

# **Grant Competition to Prevent High-Risk Drinking or Violent Behavior among College Students**

CFDA #84.184H

## **Information and Application Procedures for Fiscal Year 2009**

OMB No. 1894-0006 Expiration Date: 09/30/2011

**Application Deadline: January 30, 2009**

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*Frequently Asked Questions  
Pages 27-33*

**United States Department of Education  
Office of Safe and Drug-Free Schools**





## UNITED STATES DEPARTMENT OF EDUCATION

Office of Safe and Drug-Free Schools

Dear Colleague:

Thank you for your interest in applying for funding under the Grant Competition to Prevent High-Risk Drinking or Violent Behavior among College Students.

We know that high-risk drinking and violent behavior contribute to a number of academic, social, and health-related problems. According to several studies, approximately 40 percent of the nation's college students engage in heavy drinking and nearly 68 percent of underage students use alcohol.

Preventing violent behavior among college students is also a critical concern for institutions of higher education. One national survey found that 2.8 percent of college women experienced a completed or attempted rape in the past seven months. Projecting these figures over an entire year, the survey's authors concluded that nearly 5 percent of college women might be victimized annually and that up to 25 percent might be assaulted by the end of their college years.

This competition supports the establishment of safe, disciplined, and drug-free educational environments. Funds may be used for the development or enhancement, implementation, and evaluation of campus- and/or community-based prevention and early intervention efforts.

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

Sincerely,

/s/

Deborah A. Price  
Assistant Deputy Secretary



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## **I. APPLICATION SUBMISSION PROCEDURES**

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### **Application Transmittal Instructions**

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

**Attention Electronic Applicants:** Please note that you must follow the application procedures as described in the Notice Inviting Applications for this grant competition, published in the Federal Register on December 15, 2008. Some programs may require electronic submission of applications, and those programs will have specific requirements and waiver instructions in the Federal Register notice.

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

#### **Applications Submitted Electronically**

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

For more information on using Grants.gov, please refer to the Notice Inviting Applications that was published in the Federal Register on December 15, 2008, the Grants.gov Submission Procedures and Tips document on pages 9-11 of this application package, and the Grants.gov Web site ([www.grants.gov](http://www.grants.gov)).

You may access the electronic application for the Grant Competition to Prevent High-Risk Drinking or Violent Behavior among College Students at the following Web sites: [www.grants.gov](http://www.grants.gov) or [www.ed.gov/programs/dvphighrisk/index.html](http://www.ed.gov/programs/dvphighrisk/index.html).

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

You must mail the original and two copies of the application on or before the deadline date. To help expedite our review of your application, we would appreciate your voluntarily including an additional copy of your application. Please mail copies to:

**U.S. Department of Education, Application Control Center  
Attention: CFDA # 84.184H  
LBJ Basement Level 1  
400 Maryland Avenue, SW  
Washington, DC 20202 – 4260**

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

- (1) A legibly dated U. S. Postal Service Postmark.
- (2) A legible mail receipt with the date of mailing stamped by the U. S. Postal Service.

- (3) A dated shipping label, invoice, or receipt from a commercial carrier.
- (4) Any other proof of mailing acceptable to the Secretary.

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

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

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

### **Applications Delivered by Commercial Carrier**

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

**Applications that are delivered by commercial carrier, such as Federal Express or United Parcel Service, should be mailed to:**

**U.S. Department of Education  
Application Control Center  
Attention: CFDA Number 84.184H  
LBJ Basement Level 1  
400 Maryland Avenue, SW  
Washington, DC 20202-4260**

### **Applications Delivered by Hand**

You or your courier must hand deliver the original and two copies of your application by 4:30:00 p.m. (Washington, DC time) on or before the deadline date. To help expedite our review of your application, we would appreciate your voluntarily including an additional copy of your application. Please hand deliver copies to:

**U.S. Department of Education  
Application Control Center  
Attention: CFDA #84.184H  
550 12<sup>th</sup> Street, SW  
PCP – Room 7041  
Washington, DC 20202-4260**

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



## Grants.gov Submission Procedures and Tips for Applicants

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

1. **Register Early** – Grants.gov registration may take five or more business days to complete. You may begin working on your application while completing the registration process, but you cannot submit an application until all of the registration steps are complete. For detailed information on the registration steps, go to [www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). **Note:** Your organization will need to update its Central Contractor Registry (CCR) registration annually.
2. **Submit Early** – We strongly recommend that you do not wait until the last day to submit your application. Grants.gov will put a date and time stamp on your application and then process it after it is fully uploaded. The time it takes to upload an application will vary depending on a number of factors including the size of the application and the speed of your Internet connection, and the time it takes Grants.gov to process the application will vary as well. If Grants.gov rejects your application (see step three below), you will need to resubmit successfully before 4:30:00 pm on the deadline date. **Note:** To submit successfully, you must provide the D-U-N-S number on your application that was used when your organization registered with the CCR.
3. **Verify Submission is OK** – You will want to verify that Grants.gov and the Department of Education received your Grants.gov submission timely and that it was validated successfully. To see the date and time your application was received, log in to Grants.gov and click on the Track My Application link. For a successful submission, the date and time received should be earlier than 4:30:00 p.m. (Washington, DC time) on the deadline date, and the application status should be Validated, Received by Agency, or Agency Tracking Number Assigned.

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

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

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

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

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

If electronic submission is required, you must submit an electronic application before 4:30:00 p.m. (Washington, DC time), unless you follow the procedures in the Federal Register notice and qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. See the Federal Register notice for detailed instructions.

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

Please note that once you download an application from Grants.gov, you will be working offline and saving data on your computer. Please be sure to note where you are saving the Grants.gov file on your computer. You will need to log on to Grants.gov to upload and submit the application. You must provide on your application the D-U-N-S number that was used when your organization registered with the CCR. Please go to [www.grants.gov/applicants/applicant\\_help.jsp](http://www.grants.gov/applicants/applicant_help.jsp) for help with Grants.gov. For additional tips related to submitting grant applications, please refer to the Grants.gov Submit Application FAQs found on Grants.gov ([www.grants.gov/applicants/submit\\_application\\_faqs.jsp](http://www.grants.gov/applicants/submit_application_faqs.jsp)).

## **Dial-Up Internet Connections**

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

## **Mac Users**

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

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

### **Attaching Files – Additional Tips**

As described above, applicants should not upload a Word 2007 (.docx) file when attaching narrative files to their application. In addition, please ensure that you only attach the ED-approved file types detailed in the Federal Register application notice (.doc, .pdf, or .rtf). Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission. Finally, when attaching files, applicants should limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We recommend you keep your file names to less than 50 characters.

## **II. PROGRAM BACKGROUND INFORMATION**

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### **General Information**

#### **ELIGIBILITY**

This competition limits eligibility to institutions of higher education (IHEs), consortia thereof, public and private nonprofit organizations, including faith-based organizations, and individuals.

**Note:** The Grant Competition to Prevent High-Risk Drinking or Violent Behavior among College Students limits eligibility to applicants that do not currently have an active grant under this program. For the purpose of this eligibility requirement, a grant is considered active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds (71 FR 70369).

#### **PROGRAM DESCRIPTION**

This program provides funds to develop, enhance, implement, and evaluate campus-based, community-based or both, prevention strategies to reduce high-risk drinking and violent behavior among college students.

#### **AUTHORITY**

This competition is authorized under Title IV, Section 4121 of the Elementary and Secondary Education Act (ESEA) as amended by the No Child Left Behind Act of 2001.

#### **APPLICABLE REGULATIONS**

The Education Department General Administrative Regulations (EDGAR) in 34 CFS parts 74, 75, 77, 79, 80, 81, 82, 84, 85, 86, 97, 98, 99, and 200 apply to this competition.

#### **OFFICIAL DOCUMENTS NOTICE**

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

#### **NOTICE OF NONDISCRIMINATION**

All applicants under this grant competition should familiarize themselves with all federal statutes related to nondiscrimination, as outlined in Item 6 of Standard Form 424B, to ensure that their proposed activities are compliant. For instance, an applicant may determine through a needs assessment that first-year students are the specific student population identified for services provided under this grant. Subsequently, the applicant must ensure that neither male nor female first-year students are excluded on the basis of sex. In this example, the applicant would need to be in compliance with Title IX of the Education Amendments of 1972, as amended (20 U.S.C. subsections 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex.

#### **TECHNICAL ASSISTANCE**

The Office of Safe and Drug-Free Schools will offer a 1 1/2 hour technical assistance call during which staff will take questions from prospective applicants on topics including eligibility requirements, application requirements, and the peer review process. Specific information on

when this call will be held will be posted on our website at:  
[www.ed.gov/programs/dvphighrisk/applicant.html](http://www.ed.gov/programs/dvphighrisk/applicant.html)

## RESOURCES

Any questions related to the requirements of this grant competition should be directed to Amalia Cuervo at [PreventHRDV@ed.gov](mailto:PreventHRDV@ed.gov) or 202-245-7881. **For the most timely response, please submit your questions via e-mail.** The OSDFS Web site is located at [www.ed.gov/osdfs](http://www.ed.gov/osdfs).

For more information about drug abuse and violence prevention programs in higher education, contact the Department of Education's Higher Education Center for Alcohol and Other Drug Abuse and Violence Prevention. The Center is a national resource for training and technical assistance in drug abuse and violence prevention in college communities. The Center can be contacted via telephone (800/676-1730) or its Web site ([www.higheredcenter.org](http://www.higheredcenter.org)). Additional resources related to drug abuse and violence prevention are listed on page 34 of this application package.

## GRANT AWARDS AND PROJECT PERIOD

The project period for this grant is up to 24 months (two budget periods of 12 months each). We intend the project and budget periods for projects funded under this grant competition to be June 2009 to June 2011. However, awards may be made as late as September 30, 2009. Projects will be funded for one year with an option for an additional year, contingent upon substantial progress by the grantee and the availability of funds.

**Applicants requesting two-year projects must submit ED Form 524 and a detailed budget narrative for each of the two years in order to be eligible for funding each year.** No funds will be awarded for those years for which a budget request and narrative is not provided. An estimated 18 new awards will be made. Projects will be funded for approximately \$100,000 to \$150,000 per year depending on the scope of work. These figures are only estimates and do not bind the Department of Education to a specific number of grants or amount of any grant.

## TRAVEL BUDGET

Applicants must budget for the project director and at least one additional staff member to attend ED's annual National Meeting on Alcohol and Other Drug Abuse and Violence Prevention in Higher Education during each year of their project period. For planning purposes, applicants should include funds for transportation, lodging for four nights and four days, and per diem costs. Although the site for the 2009 National Meeting is not selected yet, applicants should use a Washington, DC destination to estimate expenses.

Applicants must also participate on an online Department of Education grant administration course within 30 days of receipt of the grant award. There are no fees associated with this requirement.

## E-MAIL ADDRESSES

As part of our review of your application, we may need to contact you with questions for clarification. **Please be sure your application contains valid e-mail addresses for the project**

**director and authorized representative or another party designated to answer questions in the event the project director and authorized representative are unavailable.**

### **NOTIFICATION OF AWARD**

We expect to notify successful applicants by early June 2009. Unsuccessful applicants will be notified within 60 days after the new award start date.

### **HUMAN SUBJECTS RESEARCH**

Please see Item 3 of the instructions for Supplemental Information for Standard Form 424 in Section IV of this application package. Projects funded under this grant program may be subject to protection of human subjects research requirements. If you have any questions about your responsibilities under these requirements, please contact ED's protection of human subjects coordinator at 202/260-3353.

### **THE U.S. DEPARTMENT OF EDUCATION'S EXPECTATIONS**

By submitting an application for this program, applicants agree to fully cooperate with any evaluation efforts conducted by ED and its contractors. **At a minimum, grantees are expected to: maintain records on how their program is operating; maintain records on the extent to which their program objectives are being met; include specific performance measures in their evaluation plan; and make ongoing project information, findings, and products available to ensure the dissemination of knowledge gained from this effort during the grant period.**

Grantees also may be expected to work with ED's Higher Education Center for Alcohol and Other Drug Abuse and Violence Prevention to collect key program information that will help assess the extent to which projects supported under this grant competition are meeting their goals and objectives. ED may use the results of these projects in an effort to identify and disseminate to institutions of higher education and their surrounding communities those strategies that are effective in preventing high-risk drinking or violent behavior among college students.

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

The Government Performance and Results Act of 1993 (GPRA) is a straightforward statute that requires all Federal agencies to manage their activities with attention to the consequences of those activities. Each agency is to state clearly what it intends to accomplish, identify the resources required, and periodically report its progress to the U.S. Congress. GPRA is intended to contribute to improvements in accountability for the expenditure of public funds; enhance congressional decision-making through more objective information on the effectiveness of Federal programs; and promote a new government focus on results, service delivery, and customer satisfaction.

As required by GPRA, Department of Education has developed a strategic plan that reflects organizational priorities and integrates those with our mission and program authorities. We have also developed GPRA measures for the individual programs we administer including this grant competition on Preventing High Risk Drinking and Violent Behavior among College Students.

Under 34 CFR 75.105(c)(3), we consider only applications that meet **either, not both**, of the following absolute priorities. **Applicants that choose to address both of the absolute priorities must submit separate applications for consideration.** In making awards under this grant program, we may take into consideration the geographic distribution of the projects in addition to the rank order of applicants

The GRPA measures for assessing the effectiveness of this program at the end of the 2-year grant period are:

1. The percentage of grantees that achieve a 5 percent decrease in high-risk drinking among students served by the project (Absolute Priority One)
2. The percentage of grantees that achieve a 5 percent decrease in violent behavior among students served by the project (Absolute Priority Two)

The GPRA measures identified for these grants constitute the way in which we will measure the success of this initiative. Consequently, applicants for a grant under this program should give careful consideration to these measures in developing their projects, and particularly to how they will collect and report data for these measures. Grantees are required to collect and report data on these performance measures to the Department. We will aggregate data provided by grantees for these GPRA measures and use that data in developing future budget proposals. We will also share this performance data with Congress. We may also publish results from individual grants to illustrate how grant sites are making progress toward program objectives.

**If funded, grantees will be expected to collect data on the performance measures established for this program, and report that data to the Department in their annual and final performance reports. Grantees are expected to complete all performance reports using the ED 524B Form:**

([www.ed.gov/fund/grant/apply/appforms/ed524b\\_coverfill.pdf](http://www.ed.gov/fund/grant/apply/appforms/ed524b_coverfill.pdf) and [www.ed.gov/fund/grant/apply/appforms/ed524b\\_statusfill.pdf](http://www.ed.gov/fund/grant/apply/appforms/ed524b_statusfill.pdf)).

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

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

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

## B. Preparing Your Application

- Be thorough in your program description. Write so that someone who knows nothing about your organization or your program plan can understand what you are proposing.
- Organize your application according to the selection criteria and respond comprehensively.
- Make sure your budget narrative provides enough detail about planned expenditures so ED staff can easily determine how the funds will be spent. It is also important to include information about the percentage of time commitment that the Project Director will work on the project in this section, regardless of how this position is to be funded.
- Link your planned expenditures to the goals and objectives of your program. Do not request funds for miscellaneous purposes and make sure you demonstrate that your proposed expenditures are necessary to carry out your program.

## C. Submitting Your Application

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

## D. Next Steps

If you submit your application by mail, you should receive a postcard in approximately two weeks (depending on the volume of applications), from ED's Application Control Center acknowledging receipt of your application and giving you its assigned PR/Award number. **If you have any questions about your postcard, please contact the ACC via e-mail at ([application.center@ed.gov](mailto:application.center@ed.gov)) or telephone (202-377-6289).** Please refer to this number if you need to contact us about your application.

If you submit your application electronically, the PR/Award number will be generated automatically when you submit your application. Please refer to this PR/Award number if you need to contact the Department about your application.

- Your application will be screened by OSD/FS staff members to ensure that all program eligibility requirements are met and all required forms are included and signed by the Authorized Representative.
- Your application will be assigned to a three-person panel of independent reviewers who will evaluate and score your proposal according to the selection criteria in this application



package. Your application will receive a score from 0 to 100 depending how well it addresses and responds to the requirements of the selection criteria.

- A Grant Award Notification will be sent to applicants whose proposals score within the funding range. Unsuccessful applicants will receive a notification letter. Both successful and unsuccessful applicants will receive copies of the comments prepared by the peer reviewers. Please be sure your application contains valid e-mail addresses and mailing address for both the Project Director and Authorized Representative.

## Preventing Alcohol Abuse and Violent Behavior among College Students

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

Data from the Monitoring the Future study shows that approximately 40 percent of the nation's college students engaged in binge drinking (defined as five or more drinks in a row) at least once in the previous two weeks.<sup>1</sup> The Core Institute reports that nearly 68 percent of underage students used alcohol within the 30 days prior to taking the survey.<sup>2</sup>

Data also indicate that drug abuse can result in negative consequences on college campuses, including deaths, sexual assaults, fights, residence hall damage, and other violence. The Core Institute reports that alcohol and other drugs contributed to students getting into an argument or fight (32 percent), doing something they later regretted (38. percent), driving a car while under the influence (27 percent), or missing a class (31 percent).<sup>3</sup> Excessive drinking on college campuses often leads to serious adverse effects and violence. For example, analyses indicate that approximately 430,000 students, ages 18-21 are assaulted each year by another college student who has been drinking and about 43,500, in the same age group, are victims of alcohol-related sexual assault or date rape, while another 1,700 students between the ages of 18-24 die each year from alcohol-related unintentional injuries, including motor vehicle crashes.<sup>4</sup>

The prevention of violent behavior among college students, regardless of a connection to alcohol or other drugs, is a critical issue for institutions of higher education. Forms of violent behavior that are of concern on college campuses include rape and sexual assault; nonsexual physical assault, such as fights, muggings, and hazing; and hate crimes. A look at some statistics offers an indication of the prevalence of this behavior.

One national survey found that 2.8 percent of college women experienced a completed or attempted rape in the past seven months. Projecting these figures over an entire year, the survey's authors concluded that nearly 5 percent of college women might be victimized annually and that up to 25 percent might be assaulted by the end of their college years. Other studies, using various definitions, estimate that approximately one-quarter to one-half of students experience dating violence by the end of college.<sup>5</sup> A study conducted at Yale found that 42

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<sup>1</sup> Johnston, L.D., O'Malley, P.M., Bachman, J.G., and Schulenberg, J.E. Monitoring the Future: National Survey Results on Drug Use, 1975-2005. Volume II: College Students and Adults Ages 19-45. National Institute on Drug Abuse, 2008, p.26.

<sup>2</sup> The Core Institute. 2005 Statistics on Alcohol and Other Drug Use on American Campuses. Southern Illinois University-Carbondale.

<sup>3</sup> The Core Institute. Available online at [www.siu.edu/~coreinst/results\\_consequences.htm](http://www.siu.edu/~coreinst/results_consequences.htm).

<sup>4</sup> Hingson, R., Heeren, T., et al., "Magnitude of alcohol-related mortality and morbidity among U.S. college students ages 18-24: Changes from 1998 to 2001". Annual Rev. Public Health 26:259-279, 2005.

<sup>5</sup> Amar, A.F. and Gennaro, S. "Dating violence in college women: associated physical injury, healthcare usage, and mental health symptoms." Nursing Research (2005) 54(4), 235-242.

percent of gay and lesbian students surveyed had suffered some form of physical aggression while at the university, such as having objects thrown at them or being assaulted.<sup>6</sup>

In addition to this grant competition and the Higher Education Center, ED's efforts to prevent drug abuse and violent behavior among college students include its annual National Meeting on Alcohol and Other Drug Abuse and Violence Prevention in Higher Education ([www.higheredcenter.org/natl](http://www.higheredcenter.org/natl)) and recognition program for alcohol and other drug prevention models on college campuses ([www.ed.gov/programs/dvpcollege/index.html](http://www.ed.gov/programs/dvpcollege/index.html)).

The Secretary of Education has identified a national need to address high-risk drinking and violent behavior among college students. The goal of this grant competition is to provide funds to individual IHEs, consortia thereof, public and private nonprofit organizations, including faith-based organizations, and individuals to develop or enhance, implement, and evaluate campus- and/or community-based prevention and early intervention strategies. Grantees will focus attention on and develop solutions to prevent and reduce high-risk drinking or violent behavior among college students. **Note: Grantees funded under Absolute Priority 1 of this grant competition will be expected to promote a nonuse message to students under the minimum legal drinking age as part of their funded project.**

## LESSONS LEARNED

ED's two decades of experience with discretionary grant programs has shown that successful projects adapt strategies that are based on sound prevention theory, research, or effective programs and practices. The implementation of a successful program relies on a strategic planning process, which will result in a well-designed needs assessment; the selection of policies and programs with evidence of effectiveness or a solid foundation in behavior change theory; specific goals and objectives; a summary that links each program and policy to specific objectives; and allocation of sufficient resources to ensure full implementation of the program.<sup>7</sup>

Prevention and early intervention initiatives should be designed to reduce both individual and environmental risk factors and enhance protective factors in specific populations and settings. There are a number of features that effective prevention programs share. Specifically, they are targeted; designed to effect long-term change; strengthen the natural support systems of family, school, and community; and can document their success in meeting stated goals and objectives.<sup>8</sup>

Institutions of higher education have considerable experience in educational- and individual-based prevention programs on campuses, and these strategies are necessary in order to provide a comprehensive array of prevention programming on campus. However, they are insufficient alone to create systemic, long-lasting change on college campuses. ED is interested in projects that incorporate individual-based strategies into a broader and more comprehensive approach.

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<sup>6</sup> The Higher Education Center for Alcohol and Other Drug Abuse and Violence Prevention. Interpersonal Violence and Alcohol and Other Drug Use. Infofacts Resources, 2002.

<sup>7</sup> DeJong, W. Experiences in Effective Prevention. The U.S. Department of Education's Alcohol and Other Drug Prevention Models on College Campuses Grants. The Higher Education Center for Alcohol and Other Drug Abuse and Violence Prevention, U.S. Department of Education, 2007.

<sup>8</sup> New York State Office of Alcoholism and Substance Abuse Services. Healthy Campus Communities: NYS College Alcohol and Other Drug Abuse Prevention Manual, 2003.

Research strongly supports the use of comprehensive, integrated programs with multiple complementary components that target individuals, including at-risk or alcohol-dependent drinkers; the student population as a whole; and the college and the surrounding community.<sup>9</sup>

The evidence supporting prevention strategies varies, which does not mean that one strategy is better than another. Some strategies have not been as thoroughly studied as others or have not been evaluated for specific application to drinkers in college. The Task Force of the National Advisory Council on Alcohol Abuse and Alcoholism placed prevention strategies in tiers based on the evidence available to support or refute them.<sup>10</sup> Applicants that propose projects under Absolute Priority 1 of this grant competition should examine these tiers closely when identifying which strategies they plan to incorporate in their project design.

The concept of responsible drinking is much more complicated than it appears in preventing high-risk drinking among college students. There are many factors involved, including what was drunk and how rapidly; what, if anything, was eaten; and environmental factors. Furthermore, as people drink, their ability to make an unimpaired decision is lessened by the amount of alcohol consumed. Responsible drinking messages are at least mixed and potentially misleading, which can result in a neutral, if not negative impact on preventing high-risk drinking among college students. Educational campaigns will be ineffective in campus environments that encourage drinking and deny or ignore the risks associated with drinking.<sup>11</sup>

ED is committed to assisting schools in providing students a safe environment in which to learn, and to keeping parents and students well informed about campus security. ED's Higher Education Center developed a framework that identifies the scope of campus violence problems, factors that cause and contribute to violence, and strategies to reduce health and safety problems. These strategies include using multiple, coordinated, and sustained approaches; drawing on existing research to determine which strategies work; building the necessary infrastructure to support prevention efforts, such as partnerships and institutional support; and evaluating whether the initiatives are achieving their intended outcomes.<sup>12</sup>

**Applicants must document the ability to start their project within 60 days after receiving federal funding. Experience shows that there is an increased likelihood that projects will show success if applicants are able to start a project soon after receiving federal funding. Applicants that are not able to demonstrate their readiness to implement a project are unlikely to score well in this grant competition. Projects supported under this grant competition should be designed to demonstrate and document outcome measures over the two-year grant period.**

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<sup>9</sup> National Institute on Alcohol Abuse and Alcoholism. [A Call to Action: Changing the Culture of Drinking at U.S. Colleges](#). U.S. Department of Health and Human Services, 2002.

<sup>10</sup> See number 9.

<sup>11</sup> See number 8.

<sup>12</sup> Langford, L. [Preventing Violence and Promoting Safety in Higher Education Settings: Overview of a Comprehensive Approach](#). The Higher Education Center for Alcohol and Other Drug Abuse and Violence Prevention, U.S. Department of Education, 2004.

For effective prevention programs, ED strongly encourages colleges and universities to:

- design programs based on a thorough needs assessment of objective data;
- establish a set of measurable goals and objectives linked to identified needs;
- implement prevention activities that research or evaluation have shown to be effective in preventing high-risk drinking or violent behavior;
- use evaluation results to refine, improve, and strengthen the program and refine goals and objectives as appropriate; and
- include meaningful and ongoing input from parents in the development of the application and implementation of the project.

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

An additional resource of lessons learned is the publication, *Experiences in Effective Prevention*, (2007), which highlights core elements of effective campus-based alcohol and other drug abuse prevention programs. This publication, available online at: [www.higheredcenter.org/pubs/effective-prevention.pdf](http://www.higheredcenter.org/pubs/effective-prevention.pdf), is based on the experiences of 22 grantee institutions recognized as having model programs from 1999 to 2004 through the U.S. Department of Education's Alcohol and Other Drug Prevention Models on College Campuses Grant Competition.

Highlighting core elements derived from the 22 model programs, this publication may be used as a valuable resource as you develop, implement, and evaluate your school's alcohol and other drug abuse prevention efforts. Regardless of the strategies and/or models used, there is a need for the campus community to be certain that it is proper for that particular setting. An institution must assess its needs, identify the most appropriate research-based strategies to address those needs, and adapt those strategies to the unique qualities of the campus. Taking these steps helps to ensure that the campus's prevention program is a tailored fit to the institution's vision for academic excellence.

## **EVALUATION REQUIREMENTS**

Evaluation is a powerful tool that supports program planning and an understanding of effective strategies to prevent high-risk drinking or violent behavior among college students. Therefore, applicants must propose to implement an evaluation of their efforts, using outcome-based performance measures that document the effectiveness of the project's strategies. Applications that include only process measures (e.g., attendance at meetings) will not be funded.

Keep in mind that what constitutes convincing evidence of success may differ from one project to the next. In preparing the project design and evaluation plan, applicants are encouraged to carefully review information from similar projects and the research literature to determine what has or has not been shown to be successful. This information should be reflected in the project

design. Applicants also should include a description of all evaluation instruments they intend to use. The evaluation plan should demonstrate both qualitative and quantitative measures.

This grant competition requires projects to implement an evaluation that uses specific outcome-based performance indicators to measure the project's effectiveness. Although it is anticipated that applicants may use a variety of both outcome-based and process measures, all applicants must use outcomes-based performance measures that are related to the prevention and reduction of high-risk drinking or violent behavior among college students, including the appropriate GPRA performance measure identified on pages 14-15 of this application package.

#### Outcome-Based Performance Measures

Examples of outcome-based performance indicators may include, but are not limited to:

- changes in alcohol sales and service techniques and policies in social or commercial hosting situations that cater to students;
- decreases in the overall quantity and frequency of high-risk drinking;
- changes in the number of violence-related disciplinary actions;
- increases in the development of state or local policies that are designed to decrease high-risk alcohol use or incidents of violence; and
- changes in the number of alcohol-related incidents or problems.

#### Process Measures

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

- increases in the percentage of undergraduate beds in alcohol-free residence halls;
- decreases in the percentage of advertisements promoting high-risk drinking;
- increases in the number and frequency of alcohol-free social activities;
- increases in the percentage of individuals involved in violence prevention efforts; and
- increases in the number of individuals participating in responsible beverage service training.

### **Funding Priority**

Under 34 CFR 75.105(c)(3), we consider only applications that meet **either, not both**, of the following absolute priorities. **Applicants that choose to address both of the absolute priorities must submit separate applications for consideration.** In making awards under this grant program, we may take into consideration the geographic distribution of the projects in addition to the rank order of applicants. Contingent upon the availability of funds, we may make additional awards in fiscal year 2009 and subsequent years from the list of nonfunded applications from this competition.

**Absolute Priority #1: Develop or Enhance, Implement, and Evaluate Campus- and/or Community-Based Strategies to Prevent High-Risk Drinking Among College Students**

**Note:** "High-risk drinking" is defined as those situations that may involve but not be limited to: binge drinking (commonly defined as five or more drinks on any one occasion); underage drinking; drinking and driving; situations when one's condition is already impaired by another cause, such as depression or

emotional stress; and combining alcohol and medications, such as tranquilizers, sedatives, and antihistamines.

“Specific student populations” may include, but not be limited to student athletes, members of fraternities and sororities, students attending two-year institutions of higher education, and first-year students.

Under this absolute priority, grant applicants must:

1. identify a specific student population to be served by the grant and provide a justification for its selection;
2. provide evidence that a needs assessment has been conducted on campus to document prevalence rates related to high-risk drinking by the population selected;
3. set measurable goals and objectives for the proposed project and provide a description of how progress toward achieving the goals and objectives will be measured annually;
4. design and implement prevention strategies, using student input and participation, that research has shown to be effective in preventing high-risk drinking by the target population;
5. use a qualified evaluator to design and implement an evaluation of the project using outcomes-based (summative) performance indicators related to behavioral change and process (formative) measures that assess and document the strategies used; and
6. demonstrate the ability to start the project within 60 days after receiving federal funding in order to maximize the time available to show impact within the grant period.

<p><b>Absolute Priority #2: Develop or Enhance, Implement, and Evaluate Campus- and/or Community-Based Strategies to Prevent Violent Behavior Among College Students</b></p>
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Under this absolute priority, grant applicants must:

1. identify a specific student population to be served by the grant and provide a justification for its selection;
2. provide evidence that a needs assessment has been conducted on campus to document prevalence rates related to violent behavior;
3. set measurable goals and objectives for the proposed project and provide a description of how progress toward achieving the goals and objectives will be measured annually;
4. design and implement prevention strategies, using student input and participation, that research has shown to be effective in preventing violent behavior among college students;
5. use a qualified evaluator to design and implement an evaluation of the project using outcomes-based (summative) performance indicators related to behavioral change and

process (formative) measures that assess and document the strategies used; and

6. demonstrate the ability to start the project within 60 days after receiving federal funding in order to maximize the time available to show impact within the grant period.

## **Selection Criteria**

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

- 1) Need for Project - 15 points
- 2) Significance - 20 points
- 3) Quality of the Project Design - 30 points
- 4) Quality of Project Personnel - 10 points
- 5) Quality of the Project Evaluation - 25 points

### **1. Need for Project (15 points)**

- A. The magnitude or severity of the problem to be addressed by the proposed project. (10 points)
- B. The extent to which specific gaps or weaknesses in services, infrastructure, or opportunities have been identified and will be addressed by the proposed project, including the nature and magnitude of those gaps or weaknesses. (5 points)

In your proposal, reviewers will look at how the magnitude or severity of high-risk drinking or violent behavior was determined, including needs assessment data, instruments used, and the instrument's validity. Reviewers will look to answer questions such as: Does the same problem(s) affect other college communities around the nation? Have attempts to remedy the situation been made by the applicant in the past and, if so, with what results?

### **2. Significance (20 points)**

- A. The likelihood that the proposed project will result in system change or improvement. (5 points)
- B. The potential contribution of the proposed project to the development and advancement of theory, knowledge, and practices in the field of study. (10 points)
- C. The extent to which the proposed project involves the development or demonstration of promising new strategies that build on, or are alternatives to, existing strategies. (5 points)

In your proposal, reviewers will look for evidence that project activities will lead to system change or improvement at the local, state, or national level. Reviewers will look for any evidence that you can provide to illustrate how your project differs from and/or improves upon previous efforts. Reviewers will look to answer questions such as: What could be the local, state, or national consequences of the project's successful completion? Are other college communities likely to benefit or learn from your experience in ways that would enable them to improve their policies and programs?



It is the applicant's responsibility to set a context within which reviewers can assess the project's importance to the higher education community. ED seeks to make the most of its limited funds by supporting projects that can become models for other college communities.

**3. Quality of the Project Design (30 points)**

- A. The extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable. (10 points)
- B. The extent to which the design of the proposed project is appropriate to, and will successfully address, the needs of the target population or other identified needs. (5 points)
- C. The extent to which the design of the proposed project reflects up-to-date knowledge from research and effective practice. (10 points)
- D. The extent to which the proposed project will establish linkages with other appropriate agencies and organizations providing services to the target population. (5 points)

Reviewers will look for evidence that your project's goals and objectives are clearly identified and measurable. You should explain and footnote the conceptual framework underlying your proposed project. Broad approaches to vaguely defined problems will not be funded. Your application should reflect current knowledge about high-risk drinking or violence prevention strategies, and the applicability of those strategies to the defined target population.

Also, reviewers will look for evidence that this project develops or enhances linkages with appropriate agencies or organizations providing services to the target population. If you are not based on a campus (e.g., a public or private nonprofit organization or individual), reviewers will look for evidence that you have direct access to a campus and the specific student population identified in your proposal.

**4. Quality of Project Personnel (10 points)**

- A. The extent to which the applicant encourages applications for employment from persons who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability. (3 points)
- B. The qualifications, including relevant training and experience, of key project personnel. (7 points)

Applicants should include an outline of all key personnel, including the project director, project coordinator, and project evaluator. Most helpful to the reviewers is a brief narrative summary of each individual's background, with a special emphasis on those experiences related to the focus of your project. Resumes or curriculum vitae should be included as an appendix. Reviewers will look for evidence of your institution's commitment to equal employment opportunities.

**5. Quality of the Project Evaluation (25 points)**

- A. The extent to which the methods of evaluation are thorough, feasible, and appropriate to the goals, objectives, and outcomes of the proposed project. (10 points)
- B. The extent to which the methods of evaluation include the use of objective performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data to the extent possible. (10 points)
- C. The extent to which the methods of evaluation will provide performance feedback and permit periodic assessment of progress toward achieving intended outcomes. (5 points)

See the section on Evaluation Requirements (pages 21-22) for guidance on what reviewers will look for under this criterion.

## Frequently Asked Questions

*What is the goal of this grant competition?*

- The goal of this grant competition is to provide funds to develop or enhance, implement, and evaluate campus- and/or community-based prevention and early intervention strategies to prevent high-risk drinking or violent behavior among college students.

*Who is eligible to apply?*

- This grant competition is open to institutions of higher education, consortia thereof, public and private nonprofit organizations, including faith-based organizations, and individuals. If an application is submitted on behalf of a consortium, one entity must serve as the grantee.

**Note: This grant competition limits eligibility to applicants that do not currently have an active grant under this program. For the purpose of this eligibility requirement, a grant is considered active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds (71 FR 70369).**

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

- January 30, 2009.

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

- Up to 24 months. Projects will be funded for one year with an option for an additional year, contingent upon substantial progress by the grantee and the availability of funds. Project periods are expected to begin by July 1, 2009.

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

- The Administration has requested \$2,447,000 for new awards under this program for FY 2009. The actual level of funding, if any, depends on final congressional action. This figure is only an estimate and does not bind the Department to any specific level of funding.

*How many new awards will be made?*

- It is estimated that **18 new awards** will be made.

*Should we address both of the funding priorities for this competition?*

Under 34 CFR 75.105(c) (3), we consider only applications that meet **either, NOT both**, of the funding absolute priorities. **Applicants that choose to address both of the absolute priorities must submit separate applications for consideration.** In making awards under this grant

program, we may take into consideration the geographic distribution of the projects in addition to the rank order of applicants. Refer to pages 22-24 for a full discussion of the funding priorities.

### **Budget Information**

*What is the average amount of each grant?*

- Projects will be funded for approximately \$100,000 to \$150,000 per year depending on the scope of work. These figures are only estimates and do not bind the Department of Education to a specific number of grants or amount of any grant.

*Is there a matching requirement?*

- No.

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

- No. For this grant competition, you may charge indirect costs using the rate negotiated with your cognizant federal agency (e.g., Department of Education, Department of Health and Human Services, Department of the Interior). Individuals who apply for any grant competition through the Department of Education are not allowed to budget for an indirect cost rate.

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

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

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

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

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

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

*Does my application have to address both of the absolute priorities?*

- No. However, in order for your application to be considered, it must address at least one of the two priorities. Applicants that choose to address both of the absolute priorities must submit a separate application for each. **You should consider the primary behavior (i.e., high-risk drinking or violent behavior) your proposed project is designed to prevent in determining which priority to choose.**

*What is the definition of “high-risk drinking” in this grant competition?*

- “High-risk drinking” is defined as those situations that may involve but not be limited to: binge drinking (commonly defined as five or more drinks on any one occasion); underage drinking; drinking and driving; situations when one’s condition is already impaired by another cause, such as depression or emotional stress; and combining alcohol and medications, such as tranquilizers, sedatives, and antihistamines.

*Under each of the two absolute priorities of this grant competition, applicants are required to identify a specific student population to be served by the grant and provide a justification for its selection. What does “specific student population” mean?*

- A “specific student population” may include, but not be limited to, student athletes, members of fraternities and sororities, students attending two-year institutions of higher education, and first-year students.

*Can I select high school students as a “specific student population”?*

- No. Providing services to high school students is outside the absolute priority of this grant competition, and applicants should not include such services in their proposals.

*What forms of violent behavior should applicants address under Absolute Priority #2?*

- Absolute Priority #2 does not specify the type of violent behavior among college students that is to be prevented. Forms of violent behavior that are of concern on college campuses include rape and sexual assault; nonsexual physical assault, such as fights, muggings, and hazing; and hate crimes. Applicants can use their own discretion based on the needs of their campus community in determining what specific forms of violent behavior will be addressed in their respective proposals.

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

**Yes. Applications that do not clearly address all six required elements of the absolute**

**priority addressed will be deemed ineligible.**

### **Application Transmittal Information**

*Do I have to submit my application electronically?*

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

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

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

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

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

If you electronically submit an application after 4:30:00 p.m. (Washington, DC time) on the application deadline date, please contact: Amalia Cuervo (at 202-245-7881) of the Office of Safe and Drug-Free Schools and provide an explanation of the technical problem you experienced with Grants.gov, along with the Grants.gov Support Desk Case Number. We will accept your application if we can confirm that a technical problem occurred with the Grants.gov system and that that problem affected your ability to electronically submit your application by 4:30:00 p.m. (Washington, DC time) on the application deadline date. ED will contact you after a determination is made on whether your application will be accepted.

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

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

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

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

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

*Does Grants.gov support Word 2007?*

- The new version of Microsoft Word saves documents with the extension .docx. The Grants.gov system does not process Microsoft Word documents with the extension .docx. When submitting Microsoft Word attachments to Grants.gov, please use the version of Microsoft Word that ends in .doc. If any of the documents included in the application are saved with the .docx extension, **the entire application will be rejected by Grants.gov**. If you have any questions regarding this matter, please e-mail the Grants.gov Contact Center at support@grants.gov or call 800/518-4726.

*I submitted my application by the deadline via Grants.gov. Am I finished?*

- No, do not assume that you are finished. If you submit your application via Grants.gov, there is a two-step validation process. Within two days of submitting your grant application, you will receive two e-mail messages. The first e-mail will confirm receipt of your application by the Grants.gov system. The second e-mail will indicate whether your application was successfully validated by the system or if it was rejected due to errors. You should track your application via the Grants.gov system to determine the progress of your application until the system shows a “Validated” or “Rejected” status, or until you receive the e-mail indicating that it was successfully validated or rejected.

*What if I have not received a validation by the closing date?*

- If you submit your application within two days prior to the application transmittal deadline, you may not receive your validation or rejection notification until after the closing date. We recommend that if you have not received the two e-mail notifications indicating receipt and validation by 4:30:00 p.m. (Washington, DC time) on the application deadline date, then

print your application and mail a hard copy of it, adhering to the hard copy application submission procedures and requirements written in this application. For example, cover pages with signatures must be included in hard copy applications and cannot be faxed later.

*What are some of the reasons I won't receive a validation from Grants.gov?*

- You submitted your application after the application transmittal deadline date and time.
- The E-Business Point of Contact at your organization did not respond to the registration e-mail from Grants.gov and authorize you as an Authorized Organization Representative (AOR).
- You did not provide the D-U-N-S Number on your application (SF-424 form) that was used when you registered as an AOR.
- You uploaded a file type that is not compatible with Grants.gov.
- You did not fill out all of the mandatory fields in the application package.

Additional reasons that Grants.gov may reject an application can be found on the Grants.gov Web site: [www.grants.gov/applicants/applicant\\_faqs.jsp#54](http://www.grants.gov/applicants/applicant_faqs.jsp#54). We also suggest reading all of the FAQs on Grants.gov ([www.grants.gov/help/submit\\_application\\_faqs.jsp#10](http://www.grants.gov/help/submit_application_faqs.jsp#10)) to provide you with additional information to assist with your submission.

### **General Information**

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

Amalia Cuervo, LPC  
U.S. Department of Education  
550 12<sup>th</sup> Street SW  
Washington DC, 20202-6450  
Telephone: (202) 245-7881  
Fax: (202) 485-0041  
E-mail: [PreventHRDV@ed.gov](mailto:PreventHRDV@ed.gov)

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

- Yes. You must contact the appropriate State Single Point of Contact to find out about, and to comply with, your state's process under Executive Order 12372, and include a copy of your letter to the State Single Point of Contact with your application. For more information about this requirement, see the Intergovernmental Review of Federal Programs section in this application package. **To view a list of states (and the State Single Point of Contact), which participate in the intergovernmental review process, visit:** [www.whitehouse.gov/omb/grants/spoc.html](http://www.whitehouse.gov/omb/grants/spoc.html).

On the Application for Federal Assistance (Standard Form 424), you also must check the appropriate box in Item 19. Specifically, check box (a) and provide the date on which you made your application available to the State Single Point of Contact for review **or** check box



(b) if the State Single Point of Contact indicated that they will not review the application.  
**Note:** Do not check box (c) since this grant program is covered by Executive Order 12372.

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

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

## **Drug Abuse and Violence Prevention Resource List**

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

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

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

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

Langford, Linda, Preventing Violence and Promoting Safety in Higher Education Settings: Overview of a Comprehensive Approach. The Higher Education Center for Alcohol and Other Drug Abuse and Violence Prevention, U.S. Department of Education, 2004.

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

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

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

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### III. LEGAL AND REGULATORY DOCUMENTS

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**Notice Inviting Applications  
Federal Register Publication Date – December 15, 2008**

4000-01-U

DEPARTMENT OF EDUCATION

Office of Safe and Drug-Free Schools

Overview Information

Grant Competition to Prevent High-Risk Drinking or Violent  
Behavior Among College Students

Notice inviting applications for new awards for fiscal year (FY)  
2009.

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

**Dates:**

**Applications Available:** [INSERT DATE OF PUBLICATION IN THE  
**FEDERAL REGISTER].**

Deadline for Transmittal of Applications: January 30, 2009.

Deadline for Intergovernmental Review: April 1, 2009.

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program: The Grant Competition to Prevent High-Risk  
Drinking or Violent Behavior among College Students provides  
awards to develop or enhance, implement, and evaluate campus-  
and/or community-based strategies to prevent high-risk drinking  
or violent behavior among college students.

Priorities: These priorities are from the notice of final priorities and selection criteria for this program, published in the Federal Register on December 27, 2000 (65 FR 82224-82226), and the correction notice published in the Federal Register on January 10, 2001 (66 FR 1963) (collectively, the Notice of Final Priorities and Selection Criteria).

Absolute Priorities: For FY 2009 and any subsequent year in which we make awards based on the list of unfunded applications from this competition, these priorities are absolute priorities. Under 34 CFR 75.105(c) (3) we consider only applications that meet either of these absolute priorities.

These priorities are:

Absolute Priority One--Develop or Enhance, Implement, and Evaluate Campus- and/or Community-Based Strategies to Prevent High-Risk Drinking among College Students

Under this priority, applicants are required to:

(1) Identify a specific student population to be served by the grant and provide a justification for its selection;

(2) Provide evidence that a needs assessment has been conducted on campus to document prevalence rates related to high-risk drinking by the population selected;

(3) Set measurable goals and objectives for the proposed project and provide a description of how progress toward achieving the goals and objectives will be measured annually;

(4) Design and implement prevention strategies, using student input and participation, that research has shown to be effective in preventing high-risk drinking by the target population;

(5) Use a qualified evaluator to design and implement an evaluation of the project using outcomes-based (summative) performance indicators related to behavioral change and process (formative) measures that assess and document the strategies used; and

(6) Demonstrate the ability to start the project within 60 days after receiving Federal funding in order to maximize the time available to show impact within the grant period.

Absolute Priority Two--Develop or Enhance, Implement, and Evaluate Campus- and/or Community-Based Strategies to Prevent Violent Behavior among College Students

Under this priority, applicants are required to:

(1) Identify a specific student population to be served by the grant and provide a justification for its selection;

(2) Provide evidence that a needs assessment has been conducted on campus to document prevalence rates related to violent behavior;

(3) Set measurable goals and objectives for the proposed project and provide a description of how progress toward achieving the goals and objectives will be measured annually;

(4) Design and implement prevention strategies, using student input and participation, that research has shown to be effective in preventing violent behavior among college students;

(5) Use a qualified evaluator to design and implement an evaluation of the project using outcomes-based (summative) performance indicators related to behavioral change and process (formative) measures that assess and document the strategies used; and

(6) Demonstrate the ability to start the project within 60 days after receiving Federal funding in order to maximize the time available to show impact within the grant period.

Program Authority: 20 U.S.C. 7131.

Applicable Regulations: (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 79, 80, 81, 82, 84, 85, 86, 97, 98, 99, and 299.

(b) The Notice of Final priority and Selection criteria.

(c) The notice of final eligibility requirement published in the Federal Register on December 4, 2006 (71 FR 70369).

Note: The regulations in 34 CFR parts 79 apply to all applicants except federally recognized Indian tribes.

Note: The regulations in 34 CFR part 86 apply to Institutions of Higher Education (IHEs) only.

## II. Award Information

Type of Award: Discretionary grants.

Estimated Available Funds: The Administration has requested \$2,447,000 for awards for the Grant Competition to Prevent High-Risk Drinking or Violent Behavior Among College Students. The actual level of funding, if any, depends on final congressional action. However, we are inviting applications now to allow enough time to complete the grant process if Congress appropriates funds for this program. Contingent upon the availability of funds and the quality of applicants, we may make additional awards later in FY 2009 and subsequent fiscal years from the list of unfunded applicants from this competition.

Estimated Range of Awards: \$100,000 - \$150,000.

Estimated Average Size of Awards: \$136,000.

Estimated Number of Awards: 18.

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

Project Period: Up to 24 months.

### III. Eligibility Information

1. Eligible Applicants: IHEs, consortia thereof, public and private nonprofit organizations, including faith-based organizations, and individuals.

Note: The Secretary is limiting eligibility under the Grant Competition to Prevent High-Risk Drinking or Violent



Behavior among College Students (CFDA Number 84.184H) to applicants that do not currently have an active grant under this program. For the purpose of this eligibility requirement, a grant is considered active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds (71 FR 70369).

2. Cost Sharing or Matching: This program does not require cost sharing or matching.

#### IV. Application and Submission Information

1. Address to Request Application Package: You can obtain an application package via the Internet, from the Education Publications Center (ED Pubs), or from the program office.

To obtain a copy via the Internet, use the following address: [www.ed.gov/fund/grant/apply/grantapps/index.html](http://www.ed.gov/fund/grant/apply/grantapps/index.html)

To obtain a copy from ED Pubs, write, fax, or call the following: Education Publications Center, P.O. Box 1398, Jessup, MD 20794-1398. Telephone, toll-free: 1-877-433-7827. Fax: 301) 470-1244. If you use a telecommunications device for the deaf (TDD), call toll free: 1-877-576-7734.

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

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

To obtain a copy from the program office, contact: Amalia Cuervo, Office of Safe and Drug-Free Schools, U.S. Department of Education, 550 12th Street SW., room 10113, Washington, DC 20202. Telephone: 202-245-7881 or by e-mail: [amalia.cuervo@ed.gov](mailto:amalia.cuervo@ed.gov). If you use a TDD, call the Federal Relay Service (FRS), toll free, at 1-800-877-8339.

Individuals with disabilities can obtain a copy of the application package in an accessible format (e.g., Braille, large print, audiotape, or computer diskette) by contacting the program contact person listed in this section.

2. Content and Form of Application Submission:

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

3. Submission Dates and Times:

**Applications Available: [INSERT DATE OF PUBLICATION IN THE FEDERAL REGISTER].**

Deadline for Transmittal of Applications: January 30, 2009.

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

electronically, or in paper format by mail or hand delivery, please refer to section IV. 6. Other Submission Requirements of this notice.

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

Individuals with disabilities who need an accommodation or auxiliary aid in connection with the application process should contact the person listed under For Further Information Contact in section VII of this notice. If the Department provides an accommodation or auxiliary aid to an individual with a disability in connection with the application process, the individual's application remains subject to all other requirements and limitations in this notice.

Deadline for Intergovernmental Review: April 1, 2009.

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

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

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

a. Electronic Submission of Applications.

We are participating as a partner in the governmentwide Grants.gov Apply site. The Grant Competition to Prevent High-Risk Drinking or Violent Behavior among College Students, CFDA Number 84.184H, is included in this project. We request your participation in Grants.gov.

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

You may access the electronic grant application for the Grant Competition to Prevent High-Risk Drinking or Violent Behavior among College Students at [www.Grants.gov](http://www.Grants.gov). You must search for the downloadable application package for this competition by the CFDA number. Do not include the CFDA number's alpha suffix in your search (e.g., search for 84.184, not 84.184H).

Please note the following:

- Your participation in Grants.gov is voluntary.

- When you enter the Grants.gov site, you will find information about submitting an application electronically through the site, as well as the hours of operation.

- Applications received by Grants.gov are date and time stamped. Your application must be fully uploaded and submitted and must be date and time stamped by the Grants.gov system no later than 4:30:00 p.m., Washington, DC time, on the application deadline date. Except as otherwise noted in this section, we will not accept your application if it is received - that is date and time stamped by the Grants.gov system after 4:30:00 p.m., Washington, DC time, on the application deadline date. We do not consider an application that does not comply with deadline requirements. When we retrieve your application from Grants.gov, we will notify you if we are rejecting your application because it was date and time stamped by the Grants.gov system after 4:30:00 p.m., Washington, DC time, on the application deadline date.

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

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

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

annual basis. This may take three or more business days to complete.

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

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

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

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

- After you electronically submit your application, you will receive from Grants.gov an automatic notification of receipt that contains a Grants.gov tracking number. (This notification indicates receipt by Grants.gov only, not receipt

by the Department.) The Department then will retrieve your application from Grants.gov and send a second notification to you by e-mail. This second notification indicates that the Department has received your application and has assigned your application a PR/Award number (an ED-specified identifying number unique to your application).

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

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

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

If you submit an application after 4:30:00 p.m., Washington, DC time, on the application deadline date, please



contact the person listed under For Further Information Contact in section VII of this notice and provide an explanation of the technical problem you experienced with Grants.gov, along with the Grants.gov Support Desk Case Number. We will accept your application if we can confirm that a technical problem occurred with the Grants.gov system and that that problem affected your ability to submit your application by 4:30:00 p.m., Washington, DC time, on the application deadline date. The Department will contact you after a determination is made on whether your application will be accepted.

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

b. Submission of Paper Applications by Mail.

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

U.S. Department of Education  
Application Control Center  
Attention: CFDA Number 84.184H  
LBJ Basement Level 1  
400 Maryland Avenue, SW  
Washington, DC 20202-4260

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

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

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

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

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

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

c. Submission of Paper Applications by Hand Delivery.

If you submit your application in paper format by hand delivery, you (or a courier service) must deliver the original and two copies of your application by hand, on or before the application deadline date, to the Department at the following address:

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

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

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

(1) You must indicate on the envelope and--if not provided by the Department--in Item 11 of the SF 424 the CFDA number, including suffix letter, if any, of the competition under which you are submitting your application; and

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

## V. Application Review Information

1. Selection Criteria: The selection criteria for this program are from the notice of final priorities and selection criteria for this program and are listed in the application package.

2. Review and Selection Process: An additional factor we may consider in selecting an application for an award is the geographic distribution of the projects, in addition to the rank order of applicants.

## VI. Award Administration Information

1. Award Notices: If your application is successful, we notify your U.S. Representative and U.S. Senators and send you a Grant Award Notice (GAN). We may notify you informally, also.

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

2. Administrative and National Policy Requirements: We identify administrative and national policy requirements in the application package and reference these and other requirements in the Applicable Regulations section of this notice.

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

3. Reporting: At the end of your project period, you must submit a final performance report, including financial information, as directed by the Secretary. If you receive a multi-year award, you must submit an annual performance report that provides the most current performance and financial expenditure information as directed by the Secretary under 34 CFR 75.118. The Secretary may also require more frequent performance reports under 34 CFR 75.720(c). For specific requirements on reporting, please go to:  
[www.ed.gov/fund/grant/apply/appforms/appforms.html](http://www.ed.gov/fund/grant/apply/appforms/appforms.html)

4. Performance Measures: Under Government Performance and Results Act of 1993 (GPRA) the Department has established the following performance measures for the Grant Competition to Prevent High-Risk Drinking or Violent Behavior among College Students: (1) the percentage of grantees that achieve a five percent decrease in high-risk drinking among students served by the project (Absolute Priority One) and (2) the percentage of grantees that achieve a five percent decrease in violent behavior among students served by the project (Absolute Priority Two). These measures constitute the Department's indicator of success for this program. Consequently, we advise an applicant for a grant under this program to give careful consideration to these measures in conceptualizing the approach and evaluation for its proposed project. Each grant will be required to

provide, in its annual performance and final reports, data about its progress in meeting these measures.

## VII. Agency Contact

For Further Information Contact: Amalia Cuervo, Office of Safe and Drug-Free Schools, U.S. Department of Education, 550 12th Street SW., room 10113, Washington, DC 20202. Telephone: 202-245-7881 or by e-mail: [amalia.cuervo@ed.gov](mailto:amalia.cuervo@ed.gov).

If you use a TDD, call the FRS, toll free, at 1-800-877-8339.

## VIII. Other Information

Accessible Format: Individuals with disabilities can obtain this document and a copy of the application package in an accessible format (e.g., Braille, large print, audiotape, or computer diskette) on request to the program person listed under For Further Information Contact in section VII of this notice.

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

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

To use PDF you must have Adobe Acrobat Reader, which is available free at this site. If you have questions about using

PDF, call the U.S. Government Printing Office (GPO), toll free, at 1-888-293-6498; or in the Washington, DC, area at (202) 512-1530.

You can view this document in text or PDF at the following site, also: [www.ed.gov/programs/dvphighrisk/applicant.html](http://www.ed.gov/programs/dvphighrisk/applicant.html)

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

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

Dated:

\_\_\_\_\_/S/\_\_\_\_\_  
Deborah A. Price,  
Assistant Deputy Secretary  
for Safe and Drug-Free Schools

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

Subpart 2-National Programs

### SEC. 4121. FEDERAL ACTIVITIES.

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

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

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



## IV. GENERAL APPLICATION INSTRUCTIONS AND INFORMATION

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### Preparing the Application

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

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

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

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

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

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

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

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

All applicants should adhere to the following formatting guidelines:

- Use 1-inch margins. If you submit your application in paper format by mail or hand delivery, your application must be printed on 8 1/2” by 11” paper.
- Use consistent font no smaller than 12-point type throughout your document. You may use boldface type, underlining, and italics; however, do not use colored text.

- For the project narrative, your application should consist of the number and text of each selection criterion followed by the narrative. The text of the selection criterion, if included, does not count against any page limitation.
- Place a page number at the bottom right of each page beginning with 1, and number your pages consecutively throughout your document, beginning with the Abstract and ending with the Appendices. **Note:** Do not paginate any of the forms.

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

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

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

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

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

## **Organizing the Application**

### Supplemental Instructions for Standard Form 424

**1. Application for Federal Assistance (SF Form 424):** Use the Application for Federal Assistance and the Department of Education Supplemental Information for SF 424. This is the title page of your application. Be sure that Item 10 identifies the CFDA Number for this grant competition: 84.184H and the Title as Grant Competition to Prevent High-Risk Drinking or Violent Behavior among College Students.

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

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

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

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

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

**4. Budget Narrative:** Use the Budget Information Form (ED Form 524) form provided in the required forms section of this application package to prepare a budget for the project. **Note:** A budget must be submitted for each year in which funds are requested (up to 2 years). Failure to supply a budget and narrative for each year of the project will result in no funding for those years.

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

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

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

costs may be applied only to the first \$25,000 of each subcontract, regardless of the period covered by the subcontract.

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

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

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

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

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

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

This section **must** include the following:

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

This section **may** include the following:

- Other information the applicant wishes to include in support of its capacity, experience, and readiness to undertake the proposed project, including:
- Resumes of key personnel. If personnel have yet to be hired for this proposed project, include a narrative description of expected staff qualifications.

- Letters of commitment that reflect each person’s awareness of their role in the proposed project. Each letter should indicate a willingness to put forth the necessary time and effort to make the project work efficiently and effectively.
- Relevant prior grant experience.

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

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

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

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

## **Instructions for Standard Forms**

- Application for Federal Assistance (Standard Form 424)
- Department of Education Supplemental Form for the Standard Form 424
- Department of Education Budget Information – Non-Construction Programs (ED Form 524)
- Disclosure of Lobbying Activities (Standard Form LLL)
- Survey Instructions on Ensuring Equal Opportunity for Applicants (nonprofit private organizations only)

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

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

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

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

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

	<b>a. Legal Name:</b> (Required): Enter the legal name of applicant that will undertake the assistance activity. This is the name that the organization has registered with the Central Contractor Registry. Information on registering with CCR may be obtained by visiting the Grants.gov website.		17.	<b>Proposed Project Start and End Dates:</b> (Required) Enter the proposed start date and end date of the project.
	<b>b. Employer/Taxpayer Number (EIN/TIN):</b> (Required): Enter the Employer or Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.		18.	
	<b>c. Organizational DUNS:</b> (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting the Grants.gov website.			
	<b>d. Address:</b> Enter the complete address as follows: Street address (Line 1 required), City (Required), County, State (Required, if country is US), Province, Country (Required), Zip/Postal Code (Required, if country is US).		19.	
	<b>e. Organizational Unit:</b> Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the assistance activity, if applicable.			
	<b>f. Name and contact information of person to be contacted on matters involving this application:</b> Enter the name (First and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.		20.	
9.	Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.		21.	<b>Authorized Representative:</b> (Required) To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required) title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant.  A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)
	A. State Government B. County Government C. City or Township Government D. Special District Government E. Regional Organization F. U.S. Territory or Possession G. Independent School District H. Public/State Controlled Institution of Higher Education I. Indian/Native American Tribal Government (Federally Recognized) J. Indian/Native American Tribal Government (Other than Federally Recognized) K. Indian/Native American Tribally Designated Organization L. Public/Indian Housing Authority	M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education) N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education) O. Private Institution of Higher Education P. Individual Q. For-Profit Organization (Other than Small Business) R. Small Business S. Hispanic-serving Institution T. Historically Black Colleges and Universities (HBCUs) U. Tribally Controlled Colleges and Universities (TCCUs) V. Alaska Native and Native Hawaiian Serving Institutions W. Non-domestic (non-US) Entity X. Other (specify)		



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

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

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

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

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

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

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

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

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

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

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

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

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

### Definitions:

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

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

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

### PROTECTION OF HUMAN SUBJECTS IN RESEARCH

#### I. Definitions and Exemptions

##### A. Definitions.

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

##### —Research

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

##### —Human Subject

The regulations define human subject as “a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information.” (1) *If an activity involves obtaining information about a living person by manipulating that person or that*

*person's environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met. (2) If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met.* [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

##### B. Exemptions.

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

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

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

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

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

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

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

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

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

### A. Exempt Research Narrative.

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

### B. Nonexempt Research Narrative.

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

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

disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable.

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

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

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

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

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

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

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

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

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

General Instructions

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

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

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

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

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

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

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

**Indirect Cost Information:**

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

Section B - Budget Summary  
Non-Federal Funds

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

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

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

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

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

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

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

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

4. Provide other explanations or comments you deem necessary.

#### Paperwork Burden Statement

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

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

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

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

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

## Instructions for Survey on Ensuring Equal Opportunity for Applicants

Provide the applicant's (organization) name and D-U-N-S number and the grant name and CFDA number.

1. Self-explanatory.
2. Self-identify.
3. Self-identify.
4. 501(c)(3) status is a legal designation provided on application to the Internal Revenue Service by eligible organizations. Some grant programs may require nonprofit applicants to have 501(c)(3) status. Other grant programs do not.
5. Self-explanatory.
6. For example, two part-time employees who each work half-time equal one full-time equivalent employee. If the applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.
7. Annual budget means the amount of money your organization spends each year on all of its activities.

### **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 1890-0014. The time required to complete this information collection is estimated to average five (5) 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 time estimate(s) or suggestions for improving this form, please write to:** The Agency Contact listed in this grant application package.

## **Intergovernmental Review of Federal Programs**

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

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

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

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

Any state process recommendation and other comments submitted by a State Single Point of Contact and any comments from state, area-wide, regional, and local entities must be received by April 1, 2009 at the following address: The Secretary, EO 12372—CFDA #84.184H, U.S. Department of Education, 400 Maryland Avenue, SW, Room 7W300, Washington, DC 20202-0124. Recommendations or comments may be hand-delivered until 4:30:00 p.m. (Eastern Time) on April 1, 2009. Please do not send applications to this address.

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

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

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

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

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



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

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

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

### **Examples**

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

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

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

### **Estimated Public Reporting Burden**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for the GEPA 427 is OMB No. 1890-0007. The time required to complete GEPA 427 is estimated to average 1.5 hours per response, including the time to review instructions, search existing data sources, gather and maintain the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate or suggestions for improving this form, please write to: U.S. Department of Education, Washington, DC 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to: U.S. Department of Education, Office of Safe and Drug-Free Schools, 550 12<sup>th</sup> Street SW, Room 10113, PCP, Washington DC 20202.

## Application Preparation Checklist

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

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

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

Deadline Date: **January 30, 2009**. See Sections I and IV of this application package for complete application transmittal instructions and general application instructions and information.

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

- Application for Federal Assistance (SF Form 424) - Page 1
- Department of Education Supplemental Information Form for the SF 424
- Project Abstract - Page 2 (one page maximum)
- Project Narrative (up to 25 pages double-spaced)
- All applications must include the required forms, assurances, and certifications, including:
  - Budget Information Form (ED Form 524) and detailed budget narrative
  - Assurances, Non-Construction Programs (ED Form 424B)
  - Certification Regarding Lobbying (ED Form 80-0013)
  - Disclosure of Lobbying Activities (Standard Form–LLL)
- Narrative response to GEPA 427
- Survey on Ensuring Equal Opportunity for Applicants (private, nonprofit organizations only)
- Copy of letter to State Single Point of Contact (see page 56)
- Proof of federally negotiated indirect cost rate (if you are claiming indirect costs)
- Resumes of key personnel
- Letters of commitment

## **Paperwork Burden Statement**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is OMB No. 1894-0006, Expiration date: 09/30/2011. The time required to complete this information collection is estimated to average 32 hours per response, including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection.

If you have any comments concerning the accuracy of the time estimate or suggestions for improving this form, please write to:

U.S. Department of Education  
400 Maryland Avenue, SW  
Washington, DC 20202-4651.

If you have comments or concerns regarding the status of your individual submission of this form, write directly to:

U.S. Department of Education  
Office of Safe and Drug-Free Schools  
550 12th Street SW  
Washington, DC 20202-6450.