and telephone number.

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. *Note*: **A copy of the applicant's letter to the State Single Point of Contact must be included with this application**.

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

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 July 18, 2008, at the following address: The Secretary, EO 12372—CFDA #84.184N, 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 July 18, 2008. Please do not send applications to this address.

General Education Provisions Act (GEPA) Section 427

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

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

This section allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation that you may address: *gender*, *race, national origin, color, disability*, or *age*. Based on local circumstances, you can determine whether these or other barriers may prevent your students, teachers, or others from equitable access or participation. Your description need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. In addition, the

information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

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

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

Examples

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

1. An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.

2. An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audiotape or in Braille for students who are blind.

3. An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course might indicate how it tends to conduct "outreach" efforts to girls to encourage their enrollment.

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

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

Application Preparation Checklist

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

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

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

Deadline Date: **May 19, 2008**. See Sections I and IV of this application package for complete application transmittal instructions and general application instructions and information.

EACH COPY OF THE APPLICATION MUST INCLUDE THE FOLLOWING:

- ❑ Application for Federal Assistance (SF Form 424) - Page 1
- ❑ Department of Education Supplemental Information Form for the SF 424
- ❑ Project Abstract - Page 2 (one page double-spaced)
- ❑ Project Narrative (up to 25 pages double-spaced)
- ❑ All applications must include the required forms, assurances, and certifications, including:
  - ❑ Budget Information Form (ED Form 524) and detailed budget narrative
  - ❑ Assurances, Non-Construction Programs (ED Form 424B)
  - ❑ Certification Regarding Lobbying (Grants.gov Lobbying Form)
  - ❑ Disclosure of Lobbying Activities (Standard Form–LLL)
- ❑ Narrative response to GEPA 427
- ❑ Copy of letter to State Single Point of Contact (see page 44)
- ❑ Proof of federally negotiated indirect cost rate (if you are claiming indirect costs)
- ❑ Resumes of key personnel
- ❑ Letters of commitment