

Safe Schools/ Healthy Students Initiative



Program Announcement • Application Instructions and Forms

Due Date: April 29, 2005



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OMB # 1865-0004; Expiration Date 5/31/2007 • CFDA # 84.184L



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Paperwork Reduction Act Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1865-0004 and will expire on May 31, 2007. The time required to complete these forms is estimated to average 26 hours per response, including the time to review instructions and complete the survey. **If you have any comments concerning the accuracy of the time estimate or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, DC 20202-4651. **If you have any comments or concerns regarding the status of your individual submission of this form, write directly to:** Office of Safe and Drug-Free Schools, U.S. Department of Education, Federal Office Building 6, 400 Maryland Avenue, SW., Washington, DC 20202-6450.

Tips for Applicants

Before You Begin

- ◆ Read this application package carefully and make sure to follow all of the instructions.
- ◆ Make sure that your application meets the absolute priority (see page 7).
- ◆ Use the tools and other resources we have provided:
Frequently Asked Questions (included on pages 29–37 of this application package)
Supplemental information on:
 - Safe Schools/Healthy Students (SS/HS) Initiative – <http://www.sshs.samhsa.gov>.
 - How to complete ED forms – <http://www.ed.gov/admins/grants/apply/techassist/index.html>.
- ◆ Determine your urbanicity. The amount of federal funds an applicant can request is based on urbanicity. See page 21 for instructions.

Preparing Your Application

- ◆ Be thorough, and write so that someone who knows nothing about your school district and community can understand what you are proposing and why. An applicant's response to the selection criteria will serve as the applicant's SS/HS comprehensive plan.
- ◆ Organize your application's narrative according to the selection criteria headings. The narrative portion of the SS/HS application is where applicants will respond to the selection criteria.
- ◆ Make sure your budget narrative provides adequate detail about planned expenditures that easily demonstrates how funds will be spent.
- ◆ Link your planned expenditures to the activities, curriculums, program, and services included in your narrative.
- ◆ Schedule adequate time to get signatures from the required local officials.
- ◆ Adhere to the format requirements for the application. See page 22.

Submitting Your Application

- ◆ Use the checklist provided in this application package to make sure your application is complete BEFORE submitting it.
- ◆ Make sure all required forms are included and signed by an authorized representative of your local educational agency (LEA). For most LEAs, the authorized representative is the superintendent.
- ◆ Submit your application by the deadline date. All applications must be postmarked by April 29, 2005.

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The Safe Schools/Healthy Students Initiative

Background

Since 1999, the U.S. Departments of Education, Health and Human Services, and Justice have collaborated on the Safe Schools/Healthy Students (SS/HS) Initiative. The SS/HS Initiative is a discretionary grant program that provides students, schools, and communities with federal funding to implement an enhanced, coordinated, comprehensive plan of activities, programs, and services that focus on promoting healthy childhood development and preventing violence and alcohol and other drug abuse. Eligible local educational agencies (LEAs) or a consortium of LEAs, in partnership with their community's law enforcement, public mental health, and juvenile justice agencies, are able to submit a single application for federal funds to support a variety of activities, curriculums, programs, and services.

Federal funds and other resources support SS/HS grantees in 190 communities across the United States. To date, the U.S. Departments of Education, Health and Human Services, and Justice have provided over \$800,000,000 to local educational, mental health, social services, law enforcement, and juvenile justice agency partnerships to implement various activities, curriculums, programs, and services that constitute community-specific comprehensive plans aimed at youth violence prevention, early intervention, and healthy childhood development.

LEAs are the eligible applicants for SS/HS. LEAs apply for SS/HS funds in partnership with their local public mental health authority, local law enforcement agency, and local juvenile justice entity. A consortium of LEAs may apply for SS/HS funds with a single application. Any consortium applying for funding must designate a single LEA as the fiscal and management entity. A consortium will not be eligible to receive multiple awards.

The SS/HS Initiative draws on the best practices of education, justice, social services, and mental health systems to provide integrated and comprehensive resources for prevention programs and prosocial services for youth. To apply for SS/HS, applicants and their partners propose an integrated, comprehensive, communitywide, and community-specific plan to address the problems of school violence and alcohol and other drug abuse. This plan, called the SS/HS comprehensive plan, focuses on six elements:

- ◆ Element 1: Safe school environment.
- ◆ Element 2: Alcohol and other drugs and violence prevention and early intervention programs.
- ◆ Element 3: School and community mental health preventive and treatment intervention services.
- ◆ Element 4: Early childhood psychosocial and emotional development programs.
- ◆ Element 5: Supporting and connecting schools and communities.
- ◆ Element 6: Safe school policies.

Successful applicants' SS/HS comprehensive plan, when implemented, will provide students, schools, and families with a network of effective services, supports, and activities that help students develop the skills and emotional resilience necessary to promote positive mental health, engage in prosocial behavior, and prevent violent behavior and drug use; create schools and communities that are a safe, disciplined, and drug-free environment; and engage parents, community organizations, and social services agencies to help develop an infrastructure that will institutionalize and sustain successful grant components after federal funding has ended.

SS/HS grant applicants are eligible for 3 consecutive years of funding. Continuation funding is subject to the availability of federal funds and progress achieved by the grantee. The maximum yearly award for SS/HS grants is \$1 million for rural school districts and Bureau of Indian Affairs (BIA) schools, \$2 million for suburban school districts, and \$3 million for urban districts.

In making awards under this grant program, the federal SS/HS partners may (1) take into consideration the geographic distribution and diversity of activities addressed by the projects, in addition to the rank order of the applicant's scores, and (2) in accordance with Section 75.217 (d) of the Education Department General Administrative Regulations, ensure equitable distribution of grants under this initiative among urban, suburban, rural, and BIA LEAs. Contingent on the availability of funds, the federal SS/HS partners may make additional awards in fiscal year (FY) 2005 from the rank-ordered list of scores of unfunded applicants from this competition.

Creating the Comprehensive Plan and Addressing the Six SS/HS Elements

Key to SS/HS is the comprehensive plan. The narrative portion of the SS/HS application is where the applicant responds to the selection criteria, which include community assessment; goals, objectives, and performance indicators; project design; partnership and community readiness; evaluation; and program management and budget. It is this narrative—where the applicant responds to the selection criteria in detail (e.g., naming specific prevention curriculums to be implemented in specified schools)—that represents the applicant's proposed SS/HS comprehensive plan.

The SS/HS comprehensive plan addresses the selection criteria in a manner that focuses on the six SS/HS elements:

- ◆ Element 1: Safe school environment.
- ◆ Element 2: Alcohol and other drugs and violence prevention and early intervention programs.
- ◆ Element 3: School and community mental health preventive and treatment intervention services.
- ◆ Element 4: Early childhood psychosocial and emotional development programs.
- ◆ Element 5: Supporting and connecting schools and communities.
- ◆ Element 6: Safe school policies.

Applicants are reminded that SS/HS targets LEAs with a strong community partnership in place that has success with mobilizing the community to cooperate in a coordinated approach to addressing problems and needs of students, schools, families, and the community. The intent is to assist these existing partnerships with their work. This is not a planning grant.

A critical feature of SS/HS is the linking and integration of existing and new services and activities into a comprehensive approach to violence prevention and healthy development that reflects the overall vision for the community, not the isolated objectives of a single activity. The primary objective of a community's SS/HS comprehensive plan is to present a thoughtful, well-coordinated strategy that will unify and enhance existing programs and services and to develop a systematic approach for sustaining those activities, curriculums, programs, and services that prove effective. Funded applicants will be expected to immediately begin implementing the activities, curriculums, programs, and services described in their SS/HS comprehensive plan.

Current successful SS/HS grantees have strong partnerships that include government agencies, law enforcement, courts and corrections, public and private social services agencies, businesses, civic organizations, the faith community, and private citizens. These grantees attribute their success, in part, to:

- ◆ Assessing a community's needs.
- ◆ Identifying and reaching populations in need of prevention services.
- ◆ Increasing communication and information sharing among all participating agencies and services.
- ◆ Developing a community strategic plan with measurable performance-based goals and objectives.
- ◆ Coordinating and strengthening existing effective programs, policies, and strategies for reducing and preventing violence and promoting healthy childhood development.
- ◆ Implementing evidence-based activities, curriculums, and programs to meet identified needs and fill service gaps in the current prevention continuum.
- ◆ Monitoring and evaluating the implementation and impact of the SS/HS strategy and its policies, systems, and services, for purposes of improving service delivery.
- ◆ Making systems changes and creating institutionalized changes that will sustain activities, programs, and services after federal funding has ended.

The SS/HS applicants should mobilize all segments of the community to cooperate in a coordinated and comprehensive approach to the problems and needs of youth in their schools, neighborhoods, and the community at large. The goal of SS/HS is to help all students develop the skills and emotional resilience necessary to promote positive mental health, engage in prosocial behavior, and prevent violent behavior and drug use; and to provide resources and assistance to communities and families to support this goal. The expected outcome is an increase in the number of schools and communities that provide students with a safe, disciplined, and drug-free environment in which to live, grow, and learn.

Requirements for SS/HS Grant Applications

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

1. Be an eligible applicant.
2. Request no more than the maximum amount established for their defined urbanicity.
3. Include two signed memorandums of agreement demonstrating the commitment of the required SS/HS partners.
4. Propose a project that meets the absolute priority: the implementation of an integrated, comprehensive, communitywide plan designed to create safe and drug-free schools and promote prosocial skills and healthy childhood development in youth. Plans must focus activities, curriculums, programs, and services in a manner that responds to each of the six SS/HS elements.
5. Application package is postmarked no later than the due date deadline.

Applications that fail to meet any one of the above five requirements will not be read.

Successful SS/HS grant applicants should also:

6. Show evidence of a current school-community partnership.
7. Develop an SS/HS comprehensive plan that addresses the six SS/HS elements with corresponding goals, objectives, and performance indicators.
8. Select evidence-based activities, curriculums, and programs.
9. Include a local evaluation component among proposed funded activities.
10. Agree to participate in Federal Government Performance and Results Act activities.
11. Respond to all Federal Administrative Requirements.
12. Observe the requirements for application length and format. Failure to do so will result in only a portion of the application being submitted for peer review.

Eligibility

LEAs or consortiums of LEAs that have not received funds or services under the SS/HS Initiative in FY 1999, 2000, 2001, 2002, 2003, or 2004 are the only eligible applicants for SS/HS. Applicants are encouraged to check with State Educational Agencies to verify their status as an LEA.

Maximum Funding Requests

An applicant's request for funding must not exceed the maximum amount established for its defined urbanicity. The maximum request for SS/HS funds is \$1 million for rural LEAs and BIA schools for a 12-month period, \$2 million for suburban LEAs for a 12-month period, and \$3 million for urban LEAs for a 12-month period. To determine urbanicity and the maximum amount an LEA is eligible to apply for, all applicants except BIA schools must use the district locale code on the National Public School and School District Locator Web site and the definitions established in this application for rural, suburban, and urban to determine urbanicity. Refer to page 21, "Determining Your Urbanicity," for further instructions. A BIA school's request must not exceed \$1 million.

Memorandums of Agreement

The applicant (LEA) must include in its application two memorandums of agreement demonstrating the commitment of the required SS/HS partners. Agreements must be signed by the required partners (as described below) and must be dated no earlier than 6 months prior to the SS/HS application deadline.

Applicants must also include information in the application that supports the selection of the identified local law enforcement and juvenile justice partner and describe how those partners' activities will support and be integrated in the SS/HS strategy. Applicants must contact their State Department of Mental Health to identify the relevant local public mental health authority. Mental health entities that have no legal authority in the administrative oversight of the delivery of mental health services are not acceptable as the sole mental health partner. Each SS/HS application must include the local public mental health authority (as defined below and in Appendix A) as a partner. (The local public mental health authority is not required to provide mental health services to the target population but must provide administrative control or oversight of the delivery of mental health services. Applicants are permitted to contract for mental health services.)

The requirements for the signed memorandums of agreement are as follows:

- ◆ The **first** agreement is the Memorandum of Agreement for the SS/HS Partners. This agreement must contain the signatures of the school superintendent and the authorized representatives for the local public mental health authority and local law enforcement and juvenile justice agencies. This agreement must include the following information: a mission statement for the SS/HS partnership; the goals and objectives of the partnership; desired outcomes for the partnership; a description of how information will be shared among partners; and a description of the roles and responsibilities of each partner. Applicants submitting as a consortium of LEAs must demonstrate partnership with the relevant local law enforcement agency (or agencies), public mental health authority (or authorities), and juvenile justice agency (or agencies) for each of the participating LEAs in the consortium. Applicants must indicate those instances where a local law enforcement agency, public mental health authority, or juvenile justice agency has authority or jurisdiction for one or more of the participating LEAs in the consortium. Include this agreement as Attachment A of your application.

- ◆ The **second** written agreement is the Memorandum of Agreement for Mental Health Services. This agreement must contain the signatures of the school superintendent and the authorized representative of the local public mental health authority. The local public mental health authority must agree to provide administrative control and/or oversight of the delivery of mental health services. This agreement also must state procedures to be used for referral, treatment, and followup for children and adolescents with serious mental health problems. Applicants submitting as a consortium of LEAs must demonstrate partnership with the relevant public mental health authority (or authorities) for each of the participating LEAs in the consortium. Applicants must indicate instances where a local public mental health authority has authority/jurisdiction for one or more of the participating LEAs in the consortium. Include this agreement as Attachment B of your application.

Definitions for Required Partnerships

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

Local Public Mental Health Partner: the entity legally constituted (directly or through contract with the State mental health authority) to provide administrative control or oversight of mental health services delivery within the community.

Local Juvenile Justice Partner: the agency or entity at the local level that is officially recognized by State or local government to address juvenile justice system issues in the communities to be served by the grant. Examples of juvenile justice agencies include, but are not limited to, juvenile justice task forces; juvenile justice centers; juvenile or family courts; juvenile probation agencies; and juvenile corrections agencies.

Absolute Priority

SS/HS applicants' proposals must meet the established absolute priority. That is, an applicant's proposal must describe the implementation of an integrated, comprehensive, communitywide plan designed to create safe and drug-free schools and promote prosocial skills and healthy childhood development in youth. Plans must focus activities, curriculums, programs, and services in a manner that responds to all of the following six elements:

- ◆ Element 1: Safe school environment. NOTE: No more than 10 percent of the total budget for each year may be used to support costs associated with (1) security equipment and personnel and (2) minor remodeling of school facilities to improve school safety.
- ◆ Element 2: Alcohol and other drugs and violence prevention and early intervention programs.
- ◆ Element 3: School and community mental health preventive and treatment intervention services.
- ◆ Element 4: Early childhood psychosocial and emotional development programs.

- ◆ Element 5: Supporting and connecting schools and communities.
- ◆ Element 6: Safe school policies.

Evidence of Preexisting School-Community Partnership

The purpose of this grant is to enhance and expand existing partnerships. The Partnership and Community Readiness section of the application should demonstrate that a school-community partnership has been in existence for 6 or more months prior to submission of the application (henceforth referred to as preexisting school-community partnership). The preexisting school-community partnership should involve at least two of the four required SS/HS partners that have worked together on issues of school safety, drug and violence prevention, and/or healthy childhood development issues for 6 or more months prior to submission of the application. Applicants should include, but are not limited to, the following evidence of a preexisting partnership: partnership’s mission and vision statement, governance and leadership of the partnership, list of member organizations and demonstrated substantial participation of members, and examples of accomplishments (measurable results, leveraging of resources/financial support, systems change, interdisciplinary training, public awareness campaigns, and community events).

SS/HS Comprehensive Plan Addressing the Six Elements

An applicant’s response to the selection criteria will describe the SS/HS comprehensive plan. (This part of the application is also called the program narrative, which is limited to 40 double-spaced pages. See page 22 for format requirements.) The SS/HS selection criteria are community assessment; goals, objectives, and performance indicators; project design; partnership and community readiness; evaluation; and program management and budget. In responding to the selection criteria, applicants are expected to focus on the six SS/HS elements:

Element 1: Safe School Environment

Without a safe learning environment, teachers cannot teach and students cannot learn. The issue of school safety should be a shared concern among schools, the community, parents, and students. The goal of this element is to establish a commitment and implement strategies to create safe and orderly schools and communities. School safety should be placed high on your district’s agenda. To accomplish this goal, school and community leaders—along with families—should determine what major safety and security concerns exist and agree on strategies to address them. Using a team approach is the best way to foster joint responsibility, collaboration, and cooperation.

In some schools, obvious security measures are needed to ensure safety. These measures include installing security devices, conducting random inspections, and providing students and staff with identification cards. Relying heavily on security devices (e.g., metal detectors) without adequate staffing and training will have limited impact in the absence of a comprehensive approach and can have a negative impact on the mental health of children and youth. Security involves paying careful attention to training, searching for and closing any security gaps, improving communications, testing security devices and procedures, performing maintenance, and updating technology.

Examples of other allowable activities under this element include installing safety equipment; providing for bike patrols on/near school grounds; conducting security assessments; developing crisis preparedness plans, tools, or guidelines; designing enforcement and investigation techniques; enhancing links with community officials and families; and providing staff development programs that bring together police officers, mental health professionals, and juvenile justice system personnel to provide each other with training, consultation, and support.

No more than 10 percent of the total budget for each year may be used to support costs associated with (1) security equipment and personnel and (2) minor remodeling of school facilities to improve school safety. SS/HS grant funds may NOT be used to purchase equipment for law enforcement officers, such as cars, police dogs, or firearms.

Element 2: Alcohol and Other Drug and Violence Prevention and Early Intervention Programs

Substance abuse and violence are complex human behaviors often related to other factors in the home or the wider community. Schools have developed and implemented curriculums and instructional programs to address alcohol and other drugs abuse, violence, and many other problems young people face. Although curriculums and instructional programs have been important and necessary, they are insufficient alone. To prevent or reduce rates of substance abuse and violent behavior among youth, school-based early intervention and prevention efforts need to be coordinated with broader environmental and other strategies that address change not only at the individual, classroom, and school levels, but also at the family and community levels.

Examples of coordinated efforts that create change include (1) involving representatives of the targeted families and communities in the design and delivery of mental health, early intervention, substance abuse, and violence prevention programs and encouraging community ownership of these programs; (2) reshaping attitudes and beliefs regarding mental health, substance abuse, and violence; (3) providing social and recreational activities and mentoring in a developmentally appropriate manner as alternatives to substance abuse and violence; (4) providing services to prevent alcohol and drug use and violence, and providing early interventions to promote the healthy development of children and youth; (5) providing training and consultation to school personnel; and (6) providing supportive services to families, such as family strengthening programs.

Recognizing the importance of the family is critical. Research has suggested that family interventions aimed at improving parenting practices and the family environment can be effective in reducing later problem behaviors and alcohol and drug abuse among youth. A comprehensive strategy demands that schools collaborate with families and other agencies, such as social services, juvenile justice, law enforcement, and recreation, to create prevention programs. Applicants should propose activities and programming that have proved effective in preventing and/or intervening early to prevent substance use and violence among youth. These strategies should also take into account characteristics of the populations served, including culture, language, gender, race/ethnicity, disability, and other factors.

Element 3: School and Community Mental Health Preventive and Treatment Intervention Services

Many children and adolescents have mental health needs but are unable to access appropriate high-quality mental health services. Such children are frequently victims of violence (such as child abuse, sexual abuse, and/or assault) and witnesses to violence (including domestic violence, school violence, and community violence, including trauma and terrorism). They may also include children and adolescents with conduct disorders and related problems, who exhibit aggressive antisocial behavior or abuse drugs. Children who suffer from depression are at increased risk for suicide or self-inflicted violence but may not have easy access to appropriate mental health services and may not have been identified as in need of services.

The mental health element of the SS/HS comprehensive plan has a dual purpose: to provide mental health preventive services early to reduce risk of onset or delay the onset of emotional and behavioral problems for some children; and to identify those children who already have serious emotional disturbance and to ensure that they receive appropriate referral, treatment, and followup services. For this reason, the SS/HS Initiative requires a formal arrangement between schools and public mental health entities concerning the delivery of mental health services for children and adolescents with more serious mental health problems, to complement school-based prevention and early intervention services.

At a minimum, schools must (1) provide screening and assessment in the school setting (i.e., screening programs to detect depression and other mental health disorders); (2) provide appropriate school-based mental health prevention and early intervention services for at-risk children and adolescents and their families; (3) provide referral and followup with local public mental health agencies when treatment is indicated, consistent with the written agreement between the schools and the local public mental health organization; (4) provide training and consultation to school personnel; and (5) provide supportive services to families in order that they may participate fully in the educational, social, and healthy development of their children. It is intended that this program will also support enhanced integration, coordination, and resource sharing among mental health and social services providers in schools and other community-based programs.

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

Element 4: Early Childhood Psychosocial and Emotional Development Programs

Early childhood prevention and intervention programs focused on positive development of mental and physical health early in a child's life have enormous potential for buffering the negative impact of multiple environmental and individual risk factors and interrupting the cycle of violence for high-risk children and families.

Under this element, the SS/HS Initiative supports activities that make available preventive and intervention services that enable young children (ages 0–5) to enter school ready to learn. Examples of such services include prenatal nurse home visitation, integrated physical and mental

health services for mothers and infants following birth (e.g., developing parenting skills, fostering relationship-building between infant and mother), family support opportunities for families whose children are in childcare programs, case consultation, crisis intervention, integrated therapy, and help for caregivers and teachers to work collaboratively with families to address the social and emotional needs of children. Since access to families with infants and toddlers may be complex because younger children are not yet enrolled in school, proposed activities should include ways to overcome barriers to identifying and serving families in need.

Element 5: Supporting and Connecting Schools and Communities

Schools that function well foster learning, safety, and socially appropriate behaviors, which makes learning possible for every child. These schools have a strong academic focus, support students in achieving high standards, foster positive relationships, promote meaningful parental and community involvement, and recognize the social and emotional needs of students. In order for schools to successfully educate students, it is important that all students and staff feel safe. Schools that have comprehensive violence prevention and response plans in place, plus teams to design and implement those plans, report positive results such as improved academics, reduced disciplinary referrals and suspensions, improved school climate that is more conducive to learning, better staff morale, more efficient use of human and financial resources, and enhanced safety.

As a component of the comprehensive plan, *Supporting and Connecting Schools and Communities* can be used to support positive discipline, academic success, instruction in appropriate behaviors and problem-solving skills, positive behavior support, and appropriate academic instruction.

Aspects of supportive school and community culture that may be eligible for funding as part of this Initiative are staff training (if the training focuses on knowledge and skills needed to maintain order and discipline, the prevention of bullying and other harassing behaviors, or the integration of drug and/or violence prevention education into classroom teaching and school activities), family and community involvement in school, mentoring, academic enrichment, alternative education, and expanded afterschool programs. It is important to consider the systemic impact of supportive school and community culture components in the overall comprehensive plan.

Applicants are encouraged to coordinate resources and activities funded under this Initiative with Elementary and Secondary Education Act Title I and other programs.

Element 6: Safe School Policies

Although schools are generally among the safest places for young people, safety is enhanced by schoolwide policies and practices that systemically address the needs of students, school personnel, and the community. In describing activities regarding safe schools policies in your application, you may consider the following: (1) clear standards of student behavior, with enforcement, which consider the social and emotional needs of children; (2) a discipline code, based on respect, that is widely understood by parents, teachers, and students; (3) penalties that are imposed fairly and equitably and are commensurate with the severity of the infraction and provide alternative interventions that teach positive behaviors; (4) zero tolerance for firearms on

school grounds and at school-sponsored events; (5) reintegration of students from the juvenile justice system; (6) management information systems for reporting and analyzing violent and noncriminal incidents; and (7) policies and procedures to ensure that parents and the larger community are welcome in the schools and have opportunities for meaningful participation in planning and carrying out the school's safety policies.

Although the six elements set out are required components that should be addressed in the comprehensive plan, they are not meant to be discrete program elements, nor are activities associated with each element meant to be conducted or implemented in isolation. LEAs and their SS/HS partners should develop comprehensive plans that reflect and address the unique needs of their communities, families, and students; incorporate programs that have been shown to be effective for the populations they are serving; and demonstrate that the partnership has the capacity to successfully implement and sustain the proposed activities.

Use of Evidence-Based Activities, Curriculums, and Programs

Appendix A contains a definition of the term “evidence-based.” In selecting activities, curriculums, and programs to be included in the SS/HS comprehensive plan, applicants are strongly encouraged to use those activities, curriculums, and programs evaluated and determined to be effective. Applicants should include a rationale for the selection of programs and activities that will be implemented. This rationale should include information about the research base that supports the selected programs and activities, as well as a discussion about why the selected program or activity is appropriate for the target population and meets needs identified in the needs assessment process. Information about the research base for programs or activities may reference either specific program evaluations or accepted theory from youth development or human development research.

Local Evaluation

Applicants are to present a plan for evaluating their SS/HS comprehensive plan. At least 7 percent of the total budget should be allocated to local evaluation efforts for each of the 3 years of the grant. The purpose of the local evaluation is to provide timely information for creating strategic plans, measuring progress, and keeping the project focused on the overall objective of the SS/HS—promoting healthy childhood development and preventing violence and substance abuse. Local evaluation is also an important tool in sustaining local progress after federal funding has ended.

Evaluation Planning Considerations: Characteristics of Strong Evaluation Plans

- ◆ The design is consistent with the goals, objectives, and performance indicators of the proposed SS/HS comprehensive plan.
- ◆ The design provides needed levels of autonomy and independence to collect, analyze, and report on data.
- ◆ The design includes both process and outcome measures that:
 - Describe how the SS/HS comprehensive plan (activities, curriculums, and activities) was implemented and whether goals and objectives were met.
 - Report on the local adaptation and fidelity of implementation of selected evidence-based programs.
 - Show if and to what extent the SS/HS comprehensive plan (activities, curriculums, and programs) is producing its intended effects with the targeted population.
- ◆ The design describes how the SS/HS partners will be provided with data that can be used to make adjustments in service delivery and improve the SS/HS comprehensive plan.
- ◆ The design provides for lead evaluator and staff to serve in an advisory capacity to the local SS/HS partner and assist with planning, implementation, and sustainability activities.
- ◆ The design allows for the accurate and timely collection of Government Performance and Results Act data.

The local evaluation design should include process measures and measurable outcome (summative) indicators. Process measures describe what was done, how it was done, and to whom and for whom it was done. Measurable outcome (summative) indicators measure the effect of activities, curriculums, and programs. Goals are generally broad outcome measures (e.g., improve school safety), and objectives are usually tied to a specific activity, curriculum, or program outcome (e.g., reducing the number of truant students by 10 percent each year).

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

Government Performance and Results Act Performance Indicators

The Government Performance and Results Act (GPRA) of 1993 places new management requirements on federal agencies. These agencies should describe the goals and objectives of their programs, identify resources and actions needed to accomplish these goals and objectives, develop a means of measuring progress made, and regularly report on their achievement. To ensure compliance under GPRA, this solicitation notifies applicants that they are required to collect and report data that measure the results of the program implemented with this grant.

Award recipients will be required to collect and report information on the following GPRA indicators:

1. The percentage of SS/HS grant sites that experience a decrease in the number of violent incidents at schools during the 3-year grant period.
2. The percentage of SS/HS grant sites that experience a decrease in substance abuse during the 3-year grant period.
3. The percentage of SS/HS grant sites that improve school attendance during the 3-year grant period.
4. The percentage of SS/HS grant sites that increase mental health services to students and families during the 3-year grant period.

The SS/HS federal partners will develop guidelines for collecting this information. It is anticipated that the collection of GPRA indicators will occur annually. The collection methods will include annual surveys, archival data, and interviews with key SS/HS staff.

Other Federal Administrative Requirements

Applicants should include the appropriate documentation to provide assurance that the following federal administrative requirements will be met:

- ◆ Applicable Department of Education regulations.
- ◆ Gun-Free Schools Act.
- ◆ Promoting nonuse of tobacco.
- ◆ General Education Provisions Act (GEPA).
- ◆ Civil rights and inclusion of adequate representation of girls and women and racial/ethnic minority populations.
- ◆ Confidentiality and participant protections.
- ◆ Coordination for mental health.

See pages 23–26, Appendix B, and Appendix C for a complete discussion of these requirements and the appropriate required forms.

Applicable Regulations

The following Education Department General Administrative Regulations (EDGAR) apply to the competition described in this application package:

- ◆ 34 CFR Part 74 (Administration of Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-Profit Organizations).
- ◆ 34 CFR Part 75 (Direct Grant Programs).
- ◆ 34 CFR Part 77 (Definitions That Apply to Department Regulations).
- ◆ 34 CFR Part 79 (Intergovernmental Review of Department of Education Programs and Activities).
- ◆ 34 CFR Part 80 (Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments).
- ◆ 34 CFR Part 81 (General Education Provisions Act-Enforcement).
- ◆ 34 CFR Part 82 (New Restrictions on Lobbying).
- ◆ 34 CFR Part 84 (Governmentwide Requirements for Drug-Free Workplace (Financial Assistance)).
- ◆ 34 CFR Part 85 (Governmentwide Debarment and Suspension (Nonprocurement)).
- ◆ 34 CFR Part 97 (Protection of Human Subjects).
- ◆ 34 CFR Part 98 (Student Rights in Research, Experimental Programs, and Testing).
- ◆ 34 CFR Part 99 (Family Educational Rights and Privacy).
- ◆ 34 CFR 299 (General Provisions).

Selection Criteria

Respond to the following selection criteria in the narrative portion of your SS/HS application. This narrative portion will serve as your SS/HS comprehensive plan. The narrative portion is limited to 40 double-spaced pages and must adhere to the format requirements on page 22.

Community Assessment (15 points)

- (a) The extent to which specific gaps or weaknesses in services, infrastructure, opportunities, and/or resources have been identified and will be addressed by the proposed project and the nature and magnitude of those gaps and weaknesses are based on quantitative and qualitative data for the district, students, families, and the community. An example of the kinds of problems that might be identified and addressed would be a high number of truant students, in relation to comparable jurisdictions, and a lack of truancy officers and programs. (5 points)
- (b) The extent to which existing services, infrastructure, opportunities, and resources are described and integrated with the proposed project. An example citing existing services would be the number of afterschool programs available to students that would be improved by adding supplemental services and staff through the proposed project. (3 points)
- (c) The extent to which the applicant will serve the entire school district or the extent to which sufficient rationale is provided for selecting particular schools and/or areas and why a districtwide approach is not feasible or appropriate. (4 points)
- (d) The extent to which the target population is clearly identified and defined in terms of the number of students/families/staff to be served. (3 points)

Goals, Objectives, and Performance Indicators (10 points)

- (a) The extent to which the goals, objectives, and performance indicators for the project are related to data provided in the “Community Assessment” section. (4 points)
- (b) The extent to which the applicant includes at least one measurable and attainable performance indicator for each of the six elements in the priority and at least one performance indicator for the SS/HS partnership, for a total of at least seven performance indicators. (2 points)
- (c) The extent to which the goals, objectives, and performance indicators are reflected in proposed programs, curriculums, and other activities. (4 points)

Project Design (25 points)

- (a) The extent to which the project design builds upon community assessment data and/or identified gaps or weakness in existing services, infrastructure, opportunities, and resources. (5 points)
- (b) The extent to which the applicant can demonstrate that programs, training, curriculums, and other activities selected for the project reflect current research and use evidence-based and effective practices and that they are responsive to the targeted population to be served, including meeting cultural and linguistic needs. (8 points)
- (c) The extent to which the proposed short- and long-term strategies will promote healthy child development and school environments that are safe, disciplined, and drugfree. (4 points)
- (d) The extent to which the project design addresses the six elements, integrating existing and new services into a comprehensive approach to violence prevention and healthy childhood development. (8 points)

Partnership and Community Readiness (25 points)

- (a) The extent to which the applicant has demonstrated the existence of an active school-community partnership prior to planning and submitting its SS/HS application. An example of how to demonstrate the existing partnership would be to include a description of the history of the partnership, including the circumstances around its creation and accomplishments to date. (5 points)
- (b) The extent to which the applicant will engage multiple and diverse sectors of the community in its strategic planning process. Examples of possible community participants include but are not limited to nonprofit community groups, faith-based organizations, private schools, teachers, youth, parents, and supervisory and line staff of social agencies. (5 points)
- (c) The extent to which the proposed short- and long-term strategies allow for systematic development of infrastructure that builds organizational, community, and individual capacity to sustain outcomes beyond the life of the grant. (3 points)
- (d) The extent to which the applicant's memorandum of agreement for SS/HS partners includes: a mission statement for the SS/HS partnership; a delineation of the roles and responsibilities of each partner; a process for communicating and sharing resources; and other pertinent information to evaluate the partnership's likelihood of successfully implementing the project. (6 points)

(NOTE: In responding to this criterion, the applicant should demonstrate that the partnership has been in existence for at least 6 months prior to the submission of the application. See page 8, "Evidence of Preexisting School-Community Partnership.")

- (e) The extent to which the applicant's memorandum of agreement for mental health services demonstrates the willingness of the public mental health authority to provide administrative oversight of mental health services. This agreement describes a process for securing mental

health providers and procedures to be used for referral, treatment, and followup for children and adolescents with serious mental health problems. This agreement provides evidence that there will be integration, coordination, and resource sharing with mental health and social service providers by schools and other community-based programs. (6 points)

(NOTE: In responding to this criterion, the applicant should note that agreements must be dated no earlier than 6 months prior to the SS/HS application deadline. See page 6, “Memorandums of Agreement.”)

Evaluation (10 points)

- (a) The extent to which the applicant describes an appropriate evaluation design—using both quantitative and qualitative methods, including:
 - (1) What types of data will be collected.
 - (2) When various types of data will be collected.
 - (3) What evaluation methods will be used and why.
 - (4) What instruments will be developed and when.
 - (5) How the data will be analyzed.
 - (6) When reports of results and outcomes will be available.
 - (7) How data and other information will be used for strategic planning, measuring progress, making programmatic adjustments, and keeping the proposed strategy focused on its overall objective of promoting healthy childhood development and preventing violence and alcohol and other drug abuse.
 - (8) How the applicant will use the information collected through the evaluation to support SS/HS GPRA indicators. (6 points)
- (b) The extent to which the applicant includes baseline data and a source of data for the periodic measuring of progress of project-specific performance indicators and for required GPRA performance indicators. (3 points)
- (c) The extent to which the individual or organization that has been selected or will be sought to serve as the local evaluator has adequate qualifications and experience to conduct the local evaluation. (1 point)

Program Management (10 points)

- (a) The extent to which the roles and responsibilities of key staff, including the full-time project director, and partners are defined. (3 points)
- (b) The adequacy of the management plan to achieve the objectives of the proposed project on time, including clearly defined timelines with reasonable dates for implementing and accomplishing project tasks. (4 points)
- (c) The adequacy of procedures for communicating and sharing information among all partners, to ensure feedback and continuous improvements in the operation of the project. (3 points)

Budget (5 points)

- (a) The extent to which the proposed budget and narrative correspond to the project design and provide adequate documentation and justification about how funds will be used and how costs were calculated. (3 points)
- (b) The extent to which the applicant allocates an appropriate and reasonable level of resources to local project evaluation. NOTE: Consistent with funding restrictions established for the program, a minimum of 7 percent of the total budget must be designated for local evaluation activities. (1 point)
- (c) The extent to which the applicant demonstrates current fiscal control and accounting procedures to ensure prudent use, proper and timely disbursement, and accurate accounting of funds received under the grant. (1 point)

Completing Budget Forms and Preparing Budget Narrative

Applicants must submit ED Form No. 524 (ED 524) Section A—Budget Summary and detailed budgets. These documents are needed to present and justify all expenses needed to implement the proposed SS/HS comprehensive plan. All of these documents should be included as Attachment D of the application. Failure to submit an ED 524 and detailed budgets for each grant year will result in no funding for those years for which a budget was not submitted.

ED 524 Section A. This form is used to summarize the proposed project costs being requested for each of the 3 years of the SS/HS grant. The costs for each grant year should be entered into the appropriate budget category (i.e., personnel, fringe benefits, travel, etc.). Applicants should complete the form with a total for each grant year. The total for each grant year should match the combined total of the two detailed budgets for each year.

Detailed Budgets. Applicants will need to submit two (2) detailed budgets for each year of the grant. For each year, the first detailed budget should represent funds needed to support Elements 1, 2, 5, and 6. The second detailed budget should represent funds needed to support Elements 3 and 4. The detailed budgets should contain the same budget categories as are on the ED 524 and provide specific information on how costs were calculated. At a minimum, an applicant's budget must:

- ◆ Include a salary for a full-time project director.
- ◆ Include travel for at least three but no more than five individuals (including at a minimum the project director and representatives from the required SS/HS partners) to attend an annual national SS/HS conference.
- ◆ Include travel for the project director to attend two other 3-day meetings to be determined by the federal SS/HS partners. Grant funds may be used to pay all expenses associated with attending these meetings.
- ◆ Allocate at least 7 percent of the total of each grant year for local evaluation.
- ◆ Ensure that no more than 10 percent of the total of each grant year allotted for security equipment, security personnel, or minor remodeling related to security. (NOTE: See page 9 for more instructions on this cap.)

Requirement for Nonfederal Matching Funds

No matching or in-kind contributions are required under the SS/HS grant program. Applicants who propose to address part (or parts) of their SS/HS comprehensive plan with matching or in-kind contributions must complete a second ED 524 form Section B—Budget Summary Nonfederal Funds.

Determining Your Urbanicity

The definitions of rural, suburban, and urban are based on school locale codes used by the National Center for Education Statistics (NCES) Common Core of Data (CCD). These data are collected annually from the State Educational Agencies. (For more information about the CCD, its purpose, data collection procedures, and potential uses for the data, visit the CCD Web site at <http://nces.ed.gov/ccd>.)

To determine your urbanicity for the SS/HS application, you must find your district locale code on the National Public School and School District Locator. The Locator is available online at <http://nces.ed.gov/ccd/districtsearch>. NOTE: Bureau of Indian Affairs (BIA) schools should not use the locator. The maximum award for BIA schools is \$1 million per year.

For purposes of this Initiative, urban LEAs are those with a locale code of Large Central City (1) or Midsize Central City (2); suburban LEAs are Urban Fringe of Large City (3) or Urban Fringe of Midsize City (4); and rural LEAs are those with a locale code of Large Town (5), Small Town (6), Rural Outside MSA (7), or Rural Inside MSA (8). More information about the definitions of these locale codes can be found online in the CCD School and District Glossary at <http://nces.ed.gov/ccd/commonfiles/glossary.asp>.

Tips for Using the NCES School District Locator

1. Go to the online NCES Locator at <http://nces.ed.gov/ccd/districtsearch>.
2. Type in the city and State of the school district that will serve as the fiscal agent and primary applicant for the SS/HS grant application and click on the “Search” button. This will bring up a list of possible school districts found in that city and State.
3. Click on the correct district link. This will bring up information about the district, including the district name, address, number of students served, type of district, and district locale and code.
4. Print this page for inclusion in the SS/HS application.
5. Determine your urbanicity according to the definitions above.
6. Write/type the urbanicity (e.g., “Rural”) in Section 13 of the ED Form 424, Application for Federal Education Assistance (or application coverage).

The maximum amount of funds that an applicant is eligible to receive is based on the applicant’s urbanicity. Rural districts, including BIA school districts, may receive grants of up to \$1 million per year. Suburban districts may receive grants of up to \$2 million per year. Urban districts may receive grants of up to \$3 million per year. For those LEAs applying as a consortium, one LEA must be designated as the lead and the applicant for the grant (on behalf of the consortium). The funding request is based on the lead LEA’s (the applicant’s) urbanicity. Applicants should ensure that their budget requests do not exceed the caps. Applications that exceed the maximum for their designated urbanicity will not be read, and thus grants will not be awarded for amounts that exceed these established caps.

Format Requirements

There is a 40-page limit placed on the program narrative section of the SS/HS application. The program narrative is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. This narrative is also considered to be your SS/HS comprehensive plan.

The 40 pages must use the following standards:

- ◆ A “page” is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.
- ◆ All text in the application must be double space (no more than three lines per vertical inch). Titles, headings, footnotes, quotations, references, and captions, as well as all text in charts, tables, figures, and graphs, can be single space.
- ◆ Text must be presented in a **12-point Courier New font**.
- ◆ All pages must be consecutively numbered using the style 1 of 40, 2 of 40, etc.

The page limit does not apply to the Title Page (ED Form 424), Table of Contents, Project Abstract, Budget Form 524, detailed budgets, or the required attachments as stated on pages 23–26.

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

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

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

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

What Constitutes a Complete Application

A complete SS/HS application contains the following documents, in this order:

- (1) **Title Page.** Use ED 424 “Application for Federal Education Assistance” Form.
- (2) **Table of Contents.** The table of contents should identify the page number for each of the major sections of the program narrative portion of the application, in addition to each appendix.
- (3) **Abstract.** A sample abstract can be found at <http://www.sshs.samhsa.gov>.
- (4) **Program Narrative.** The program narrative contains responses to the selection criteria and represents the applicant’s SS/HS comprehensive plan. It should provide details of the integrated, comprehensive, communitywide strategy developed by the LEA and its partnering agencies. It should be written in a manner that is self-explanatory to reviewers unfamiliar with the applicant. It should be succinct and well organized, using the same section headings as are in the criteria portion of this application. *Please follow the format headings and sequencing listed in the selection criteria. Applicants should carefully review this section for a discussion of the selection criteria and required information. This section must be limited to the equivalent of no more than 40 pages and adhere to the standards on page 22.*
- (5) **Attachments.** (NOTE: The appendices do not count toward the total page limitations that apply to the program narrative.) The attachments may include *only* the items specified in these instructions. Attachments *may not* be used to extend or replace any of the required sections of the application’s program narrative portion. Peer reviewers will not be required to read additional attachments included by the applicant. Attachments should be clearly labeled and all pages should be numbered continuing in sequence from the last page of the program narrative. The following attachments must be included:

Attachment A: Memorandum of Agreement for the SS/HS Partners. Agreement between LEA, Mental Health, Law Enforcement, and Juvenile Justice (see page 6 for additional information). A sample memorandum of agreement can be found at <http://www.sshs.samhsa.gov>.

Attachment B: Memorandum of Mental Health Services. Agreement between LEA and Mental Health (see page 6 for additional information). A sample memorandum of agreement can be found at <http://www.sshs.samhsa.gov>.

Attachment C: Organizational Structure/Timeline/Staffing Patterns.

Attachment D: ED 524 Form and Detailed Budgets. This section will NOT be counted toward the total page limitation of the program narrative portion of the application. The detailed budget translates the program narrative into dollars. Grant funds may only be used for expenses clearly related to, and necessary to carry out, the grant activities, which can be specifically

identified with the project. Funding after the first year is contingent on grantee performance, the availability of federal funds, and any additional criteria established at the time of award. (See page 20 for additional information on preparing a sound budget narrative.) Applicants are also strongly encouraged to use a computer spreadsheet program (e.g., Microsoft Excel, Lotus, etc.) to assist with budget calculation and formation of the detailed budgets. A sample budget can be found at <http://www.sshs.samhsa.gov>.

Attachment E: Include the following documentation for federal administrative requirements:

NCES locator page. See page 21.

Signed ED Form 424B. Assurances—Non-Construction Programs.

Signed ED Form 80–0013. Certifications Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirements. (NOTE: Certifications for debarment, suspension, and drug-free workplace are no longer required. The three-in-one form will be used for lobbying only until a new form is developed. Crossed-out items on this form are intentional.)

Signed ED Form 80–0014. Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion—Lower Tier Covered Transactions.

Signed Standard Form LLL. Disclosure of Lobbying Activities (pursuant to Title 31 U.S.C. Section 1352).

General Education Provisions Act (GEPA) statement. General Education Provisions Act (GEPA) section 427 affects applicants for new discretionary grant awards under this program. All applicants for new awards should include information in their applications to address this provision, summarized below, to receive funding. See Appendix C for additional information on GEPA.

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

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

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

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

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

☐ Statement Regarding Intergovernmental Review. This grant competition is subject to the requirements of Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR Part 79. The objective of the Executive Order is to foster an intergovernmental partnership and to strengthen federalism by relying on State and local processes for State and local government coordination and review of proposed federal financial assistance.

Applicants must contact the appropriate State Single Point of Contact (SSPOC) 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 SSPOC for each of those States and follow the procedure established in each State under the Executive Order. **The name and address of each SSPOC can be found in Appendix D.**

Any State process recommendation and other comments submitted by an SSPOC and any comments from State, areawide, regional, and local entities must be received **no later than 60 days** after the deadline date for the transmittal of applications at the following address: The Secretary, E.O. 12372-CFDA 84-184L, U.S. Department of Education, Room 6213, 400 Maryland Avenue SW., Washington, DC 20202-0125.

☐ Statement Regarding Civil Rights and Inclusion of Adequate Representation of Girls and Women and Racial/Ethnic Minority Populations. Applicants are urged to include all populations with cultural- and gender-specific needs, especially racial/ethnic minority groups and girls and women, in the target population if feasible and appropriate. In general, the composition of the target population should reflect the needs and demographics of the selected target community. Applicants should describe the composition of the project's target population with respect to race/ethnicity and gender and ensure that the project's design, intervention strategies, and staffing are sensitive, appropriate, and competent to address the special requirements of racial/ethnic minority groups and/or girls and women included in the target population.

All recipients of federal grant funds are required to comply with nondiscrimination requirements contained in various federal laws. All applicants should consult the assurances to understand the applicable legal and administrative requirements.

❑ Statement Regarding Confidentiality and Participant Protection. Applicants and awardees are expected to develop and implement appropriate procedures to address confidentiality and other ethical issues pertinent to the protection of participants in proposed projects. Confidentiality is particularly important in projects because of the illegality of drug use and the potential for stigmatization of participants in treatment for drug abuse, mental illness, and the like. If participants could be exposed to any risk of problems through any failure of the project to keep information about them confidential, the applicant must develop procedures to prevent these risks and describe them in the application. See Appendix C for additional information on confidentiality requirements.

❑ Statement Regarding Promoting Nonuse of Tobacco. All grant and contract recipients are strongly encouraged to provide a smoke-free workplace and to promote the nonuse of all tobacco products. In addition, the Pro-Children Act of 1994, Pub. L. No. 103–227, prohibits smoking in certain facilities (or in some cases, any portion of a facility) in which regular or routine education, library, daycare, healthcare, or early childhood development services are provided to children.

❑ Statement Regarding Coordination of Mental Health Services. Applicants that include a mental health component must ensure coordination with the Single State Agency (SSA) for Mental Health, as required under section 501(d)(13)(B) of the Public Health Service Act to help ensure communication, reduce duplication, and facilitate continuity. Applicants must send a letter to the SSA that briefly describes the project. The copy should be included in an appendix of the application, entitled Letter to SSA. The letter must notify the state that, if it wishes to comment on the proposal, its comments should be sent **no later than 60 days** after the deadline date for the transmittal of applications to:

Office of Safe and Drug-Free Schools
U.S. Department of Education
400 Maryland Avenue SW., Room 3E316
Washington, DC 20202–6450
Attention: Safe Schools/Healthy Students

Instructions for Submitting (by Mail and Hand Delivering)

Applications must be submitted by mail or hand delivery. All applications must be postmarked by April 29, 2005. All applicants are required to submit one original (signed in blue ink) and two unbound copies. To assist our review of your application, we would appreciate your voluntarily including three additional copies of your application. You must mail or hand deliver the original and copies of the application on or before the deadline date to the Department of Education at the applicable following address:

By mail through the U.S. Postal Service:

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

By mail through a commercial carrier:

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

By hand delivery:

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

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

Note for Mail or Hand Delivery of Paper Applications: If you mail or hand deliver your application to the Department, you must indicate on the envelope the CFDA number for this application – 84.184L.

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

- ◆ A legibly dated U.S. Postal Service postmark.
- ◆ A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.

- ◆ A dated shipping label, invoice, or receipt from a commercial carrier.

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

- ◆ A private metered postmark.
- ◆ A mail receipt that is not dated by the U.S. Postal Service.

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

You should note that the U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, check with your local post office.

We strongly recommend that you use a trackable shipping method (e.g., UPS, Federal Express). This will allow you to confirm the delivery of your application and will provide you with documentation if there is any dispute about the timeliness of your submission.

Acknowledgment of Receipt

The Application Control Center will mail a grant application receipt acknowledgment to you for mailed and hand-delivered applications. If you do not receive the grant application receipt acknowledgement within 15 business days from the application deadline date, you should call the U.S. Department of Education Application Control Center at 202–245–6288.

Peer Review Process

All applications will be screened initially to determine that all eligibility requirements are met. Applications that meet all eligibility requirements will be assigned to a three-person panel of peer reviewers who will evaluate and score your proposal according to the selection criteria. Your application will receive a score from 0 to 100 depending on how well you respond to the requirements of the selection criteria.

Available Technical Assistance

- ◆ For additional information about the SS/HS Initiative or this application, contact Karen Dorsey at 202–708–4674 or via e-mail at Karen.Dorsey@ed.gov.
- ◆ A series of 1-hour audio teleconferences explain the Initiative in greater detail. Visit the SS/HS Web site at <http://www.sshs.samhsa.gov> for further information. These sessions focus on eligibility requirements, grant application requirements, and the application review process.

Frequently Asked Questions

Eligibility

(1) We did not serve as the lead local educational agency for a Safe Schools/Healthy Students grant, but we did receive some services. Are we eligible to apply?

No. Local educational agencies (LEAs) that have previously received grant funds or services under the Safe Schools/Healthy Students (SS/HS) Initiative directly or as part of a consortium of LEAs may not apply for funding in 2005.

(2) Who designates that an organization is an LEA? How can we determine our status?

If you are unsure whether your organization is an LEA, contact your State Educational Agency—the agency that designates which organizational units and entities are legally LEAs. NOTE: Some charter schools do not meet State definitions to qualify as an LEA. Check with your State agency to verify your status.

(3) Are charter schools eligible to apply for SS/HS?

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

(4) How would a consortium of LEAs apply for SS/HS?

To apply as a consortium, all LEAs in the consortium must meet all of the application requirements. The consortium of LEAs then must assign one LEA as the lead and applicant for the grant. As the applicant, the LEA completes all the required forms and submits the application on behalf of the consortium.

(5) The application defines urban/suburban/rural applications based on some definitions by the Census Bureau. How can I determine in which category our district fits?

To determine its urbanicity category, a school district (with the exception of BIA applicants applying as “tribal”) must use the district locale code—from the National Center for Education Statistics (NCES) National Public School and School District Locator Web page (<http://nces.ed.gov/ccd/districtsearch>)—along with definitions established for rural, suburban, and urban in the SS/HS application (see Appendix A for definitions).

(6) What should I do if I cannot find my school district in the NCES locator?

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

(7) What should I do if our LEA disagrees with the NCES locator's designation of our district's urbanicity?

Information for the NCES locator's Common Core of Data (CCD) is collected annually from State Educational Agencies. If you think the data about your school or district is incorrect, contact your State's CCD coordinator. Contact information for State CCD coordinators is available on the NCES Web site at <http://nces.ed.gov/ccd/contact.asp>. However, note that funding eligibility for nontribal school districts will be based on the locator's designation of the district locale code; there are no exceptions to this.

(8) We are part of a consortium of school districts applying for SS/HS. How is our urbanicity determined?

The school district that has been designated as the lead and thus the applicant uses its locale code to determine the urbanicity of the entire consortium.

(9) What is the maximum amount of funding that can be awarded to an applicant?

The maximum funding that can be awarded in a 3-year-grant to a **rural** or **BIA** site is \$1 million per year—the total will not exceed \$3 million over the life of the grant. The maximum funding for a **suburban** site is \$2 million per year—the total will not exceed \$6 million over the life of the grant. The maximum funding for an **urban** site is \$3 million per year—the total will not exceed \$9 million over the life of the grant.

(10) What happens if we request more funding than we are eligible for?

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

Memorandums of Agreement

(11) How do I identify the local public mental health authority? What if we don't have one?

Contact your Single State Agency (SSA) for Mental Health (see list in Appendix E). The local public mental health authority is the legally constituted entity closest to the community level

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

(12) What is the difference between the first and second Memorandums of Agreement?

The first agreement (the Memorandum of Agreement for all SS/HS partners) should include information about what the efforts of each partner will be and how those efforts will support the overarching goals, objectives, and mission of the SS/HS partnership and comprehensive plan.

The second agreement (the Memorandum of Agreement for Mental Health Services) documents that the local public mental health authority is agreeing to provide administrative control and/or oversight of the delivery of mental health services. The second agreement should also state the procedures to be used for referral, treatment, and followup for children and adolescents with serious mental health problems.

More information about the SS/HS Memorandums of Agreement can be found on pages 6–7 of this application.

(13) Several school districts are applying as a consortium. Who must sign the Memorandums of Agreement?

The Memorandum of Agreement for the SS/HS Partners must be signed by the superintendent of each school district in the consortium and the authorized representatives of the local law enforcement agency, public mental health authority, and juvenile justice entity for each school district. If one of the required partners (law enforcement, public mental health, or juvenile justice) has jurisdiction over one or more of the school districts in the consortium, the applicant should clearly state which agency (or agencies) has/have jurisdiction over which school district.

The Memorandum of Agreement for Mental Health Services must be signed by the superintendent of each school district in the consortium and the authorized representative of the local public mental health authority that provides administrative oversight of mental health services for each school district. If more than one local public mental health authority has oversight responsibilities within the boundaries of the school district(s), each must sign this agreement.

(14) How do I know who should serve as our law enforcement partner?

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

If you are applying as a consortium of LEAs with one lead LEA, you must designate a law enforcement partner or partners for each of the partnering school districts. If a law enforcement

agency has jurisdiction over more than one LEA in the consortium, you should clearly indicate which agencies have jurisdiction over which LEA. NOTE: LEAs or a consortium of LEAs can be served by one law enforcement partner or more than one law enforcement partner.

(15) Can our school district police force serve as the law enforcement partner?

A school district's police force may serve as the law enforcement partner, provided that it has jurisdiction over the LEA and its schools.

(16) How do I know who should serve as our juvenile justice partner?

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

Evidence of Preexisting School-Community Partnership

(17) How can we demonstrate a preexisting school-community partnership in our application?

Examples of evidence of a preexisting partnership include, but are not limited to, the partnership's history (including the circumstances of its creation), mission and vision, and accomplishments. Discuss this evidence in the narrative section of the application.

Creating the Comprehensive Plan and Addressing the Six SS/HS Elements

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

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

(19) Is the SS/HS comprehensive plan an additional document that applicants must submit?

No. The SS/HS comprehensive plan is not a separate document; it is the narrative portion of the SS/HS application package. Your response to the selection criteria, in its entirety, will represent your SS/HS comprehensive plan. The selection criteria are written in a manner that will guide

LEAs and their SS/HS partners' process in (a) defining needs, problems, issues, and conditions; (b) articulating goals and objectives; (c) demonstrating the strength and capacity of the school district and law enforcement, mental health, juvenile justice, and other entities in the SS/HS partnership; (d) finding best practices and evidence-based programs and curriculums that closely match your needs and available resources as well as suit your target population; (e) evaluating and improving activities; and (f) organizing steps to implement grant activities and planning for sustaining successful components.

(20) What kinds of data might I consider using in the community assessment section?

Examples of data you might use to demonstrate the severity of the problem(s) to be addressed by the proposed strategy include (a) students engaged in alcohol and drug use and violent behavior; (b) incidence and prevalence of alcohol and drug use by youth; (c) prevalence of weapons in schools; (d) incidents of serious and violent crime in schools; (e) truancy and other unauthorized absences; (f) suicidal behaviors; (g) student suspensions and expulsions; (h) students on probation; (i) students in juvenile justice placements; (j) students in foster care and child protective services; (k) students with emotional and behavioral disorders; (l) children abused and/or neglected; (m) school attendance and academic performance; (n) socioeconomic conditions; (o) population turnover; (p) racial and ethnic heterogeneity; (q) housing density; (r) household composition; (s) crime and delinquency rates, including domestic violence and rape; and (t) unemployment rates.

Examples of data to demonstrate existing resources include (a) number of afterschool programs; (b) number of youth served by programs to build social skills; (c) number and quality of community mental health and social services organizations available to provide services to children, adolescents, and families; (d) number of youth participating in academic service programs; (e) number and types of law enforcement prevention programs; (f) number and quality of substance abuse prevention and treatment programs; (g) number and quality of violence prevention programs; and (h) presence of community coalitions that address drug and violence prevention.

(21) How should my application address sustainability in the narrative section?

Your application should address the concept of sustaining systemic changes, not a “program.” Critical areas to address include: a framework to mobilize political, school, family, and community resources; funding options; and creative community activities. For example, you might provide a plan for how, by the end of year 1 of the grant period, the partnership will have begun a campaign to obtain corporate sponsorship for aspects of the service programs.

(22) What are some examples of allowable activities to address sustainability?

Examples of activities to address sustainability include partnership-building activities, communications and media activities, and technical assistance.

(23) How should my application address management?

The application should include a clear management plan for the comprehensive plan. The management plan should address how the partnership will make decisions, operate, communicate, share information and resources, overcome barriers, increase levels and intensity of collaboration, and plan for mutual sustainability of the comprehensive plan. Partnership activities and meetings may be supported with grant funds.

Use Of Evidence-Based Activities, Curriculums, and Programs

(24) How can I get more information on “evidence based” activities, curriculums, and programs?

Starting points for you might be the following Web sites:

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

http://www.dsgonline.com/mpg_non_flash/mpg_index2.htm

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

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

<http://www.ed.gov/offices/OESE/SDFS/programs.html>

Local Evaluation

(25) Are we required to select a local evaluator before applying?

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

GPRA Performance Indicators

(26) Do we have to collect GPRA performance indicators, even though we are conducting a comprehensive local evaluation?

Yes. The Government Performance and Results Act (GPRA) of 1993 (Public Law 103–62) requires all federal departments and agencies to develop strategic plans that specify what they will accomplish over a 3-year period, to annually set performance targets related to their strategic plan, and to annually report the degree to which the targets set in the previous year were met. In addition, agencies must regularly evaluate their programs and use the results of the evaluations to “explain their successes and failures based on the performance monitoring data.” Refer to page 13 for additional information.

Budget

(27) Why are two separate budgets required?

The U.S. Departments of Education, Health and Human Services, and Justice jointly support SS/HS. The Department of Education has statutory language that prohibits use of funds for certain activities. To ensure that the use of Department of Education funds is in compliance with the statute, applicants are asked to develop two separate budgets for each year of grant funding requested. The first budget represents costs needed to support Elements 1, 2, 5, and 6—the costs that the Department of Education can support. The second budget supports Elements 3 and 4—the costs that the Department of Education generally cannot support and are thus supported by either the Department of Health and Human Services or the Department of Justice.

(28) The grant will provide funds for up to 3 years. Do I need to submit budgets for each project year?

Yes. A set of two budgets is required for each proposed project year. Use the ED form 524 to submit the 3-year project budget with your application. Include detailed budgets for all 3 years. Failure to submit two budgets and detailed budgets for each project year will result in no funding for those years omitted.

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

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

(30) Is there a matching or in-kind requirement?

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

(31) May I use grant funds to purchase guns, vehicles, and other equipment for School Resource Officers?

No. Grant funds may not be used to provide equipment for law enforcement officers.

(32) May I use grant funds for construction, remodeling, and/or renovations?

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

(33) May I use grant funds to support professional development activities?

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

Other Federal Administrative Requirements

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

No. Part of the uniqueness of the SS/HS Initiative is that applicants submit one application for funds, regardless of the type of activities being planned.

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

No. Position descriptions, vitas, and timelines can be included in attachment C of your application. Reviewers will be permitted to read and evaluate these materials. Reviewers will not read or evaluate any additional attachment(s) other than those specified on pages 23–26, included by the applicant.

General Information

(36) How can I find more information on current grantees?

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

(37) What is the CFDA number for SS/HS applications?

The CFDA number is 84.184L.

(38) How can I get assistance with completing the standard federal application forms?

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

(39) What should I do if I cannot get all required signatures on the partnership agreements or federal application forms? Can I send or fax them in later?

A complete application must be postmarked by the deadline for the application, April 29, 2005. Late additions or appendices will not be accepted. Applications missing the required partnership agreements or missing signatures from partnership agreements will not be reviewed.

(40) The solicitation states that both Memorandums of Agreement must be signed by the superintendent, yet the ED cover sheet (ED 424) can be signed by the “authorized representative.” Who should sign the cover sheet?

The superintendent should sign both memorandums and the ED 424 (the cover sheet).

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

The Education Department General Administrative Regulations (EDGAR) (Section 80.36) authorizes grantees to use their own procurement procedures, which reflect applicable State and local laws and regulations, provided the procurements conform to applicable federal laws and standards contained in Section 80.36. EDGAR is available online at:

<http://www.ed.gov/policy/fund/reg/edgarReg/edlite-table.html>.

(42) How does the Freedom of Information Act affect my application?

The Freedom of Information Act (FOIA) was enacted in 1966 and provides that any person has the right to request access to federal agency records or information. All agencies of the U.S. Government are required to disclose records upon receiving a written request for them, except for those records that are protected from disclosure by the nine exemptions listed in the FOIA. All applications submitted for funding consideration under this grant competition are subject to the FOIA. To read the text of the Freedom of Information Act, visit www.usdoj.gov/04foia/foiastat.htm.

Appendix A: Definitions and Other Terms

Definitions

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

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

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

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

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

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

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

Local juvenile justice partner: For the purpose of this competition, the definition of “local juvenile justice partner” is an agency or entity that is officially recognized by State or local government to address juvenile justice system issues in the communities to be served by the grant. Examples of juvenile justice agencies include, but are not limited to, the following: local juvenile justice task forces, juvenile justice centers, juvenile or family courts, juvenile probation agencies, and juvenile corrections agencies.

Local law enforcement partner: For the purpose of this competition, the definition of “local law enforcement partner” is the agency (or agencies) that has (have) law enforcement authority for the LEA. Examples of local law enforcement agencies include municipal, county, and State police; tribal police and councils; and sheriffs’ departments.

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

Rural districts: School districts with a designated locale code of Large Town (5), Small Town (6), Rural—Outside MSA (7), or Rural—Inside MSA (8) using the National Center for Education Statistics’ National Public School and School District Locator (available online at <http://nces.ed.gov/ccd/districtsearch/>).

Suburban districts: LEAs with a designated locale code of Urban Fringe of Large City (3) or Urban Fringe of Midsize City (4) using the National Center for Education Statistics’ National Public School and School District Locator (available online at <http://nces.ed.gov/ccd/districtsearch/>).

Urban districts: LEAs with a designated locale code of Large Central City (1) or Midsize Central City (2) using the National Center for Education Statistics’ National Public School and School District Locator (available online at <http://nces.ed.gov/ccd/districtsearch/>).

Other Terms

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

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

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

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

Information on evidence-based programs, including programs for which there is evidence of negative or harmful effects, can be found on the following Web sites:

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

http://www.dsgonline.com/mpg_non_flash/mpg_index2.htm

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

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

<http://www.ed.gov/offices/OESE/SDFS/programs.html>

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

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

Objectives: Specific statements describing what will be accomplished, by when, for whom, and how success will be measured. Objectives should be derived from program goals. An example of a possible program objective for an SS/HS grant might include increasing levels of perception of health risk related to drug use among 9th to 12th graders by 10 percent by the end of the school year. A drug prevention program may expect to change student perception of health risk (objective) in order to ultimately reduce student drug use (goal).

Performance Indicators/Measures: Ways to objectively determine the degree of success a program or strategy has had in achieving its stated objectives, goals, and planned activities. Performance indicators should be specific and measurable, and should be derived from program goals and objectives. For example, knowledge of attitude change, numbers of fights at school, or number of clients served may all be performance measures.

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

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

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

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

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

Social marketing: The social marketing concept differs from conventional "marketing" techniques. In social marketing, the objectives of the marketer are not focused on a product, but

seek to use the core principles of marketing to influence social behaviors rather than to benefit the marketer. The beneficiaries of social marketing should be the “target audience” and the community served by the grant, and social marketing activities should ultimately enhance the health and well-being of the community.

Appendix B: General Application Forms

ED forms are available in PDF fillable format at <http://www.ed.gov/fund/grant/apply/appforms/appforms.html>.

ED 424

Application for Federal Education Assistance (ED 424)



U.S. Department of Education

Form Approved
OMB No. 1890-0017
Exp. OMB Approved

Applicant Information

1. Name and Address

Legal Name: _____

Address: _____

Organizational Unit

City _____

State _____

County _____

ZIP Code + 4 _____

2. Applicant's D-U-N-S Number | | | | | | | | | | | | | | | | | | | | | |

3. Applicant's T-I-N | | | | | | | | | | | | | | | | | | | | | |

4. Catalog of Federal Domestic Assistance #: 84. | | | | | | | | | |

Title: _____

5. Project Director: _____

Address: _____

City _____ State _____ Zip code + 4 _____

Tel. #: () _____ Fax #: () _____

E-Mail Address: _____

Application Information

10. Type of Submission:

-PreApplication *-Application*
 Construction Construction
 Non-Construction Non-Construction

11. Is application subject to review by Executive Order 12372 process?

Yes (Date made available to the Executive Order 12372 process for review): ____/____/____
 No (If "No," check appropriate box below.)
 Program is not covered by E.O. 12372.
 Program has not been selected by State for review.

12. Proposed Project Dates: ____/____/____

Start Date: End Date:

Estimated Funding

15a. Federal \$ _____ .00
 b. Applicant \$ _____ .00
 c. State \$ _____ .00
 d. Local \$ _____ .00
 e. Other \$ _____ .00
 f. Program Income \$ _____ .00
 g. TOTAL \$ _____ .00

Authorized Representative Information

16. To the best of my knowledge and belief, all data in this preapplication/application are true and correct. The document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached assurances if the assistance is awarded.

a. Authorized Representative (Please type or print name clearly.) _____

b. Title: _____

c. Tel. #: () _____ Fax #: () _____

d. E-Mail Address: _____

e. Signature of Authorized Representative _____

Date: ____/____/____

Instructions for Form ED 424

1. **Legal Name and Address.** Enter the legal name of applicant and the name of the primary organizational unit which will undertake the assistance activity.
 2. **D-U-N-S Number.** Enter the applicant's D-U-N-S Number. If your organization does not have a D-U-N-S Number, you can obtain the number by calling 1-800-333-0505 or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL: <http://www.dnb.com>.
 3. **Tax Identification Number.** Enter the taxpayer's identification number as assigned by the Internal Revenue Service.
 4. **Catalog of Federal Domestic Assistance (CFDA) Number.** Enter the CFDA number and title of the program under which assistance is requested. The CFDA number can be found in the federal register notice and the application package.
 5. **Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.
 6. **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 Form ED 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.
 7. **Federal Debt Delinquency.** Check "Yes" if the applicant's organization is delinquent on any Federal debt. (This question refers to the applicant's organization and not to the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.) Otherwise, check "No."
 8. **Type of Applicant.** Enter the appropriate letter in the box provided.
 9. **State Application Identifier.** State use only (if applicable).
 10. **Type of Submission.** See "Definitions for Form ED 424" attached.
 11. **Executive Order 12372.** See "Definitions for Form ED 424" attached. Check "Yes" if the application is subject to review by E.O. 12372. Also, please enter the month, day, and four (4) digit year (mm/dd/yyyy). Otherwise, check "No."
 12. **Proposed Project Dates.** Please enter the month, day, and four (4) digit year (mm/dd/yyyy).
 13. **Human Subjects Research.** (See I.A. "Definitions" in attached page entitled "Definitions for Form ED 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 12 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 Form ED 424.")
- 13a. **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 Form ED 424." Insert this narrative immediately following the ED 424 face page.
 - 13a. **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 I.B. "Nonexempt Research Narrative" in the page entitled "Definitions for Form ED 424." Insert this narrative immediately following the ED 424 face page.
 - 13a. **Human Subjects Assurance Number.** If the applicant has an approved Federal Wide (FWA) or Multiple Project Assurance (MPA) 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 face page, 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.
14. **Project Title.** Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.

15. Estimated Funding. 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. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.

16. Certification. To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. Be sure to enter the telephone and fax number and e-mail address of the authorized representative. Also, in item 15e, please enter the month, day, and four (4) digit year (mm/dd/yyyy) in the date signed field.

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 1875-0106. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4700. **If you have comments or concerns regarding the status of your individual submission of this form write directly to:** Joyce I. Mays, Application Control Center, U.S. Department of Education, Potomac Center Plaza, 550 12th Street SW, Room 7076, Washington, DC 20202-4260.

Definitions for Form ED 424

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.

Type of Submission. "Construction" includes construction of new buildings and acquisition, expansion, remodeling, and alteration of existing buildings, and initial equipment of any such buildings, or any combination of such activities (including architects' fees and the cost of acquisition of land). "Construction" also includes remodeling to meet standards, remodeling designed to conserve energy, renovation or remodeling to accommodate new technologies, and the purchase of existing historic buildings for conversion to public libraries. For the purposes of this paragraph, the term "equipment" includes machinery, utilities, and built-in equipment and any necessary enclosures or structures to house them; and such term includes all other items necessary for the functioning of a particular facility as a facility for the provision of library services.

Executive Order 12372. The purpose of Executive Order 12372 is to foster an intergovernmental partnership and strengthen federalism by relying on State and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The application notice, as published in the Federal Register, informs the applicant as to whether the program is subject to the requirements of E.O. 12372. In addition, the application package contains information on the State Single Point of Contact. An applicant is still eligible to apply for a grant or grants even if its respective State, Territory, Commonwealth, etc. does not have a State Single Point of Contact. For additional information on E.O. 12372 go to http://12.46.245.173/pls/portal30/catalog.REQ_FOR_12372.show

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 re-

search 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 which 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 chil-*

dren, 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 13 on the ED 424, the applicant must provide a human subjects “exempt research” or “nonexempt research” narrative and insert it immediately following the ED 424 face page.

A. Exempt Research Narrative.

If you marked “Yes” for item 13 a. and designated exemption number(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 13 a. you must provide the “nonexempt research” narrative. The narrative must address the follow-

ing 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 at <http://www.ed.gov/about/offices/list/ocfo/humansub.html>

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 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 (0348-0040), 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.

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

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

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§ 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §§874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clear Air Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, Audits of States, Local Governments, and Non-Profit Organizations.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
APPLICANT ORGANIZATION	DATE SUBMITTED

Standard Form 424B (Rev. 7-97) Back

	U.S. DEPARTMENT OF EDUCATION BUDGET INFORMATION NON-CONSTRUCTION PROGRAMS	OMB Control Number: 1890-0004 Expiration Date: 10-31-2007	SECTION A - BUDGET SUMMARY U.S. DEPARTMENT OF EDUCATION FUNDS			
Name of Institution/Organization	Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.					
Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)						
10. Indirect Costs*						
11. Training Stipends						
12. Total Costs (lines 9-11)						
<p>*Indirect Cost Information (To Be Completed by Your Business Office):</p> <p>If you are requesting reimbursement for indirect costs on line 10, please answer the following questions:</p> <p>(1) Do you have an Indirect Cost Rate Agreement approved by the Federal government? Yes ___ No ___</p> <p>(2) If yes, please provide the following information: Period Covered by the Indirect Cost Rate Agreement: From: ___/___/___ To: ___/___/___ (mm/dd/yyyy) Approving Federal agency: ___ ED ___ Other (please specify): _____</p> <p>(3) For Restricted Rate Programs (check one) -- Are you using a restricted indirect cost rate that: ___ Is included in your approved Indirect Cost Rate Agreement? or ___ Complies with 34 CFR 76.564(c)(2)?</p>						

Name of Institution/Organization		Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.				
SECTION B - BUDGET SUMMARY NON-FEDERAL FUNDS						
Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (Lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (Lines 9-11)						

SECTION C - BUDGET NARRATIVE (see instructions)

Instructions for ED 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.

CERTIFICATION REGARDING LOBBYING

Applicants must review the requirements for certification regarding lobbying included in the regulations cited below before completing this form. Applicants must sign this form to comply with the certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying." This certification is a material representation of fact upon which the Department of Education relies when it makes a grant or enters into a cooperative agreement.

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a Federal contract, grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

- (a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person 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 the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;
- (b) If any funds other than Federal appropriated funds have been paid or will be paid to any person 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 this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;
- (c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants and contracts under grants and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certification.

NAME OF APPLICANT	PR/AWARD NUMBER AND / OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

**Certification Regarding Debarment, Suspension, Ineligibility and
Voluntary Exclusion – Lower Tier Covered Transactions**

This certification is required by the Department of Education regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, for all lower tier transactions meeting the threshold and tier requirements stated at Section 85.110.

Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion-Lower Tier Covered Transactions," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may but is not required to, check the Nonprocurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

Certification

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

NAME OF APPLICANT	PR/AWARD NUMBER AND/OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

Disclosure of Lobbying Activities

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See reverse for public burden disclosure)

<p>1. Type of Federal Action: _____ a. contract _____ b. grant _____ c. cooperative agreement _____ d. loan _____ e. loan guarantee _____ f. loan insurance</p>	<p>2. Status of Federal Action: _____ a. bid/offer/application _____ b. initial award _____ c. post-award</p>	<p>3. Report Type: _____ a. initial filing _____ b. material change</p> <p>For material change only: Year _____ quarter _____ Date of last report _____</p>
<p>4. Name and Address of Reporting Entity: _____ Prime _____ Subawardee _____ Tier _____, if Known:</p> <p>Congressional District, if known:</p>	<p>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</p> <p>Congressional District, if known:</p>	
<p>6. Federal Department/Agency:</p>	<p>7. Federal Program Name/Description:</p> <p>CFDA Number, if applicable: _____</p>	
<p>8. Federal Action Number, if known:</p>	<p>9. Award Amount, if known:</p> <p>\$ _____</p>	
<p>10. a. Name and Address of Lobbying Registrant (if individual, last name, first name, MI):</p>	<p>b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI):</p>	
<p>11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</p>	<p>Signature: _____ Print Name: _____ Title: _____ Telephone No.: _____ Date: _____</p>	
<p>Federal Use Only</p>	<p>Authorized for Local Reproduction Standard Form - LLL (Rev. 7-97)</p>	

INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

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

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

Appendix C: Other Federal Administrative Requirements

Additional Information on GEPA

OMB Control No. 1890-0007 (Exp. 11/30/2007)

NOTICE TO ALL APPLICANTS

The purpose of this enclosure is to inform you about a new provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants for new grant awards under Department programs. This provision is Section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Public Law (P.L.) 103-382).

To Whom Does This Provision Apply?

Section 427 of GEPA affects applicants for new grant awards under this program. **ALL APPLICANTS FOR NEW AWARDS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS NEW PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.**

(If this program is a State-formula grant program, a State needs to provide this description only for projects or activities that it carries out with funds reserved for State-level uses. In addition, local school districts or other eligible applicants that apply to the State for funding need to provide this description in their applications to the State for funding. The State would be responsible for ensuring that the school district or other local entity has submitted a sufficient section 427 statement as described below.)

What Does This Provision Require?

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 provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation in, the Federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers 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.

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 it to eliminate barriers it identifies.

What are Examples of How an Applicant Might Satisfy the Requirement of This Provision?

The following examples may 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 audio tape 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 intends 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 Burden Statement for GEPA Requirements

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 **1890-0007**. The time required to complete this information collection is estimated to average 1.5 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** Director, Grants Policy and Oversight Staff, U.S. Department of Education, 400 Maryland Avenue SW, Washington, DC 20202-4250.

Confidentiality and Participant Protection Requirements and Protection of Human Subjects Regulations

Applicants must describe procedures relating to confidentiality, participant protection, and the protection of human subjects regulations in Attachment E of the application, using the guidelines provided below. Problems with confidentiality, participant protection, and protection of human subjects identified during peer review of the application may result in the delay of funding.

Confidentiality and Participant Protection

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

1. Protect Clients and Staff From Potential Risks

(a) Identify and describe any foreseeable physical, medical, psychological, social, and legal risks or potential adverse effects as a result of the project itself or any data collection activity.

(b) Describe the procedures you will follow to minimize or protect participants against potential risks, **including risks to confidentiality**.

(c) Identify plans to provide guidance and assistance in the event of adverse effects to participants.

(d) Where appropriate, describe alternative treatments and procedures that might be beneficial to the participants. If you choose not to use these other beneficial treatments, provide the reasons for not using them.

2. Fair Selection of Participants

(a) Describe the target population(s) for the proposed project. Include age, gender, and racial/ethnic background, and note if the population includes homeless youth, foster children, children of substance abusers, pregnant women, or other targeted groups.

(b) Explain the reasons for including groups of pregnant women, children, people with mental disabilities, people in institutions, prisoners, and individuals who are likely to be particularly vulnerable to HIV/AIDS.

(c) Explain the reasons for including or excluding participants.

(d) Explain how you will recruit and select participants. Identify who will select participants.

3. Absence of Coercion

(a) Explain whether participation in the project is voluntary or mandatory. Identify possible reasons why participation is mandatory; for example, court orders requiring people to participate in a program.

(b) If you plan to compensate participants, state how participants will be awarded incentives (e.g., money, gifts, etc.).

(c) State how volunteer participants will be told that they may receive services intervention even if they do not participate in or complete the data collection component of the project.

4. Data Collection

(a) Identify from whom data will be collected (e.g., from participants themselves, family members, teachers, others). Describe the data collection procedures and specify the sources for obtaining data (e.g., school records, interviews, psychological assessments, questionnaires, observation, or other sources). Where data are to be collected through observational techniques, questionnaires, interviews, or other direct means, describe the data collection setting.

(b) Identify the type of specimens (e.g., urine, blood) that will be used, if any. State if the material will be used for evaluation only or if other use(s) will be made. Also, if needed, describe how the material will be monitored to ensure the safety of participants.

5. Privacy and Confidentiality

Explain how you will ensure privacy and confidentiality. Include who will collect data and how it will be collected. Describe:

- How you will use data collection instruments.
- Where data will be stored.
- Who will or will not have access to information.
- How the identity of participants will be kept private; for example, through the use of a coding system on data records, limiting access to records, or storing identifiers separately from data.

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

6. Adequate Consent Procedures

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

- Whether or not their participation is voluntary.
- Their right to leave the project at any time without problems.
- Possible risks from participation in the project.
- Plans to protect clients from these risks.

(b) Explain how you will obtain consent for youth, the elderly, people with limited reading skills, and people who do not use English as their first language.

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

(c) Indicate if you will obtain informed consent from participants or assent from minors along with consent from their parents or legal guardians. Describe how the consent will be documented. For example: Will you read the consent forms? Will you ask prospective participants questions to be sure they understand the forms? Will you give them copies of what they sign?

(d) Include, as appropriate, sample consent forms that provide for: (1) informed consent for participation in service intervention, (2) informed consent for participation in the data collection component of the project, and (3) informed consent for the exchange (releasing or requesting) of confidential information. The sample forms must be included in **Attachment E (Sample Consent Forms)** of your application. If needed, provide English translations.

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

(e) Indicate whether separate consents will be obtained for different stages or aspects of the project. For example, will they be needed for both participant protection in treatment intervention and for the collection and use of data?

(f) Additionally, if other consents (e.g., consents to release information to others or gather information from others) will be used in your project, provide a description of the consents. Will individuals who do not consent to having individually identifiable data collected for evaluation purposes be allowed to participate in the project?

7. Risk/Benefit Discussion

Discuss why the risks are reasonable compared with the anticipated benefits and the importance of the knowledge that may result from the project.

Protection of Human Subjects Regulations

SAMHSA expects that most grantees funded will not be required to comply with the Protection of Human Subjects Regulations (45 CFR 46). However, in some instances, special evaluation and data collection requirements for a particular funding opportunity may make it necessary for all grantees to comply with these regulations.

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

General information about Protection of Human Subjects Regulations can be obtained at <http://www.hhs.gov/ohrp>. You can also contact OHRP by e-mail (ohrp@osophs.dhhs.gov) or by phone (301-496-7005).

Appendix D: Contact Lists

State Single Points of Contact

In accordance with Executive Order #12372, this listing represents the designated State Single Points of Contact. Because participation is voluntary, some States and Territories no longer participate in the process. These include: Alabama, Alaska, Colorado, Connecticut, Hawaii, Idaho, Kansas, Louisiana, Massachusetts, Minnesota, Montana, Nebraska, New Jersey, Ohio, Oklahoma, Oregon, Pennsylvania, South Dakota, Tennessee, Vermont, Virginia, and Washington.

However, **an applicant is still eligible to apply for a grant or grants even if its respective State, Territory, or Commonwealth does not have a State Single Point of Contact.**

Contact information for Federal agencies that award grants can be found in [Appendix IV of the Catalog of Federal Domestic Assistance](#).

Arkansas

Tracy L. Copeland
Manager, State Clearinghouse
Office of Intergovernmental Services
Department of Finance and Admin.
1515 W. 7th St., Room 412
Little Rock, AR 72203
Phone: (501) 682-1074
Fax: (501) 682-5206
tlcopeland@dfa.state.ar.us

California

Grants Coordination
State Clearinghouse
Office of Planning and Research
P.O. Box 3044, Room 222
Sacramento, CA 95812-3044
Phone: (916) 445-0613
Fax: (916) 323-3018
state.clearinghouse@opr.ca.gov

Delaware

Sandra R. Stump
Executive Department
Office of the Budget
540 S. Dupont Highway, 3rd Floor
Dover, DE 19901
Phone: (302) 739-3323
Fax: (302) 739-5661
sandy.stump@state.de.us

District of Columbia

Luisa Montero-Diaz
Office of Partnerships and Grants
Development
Executive Office of the Mayor
District of Columbia Government
441 4th Street, NW, Suite 530 South
Washington, DC 20001
Phone: (202) 727-8900
Fax: (202) 727-1652
opgd.eom@dc.gov

Florida

Lauren P. Milligan
Florida State Clearinghouse
Florida Dept. of Environmental Protection
3900 Commonwealth Blvd., Mail Station 47
Tallahassee, FL 32399-3000
Phone: (850) 245-2161
Fax: (850) 245-2190
Lauren.Milligan@dep.state.fl.us

Georgia

Barbara Jackson
Georgia State Clearinghouse
270 Washington Street, SW
Atlanta, Georgia 30334
Phone: (404) 656-3855
Fax: (404) 656-7901
gach@mail.opb.state.ga.us

Illinois

Roukaya McCaffrey
Department of Commerce and
Economic Opportunities
620 East Adams, 6th Floor
Springfield, IL 62701
Phone: (217) 524-0188
Fax: (217) 558-0473
roukaya_mccaffrey@illinoisbiz.biz

Iowa

Steven R. McCann
Division of Community and Rural
Development
Iowa Department of Economic Development
200 East Grand Avenue
Des Moines, IA 50309
Phone: (515) 242-4719
Fax: (515) 242-4809
steve.mccann@ided.state.ia.us

Kentucky

Ron Cook
Department for Local Government
1024 Capital Center Drive, Suite 340
Frankfort, KY 40601
Phone: (502) 573-2382
Fax: (502) 573-2512
ron.cook@mail.state.ky.us

Maine

Joyce Benson
State Planning Office
184 State Street
38 State House Station
Augusta, ME 04333
Phone: (207) 287-3261
(direct) (207) 287-1461
Fax: (207) 287-6489
joyce.benson@state.me.us

Maryland

Linda C. Janey, J.D.
Director, Capital Plng. & Devel. Review
Maryland Department of Planning
301 West Preston Street, Room 1104
Baltimore, MD 21201-2305
Phone: (410) 767-4490
Fax: (410) 767-4480
linda@mail.op.state.md.us

Michigan

Richard Pfaff
Southeast Michigan Council of
Governments
535 Griswold, Suite 300
Detroit, MI 48226
Phone: (313) 961-4266
Fax: (313) 961-4869
pfaff@semcog.org

Mississippi

Mildred Tharpe
Clearinghouse Officer
Department of Finance and Administration
1301 Woolfolk Building, Suite E
501 North West Street
Jackson, MS 39201
Phone: (601) 359-6762
Fax: (601) 359-6758

Missouri

Federal Assistance Clearinghouse
Office of Administration
P.O. Box 809
Truman Building, Room 840
Jefferson City, MO 65102
Phone: (573) 751-4834
Fax: (573) 522-4395
igr@mail.oa.state.mo.us

Nevada

Heather Elliott
Department of Administration
State Clearinghouse
209 E. Musser Street, Room 200
Carson City, NV 89701
Phone: (775) 684-0209
Fax: (775) 684-0260
helliott@govmail.state.nv.us

New Hampshire

Mary Ann Manoogian
Director, New Hampshire Office of State
Planning
Attn: Intergovernmental Review Process
Benjamin Frost
57 Regional Drive
Concord, NH 03301
Phone: (603) 271-2155
Fax: (603) 271-1728
jtaylor@osp.state.nh.us

New Mexico

Ken Hughes
Local Government Division
Room 201 Bataan Memorial Building
Santa Fe, NM 87503
Phone: (505) 827-4370
Fax: (505) 827-4948
khughes@dfa.state.nm.us

New York

Linda Shkreli
Office of Public Security
Homeland Security Grants Coordination
633 3rd Avenue
New York, NY 10017
Phone: (212) 867-1289
Fax: (212) 867-1725

North Dakota

Jim Boyd
Division of Community Services
600 East Boulevard Ave, Dept 105
Bismarck, ND 58505-0170
Phone: (701) 328-2094
Fax: (701) 328-2308
jboyd@state.nd.us

Rhode Island

Kevin Nelson
Department of Administration
Statewide Planning Program
One Capitol Hill
Providence, RI 02908-5870
Phone: (401) 222-2093
Fax: (401) 222-2083
knelson@doa.state.ri.us

South Carolina

SC Clearinghouse
Budget and Control Board
Office of State Budget
1201 Main Street, Suite 950
Columbia, SC 29201
Phone: (803) 734-0494
Fax: (803) 734-0645
clearinghouse@budget.state.sc.us

Texas

Denise S. Francis
Director, State Grants Team
Governor's Office of Budget and Planning
P.O. Box 12428
Austin, TX 78711
Phone: (512) 305-9415
Fax: (512) 936-2681
dfrancis@governor.state.tx.us

Utah

Clare Walters
Utah State Clearinghouse
Governor's Office of Planning and Budget
State Capitol, Room 116
Salt Lake City, UT 84114
Phone: (801) 538-1555
Fax: (801) 538-1547
cwalters@utah.gov

West Virginia

Fred Cutlip, Director
Community Development Division
West Virginia Development Office
Building #6, Room 553
Charleston, WV 25305
Phone: (304) 558-4010
Fax: (304) 558-3248
fcutlip@wvdo.org

Wisconsin

Jeff Smith
Section Chief, Federal/State Relations
Wisconsin Department of Administration
101 East Wilson Street, 6th Floor
P.O. Box 7868
Madison, WI 53707
Phone: (608) 266-0267
Fax: (608) 267-6931
jeffrey.smith@doa.state.wi.us

American Samoa

Pat M. Galea'i
Federal Grants/Programs Coordinator
Office of Federal Programs/Office of the
Governor
Department of Commerce
American Samoa Government
Pago Pago, AS 96799
Phone: (684) 633-5155
Fax: (684) 633-4195
pmgaleai@samoatelco.com

Guam

Director
Bureau of Budget and Mgmt. Research
Office of the Governor
P.O. Box 2950
Agana, GU 96910
Phone: 011-671-472-2285
Fax: 011-472-2825
jer@ns.gov.gu

Northern Mariana Islands

Ms. Jacoba T. Seman
Federal Programs Coordinator
Office of Management and Budget
Office of the Governor
Saipan, MP 96950
Phone: (670) 664-2289
Fax: (670) 664-2272
omb.jseman@saipan.com

Puerto Rico

Jose Caballero / Mayra Silva
Puerto Rico Planning Board
Federal Proposals Review Office
Minillas Government Center
P.O. Box 41119
San Juan, PR 00940-1119
Phone: (787) 723-6190
Fax: (787) 722-6783

Virgin Islands

Ira Mills
Director, Office of Management and Budget
#41 Norre Gade Emancipation Garden
Station
Second Floor
Saint Thomas, VI 00802
Phone: (340) 774-0750
Fax: (340) 776-0069
Irmills@usvi.org

Changes to this list can be made only after OMB is notified by a State's officially designated representative. E-mail messages can be sent to mgrants@omb.eop.gov. If you prefer, you may send correspondence to the following postal address:

Attn: Grants Management
Office of Management and Budget
New Executive Office Building, Suite 6025
725 17th Street, NW
Washington, DC 20503

Please note: Inquiries about obtaining a Federal grant should not be sent to the OMB e-mail or postal address shown above. The best source for this information is <http://www.cfda.gov>.

Single State Agencies for Mental Health

Alabama

Kathy E. Sawyer
Commissioner
Department of Mental Health
and Mental Retardation
100 North Union Street
P.O. Box 301410
Montgomery, AL 36130-1410
Phone: (334) 242-3107
Fax: (334) 242-0684
ksawyer@mh.state.al.us

Alaska

William H. Hogan
Director
Division of Behavioral Health
Department of Health and Social Services
350 Main Street, Suite 214
P.O. Box 110620
Juneau, AK 99881-0620
Phone: (907) 465-3370
Fax: (907) 465-2668
william_hogan@health.state.ak.us

Arizona

Leslie Schwalbe
Deputy Director
Division of Behavioral Health Services
Department of Health Services
150 N. 18th Avenue, Suite 200
Phoenix, AZ 85007
Phone: (602) 364-4567
Fax: (602) 364-4570
schwall@azdhs.gov

Arkansas

Pat Dahlgren
Director
Division of Behavioral Health Services

Department of Human Services
4313 West Markham Street
Little Rock, AR 72205-4096
Phone: (501) 686-9164
Fax: (501) 686-9182
pat.dahlgren@mail.state.ar.us

California

Stephen W. Mayberg, Ph.D.
Director
Department of Mental Health
1600 9th Street, Room 151
Sacramento, CA 95814
Phone: (916) 654-2309
Fax: (916) 654-3198
smayberg@dmhhq.state.ca.us

Colorado

Debra Kupfer
Acting Director
Division of Mental Health Services
Department of Human Services
3824 West Princeton Circle
Denver, CO 80236
Phone: (303) 866-7418
Fax: (303) 866-7428
debra.kupfer@state.co.us

Connecticut

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

Delaware

Renata J. Henry
Director
Division of Substance Abuse and Mental Health
Department of Health and Social Services
1901 North Dupont Highway
New Castle, DE 19720
Phone: (302) 255-9398
Fax: (302) 255-4427
rehenry@state.de.us

District of Columbia

Martha B. Knisley
Director
Department of Mental Health
64 New York Ave., NE, 4th Floor
Washington, DC 20002
Phone: (202) 673-2200
Fax: (202) 673-3433
marti.knisley@dc.gov

Florida

Rod Hall, Ph.D.
Interim Director of Mental Health
Substance Abuse and Mental Health
Department of Children and Families
1317 Winewood Boulevard
Building 6, Room 275
Tallahassee, FL 32399-0700
Phone: (850) 488-8304
Fax: (850) 487-2239
rod_hall@dcf.state.fl.us

Georgia

Gwendolyn B. Skinner
Division Director
Division of Mental Health, Developmental Disabilities, and Addictive Diseases
Department of Human Resources
2 Peachtree Street, Suite 22.224
Atlanta, GA 30303
Phone: (404) 657-2260
Fax: (404) 657-1137
gbskinner@dhr.ga.gov

Hawaii

Michelle R. Hill
Deputy Director
Behavioral Health Administration
Department of Health
1250 Punchbowl Street
P.O. Box 3378
Honolulu, HI 96813
Phone: (808) 586-4416
Fax: (808) 586-4444
mrhill@mail.health.state.hi.us

Idaho

Raymond M. Millar, C.P.M., L.M.S.W.
Program Manager, Adult Mental Health
Division of Family and Community Services
Department of Health and Welfare
450 West State Street, 5th Floor
Boise, ID 83720
Phone: (208) 334-6500
Fax: (208) 334-6699
millarr@idhw.state.id.us

Illinois

Christopher Fichtner, M.D.
Director
Division of Mental Health
Department of Human Services
160 N. La Salle Street, 10th Floor
Chicago, IL 60601
Phone: (312) 814-3784
Fax: (312) 814-4832
dhsc1655@dhs.state.il.us

Indiana

Cathy Boggs
Interim Director
Division of Mental Health and Addiction
Family and Social Services Administration
402 West Washington Street, Room W-353
Indianapolis, IN 46204-2739
Phone: (317) 233-4319
Fax: (317) 233-3472
cathy.boggs@fssa.in.gov

Iowa

Mary Nelson
Director
Division of Behavioral, Development,
and Protective Services
Department of Human Services
1305 East Walnut Street, 5th Floor
Des Moines, IA 50319
Phone: (515) 281-5521
Fax: (515) 242-6036
mnelson1@dhs.state.ia.us

Kansas

Laura Howard
Deputy Secretary
Division of Health Care Policy
Department of Social and Rehabilitation
Services
915 SW Harrison, 10th Floor
Topeka, KS 66612-1570
Phone: (785) 296-3773
Fax: (785) 296-5507
lkzh@srskansas.org

Kentucky

Pat Wear II
Commissioner
Department of Mental Health and
Mental Retardation Services
100 Fair Oaks Lane, 4E-B
Frankfort, KY 40621-0001
Phone: (502) 564-4527
Fax: (502) 564-5478
pat.wear@ky.gov

Louisiana

Cheryll Bowers-Stephens, M.D., M.B.A.
Assistant Secretary
Office of Mental Health
Department of Health and Hospitals
P.O. Box 4049, Bin #12
Baton Rouge, LA 70821
Phone: (225) 342-2540
Fax: (225) 342-5066
cstephen@dhh.la.gov

Maine

Brenda M. Harvey
Deputy Commissioner
Department of Programs Health and
Human Services
40 State House Station
Augusta, ME 04333
Phone: (207) 287-4223
Fax: (207) 287-3005
brenda.harvey@maine.gov

Maryland

Brian Hepburn, M.D.
Executive Director
Mental Hygiene Administration
Department of Health and Mental Hygiene
Spring Grove Hospital Center
55 Wade Avenue, Dix Building
Catonsville, MD 21228
Phone: (410) 402-8452
Fax: (410) 402-8301
bhepburn@dhhmh.state.md.us

Massachusetts

Elizabeth Childs, M.D.
Commissioner
Department of Mental Health
25 Staniford Street
Boston, MA 02114
Phone: (617) 626-8123
Fax: (617) 626-8131
Elizabeth.Childs@dmh.state.ma.us

Michigan

Patrick Barrie
Deputy Director
Mental Health and Substance Abuse
Services
Department of Community Health
320 South Walnut Street
Lansing, MI 48913
Phone: (517) 335-0196
Fax: (517) 335-6856
barriep@michigan.gov

Minnesota

Sharon Autio
Director
Mental Health Program Division
Department of Human Services
Human Services Building
444 Lafayette Road
St. Paul, MN 55155-3828
Phone: (651) 582-1810
Fax: (651) 582-1831
sharon.autio@state.mn.us

Mississippi

Albert "Randy" Hendrix, Ph.D.
Director
Department of Mental Health
1101 Robert E. Lee Building
239 North Lamar Street
Jackson, MS 39201
Phone: (601) 359-1288
Fax: (601) 359-6295
randy.hendrix@dmh.state.ms.us

Missouri

Diane McFarland
Division Director
Comprehensive Psychiatric Services/
Alcohol and Drug Abuse
Department of Mental Health
1706 East Elm Street
P.O. Box 687
Jefferson City, MO 65102
Phone: (573) 751-3035
Fax: (573) 751-7815
diane.mcfarland@dmh.mo.gov

Dorn Schuffman
Director
Department of Mental Health
1706 East Elm Street
P.O. Box 687
Jefferson City, MO 65102
Phone: (573) 751-3070
Fax: (573) 526-7926
dorn.schuffman@dmh.mo.gov

Montana

Lou Thompson
Chief, Mental Health Services Bureau
Addictive and Mental Disorders Division
Department of Public Health and
Human Services
555 Fuller Avenue
P.O. Box 202905
Helena, MT 59620-2905
Phone: (406) 444-9657
Fax: (406) 444-4435
lothompson@state.mt.us

Nebraska

Richard Deliberty
Administrator
Division of Behavioral Health
Department of Health and Human Services
P.O. Box 98925
Lincoln, NE 68509
Phone: (402) 479-5117
Fax: (402) 479-5162
richard.deliberty@hhss.ne.gov

Nevada

Carlos Brandenburg, Ph.D.
Administrator
Division of Mental Health and
Developmental Services
Department of Human Resources
505 East King Street, Room 602
Carson City, NV 89701
Phone: (775) 684-5943
Fax: (775) 684-5966
cbrandenburg@dhr.state.nv.us

New Hampshire

Geoffrey C. Souther
Bureau Chief
Bureau of Behavioral Health
Department of Health and Human Services
105 Pleasant Street, Main Building
Concord, NH 03301
Phone: (603) 271-5007
Fax: (603) 271-5058
gsouther@dhhs.state.nh.us

New Jersey

Alan G. Kaufman
Director
Division of Mental Health Services
Department of Human Services
50 East State Street, Capitol Center
P.O. Box 727
Trenton , NJ 08625
Phone: (609) 777-0702
Fax: (609) 777-0662
dmhsmail@dhs.state.nj.us

New Mexico

Richard Tavares
Interim Director
Behavioral Health Services Division
Department of Health
1190 St. Francis Drive, Room N3300
Santa Fe, NM 87502-6110
Phone: (505) 827-2601
Fax: (505) 827-0097
rtavares@doh.state.nm.us

New York

Sharon E. Carpinello, Ph.D., R.N.
Commissioner
Office of Mental Health
44 Holland Avenue
Albany, NY 12229
Phone: (518) 474-4403
Fax: (518) 473-2149
coevsec@omh.state.ny.us

North Carolina

Mike Moseley
Director
Division of Mental Health, Developmental
Disabilities and Substance Abuse
Department of Health and Human Services
3001 Mail Service Center
Raleigh, NC 27699-3001
Phone: (919) 733-7011
Fax: (919) 733-1221
mike.moseley@ncmail.net

North Dakota

JoAnne D. Hoesel
Director
Division of Mental Health and
Substance Abuse
Department of Human Services
600 E. Boulevard, Room 302
Bismarck, ND 58505
Phone: (701) 328-8924
Fax: (701) 328-3538
sohoej@state.nd.us

Ohio

Michael F. Hogan, Ph.D.
Director
Department of Mental Health
30 East Broad Street, 8th Floor
Columbus, OH 43215-3430
Phone: (614) 466-2337
Fax: (614) 752-9453
hoganm@mh.state.oh.us

Oklahoma

Terry Cline, Ph.D.
Secretary of Health and
Commissioner, Mental Health and
Substance Abuse Services
1200 N.E. 13th Street
P.O. Box 53277
Oklahoma City, OK 73152-3277
Phone: (405) 522-3878
Fax: (405) 522-0637
tcline@odmhsas.org

Oregon

Robert E. Nikkel, M.S.W.
Administrator
Office of Mental Health and Addiction
Services
Department of Health Services
2575 Bittern Street N.E.
P.O. Box 14250
Salem, OR 97309-0740
Phone: (503) 945-9704
Fax: (503) 373-7327
robert.e.nikkel@state.or.us

Pennsylvania

Joan L. Erney
Deputy Secretary
Office of Mental Health and Substance
Abuse Services
Department of Public Welfare
P.O. Box 2675
Harrisburg, PA 17105-2675
Phone: (717) 787-6443
Fax: (717) 787-5394
joerney@state.pa.us

Rhode Island

Kathleen M. Spangler
Acting Director
Department of Mental Health,
Retardation and Hospitals
14 Harrington Road, Barry Hall
Cranston, RI 02920
Phone: (401) 462-3201
Fax: (401) 462-3204
kspangler@mhrh.ri.gov

South Carolina

George Gintoli
Director
Office of State Director
Department of Mental Health
2414 Bull Street, Suite 321
P.O. Box 485
Columbia, SC 29202
Phone: (803) 898-8319
Fax: (803) 898-8586
gpg97@dmh.state.sc.us

South Dakota

Kim Malsam-Rysdon
Director
Division of Mental Health
Department of Human Services
Hillsview Plaza, East Highway 34
c/o 500 East Capitol
Pierre, SD 57501-5070

Phone: (605) 773-5991
Fax: (605) 773-7076
kim.malsam-rysdon@state.sd.us

Tennessee

Virginia Trotter Betts, M.S.N.,
J.D., R.N., F.A.A.N.
Commissioner
Department of Mental Health and
Developmental Disabilities
Cordell Hull Building, 3rd Floor
425 Fifth Avenue, North
Nashville, TN 37243-0675
Phone: (615) 532-6500
Fax: (615) 532-6514
virginiatrotter.betts@state.tn.us

Texas

Dave Wanser, Ph.D.
Deputy Commissioner
Division of Behavioral and
Community Health Services
Department of State Health Services
1100 West 49th Street, M-751
Austin, TX 78756
Phone: (512) 458-7376
Fax: (512) 458-7477
dave.wanser@dshs.state.tx.us

Utah

Randall W. Bachman
Director
Division of Substance Abuse and
Mental Health
Department of Human Services
120 North 200 West, #209
Salt Lake City, UT 84103
Phone: (801) 538-8290
Fax: (801) 538-9892
rbachman@utah.gov

Vermont

Susan Wehry, M.D.
Deputy Commissioner
Agency of Human Services
Department of Health/Division of
Mental Health
108 Cherry Street
Burlington, VT 05401
Phone: (802) 241-2610
Fax: (802) 241-1129
swehry@vdh.state.vt.us

Virginia

James S. Reinhard, M.D.
Commissioner
Department of Mental Health, Mental
Retardation and Substance Abuse
Services
109 Governor Street
P.O. Box 1797
Richmond, VA 23218-1797
Phone: (804) 786-3921
Fax: (804) 371-6638
jreinhard@dmhmrsas.state.va.us

Washington

Karl Brimner, M.Ed.
Director
Mental Health Division
Department of Social and Health Services
P.O. Box 45320, 14th and Jefferson Streets
Olympia, WA 98504
Phone: (360) 902-0790
Fax: (360) 902-0809
brimnkr@dshs.wa.gov

West Virginia

Eugenie P. Taylor
Acting Commissioner
Bureau for Behavioral Health and
Health Facilities
Department of Health and Human Resources

350 Capitol Street, Room 350
Charleston, WV 25301-3702
Phone: (304) 558-0298
Fax: (304) 558-2230
eugenietaylor@wvdhhr.org

Wisconsin

John T. Easterday, Ph.D.
Associate Administrator for Mental Health
and Substance Abuse Services
Division of Disability and Elder Services
Department of Health and Family Services
1 West Wilson St., Room 850
P.O. Box 7851
Madison, WI 53707-7851
Phone: (608) 267-9391
Fax: (608) 266-1533
eastejt@dhfs.state.wi.us

Wyoming

Charles W. Hayes, M.S.W., L.C.S.W.
Administrator
Division of Mental Health
Department of Health
6101 Yellowstone Road, Room 220
Cheyenne, WY 82002
Phone: (307) 777-5698
Fax: (307) 777-5580
chayes@state.wy.us

American Samoa

Uiagalelei Lealofi, Ed.D.
Director
Department of Human and Social Services
P.O. Box 997534
American Samoa Government
Pago Pago, AS 96799
Phone: 011 (684) 633-2696
Fax: 011 (684) 633-7449
ulealofi.dhss@samoatelco.com

Guam

J. Peter Roberto
Director
Department of Mental Health
and Substance Abuse
790 Governor Carlos G. Camacho Road
Tamuning, GU 96913
Phone: (671) 647-5330/5303
Fax: (671) 649-6948
proberto@mail.gov.gu

Puerto Rico

Johnny Rullan, M.D., FACPM
Secretary of Health and
Acting Administrator, Mental Health and
Anti-Addiction Services Administration
Ave Barbosa 414
P.O. Box 21414
San Juan, PR 00928-1414

Phone: (787) 274-7602
Fax: (787) 250-6547
jrullan@salud.gov.pr

Virgin Islands

Denese Marshall
Director
Department of Mental Health, Alcoholism,
and Drug Dependency Services
Barbell Plaza South
St. Thomas, VI 00802
Phone: (340) 774-4888
Fax: (340) 774-4701
denese.marshall@usvi-doh.org