

Elementary and Secondary School Counseling Program Grant Competition

CFDA #84.215E

Information and Application Procedures for Fiscal Year 2008

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

Application Deadline: January 28, 2008



Frequently Asked Questions
Pages 25-28

U.S. 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 the Elementary and Secondary School Counseling Program (84.215E) administered by the U.S. Department of Education's Office of Safe and Drug-Free Schools.

This grant competition will provide funds to local educational agencies (LEAs), including charter schools that qualify as an LEA, to enable schools to develop promising and innovative approaches for initiating or expanding counseling programs in elementary and secondary schools. Each program will contribute to the personal growth, educational development, and the emotional well-being of students at this critical time in their lives.

This year, for the first time, we anticipate funds for counseling programs in elementary schools, secondary schools or both.

We look forward to receiving your application for support under the Elementary and Secondary School Counseling Program.

Sincerely,

A handwritten signature in black ink, appearing to read "Deborah A. Price".

Deborah A. Price
Assistant Deputy Secretary

TABLE OF CONTENTS

I. APPLICATION SUBMISSION PROCEDURES7

Application Transmittal Instructions
Grants.gov Submission Procedures and Tips for Applicants

II. PROGRAM BACKGROUND INFORMATION.....11

General Information
The Government Performance and Results Act (GPRA)
Tips for Preparing and Submitting an Application
Elementary and Secondary School Counseling Program Background
Funding Priority
Selection Criteria
Program Specific Assurances
Frequently Asked Questions
Elementary and Secondary School Counseling Resource List

III. LEGAL AND REGULATORY DOCUMENTS30

Notice Inviting Applications
Authorizing Legislation – No Child Left Behind Act of 2001

IV. GENERAL APPLICATION INSTRUCTIONS AND INFORMATION ...43

Preparing the Application
Organizing the Application
Instructions for Executive Order 12372
General Education Provisions Act (GEPA) Section 427
Required Standard Forms and Instructions
Application Preparation Checklist

I. APPLICATION SUBMISSION PROCEDURES

Application Transmittal Instructions

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

Attention Electronic Applicants: Please note that you must follow the application procedures as described in the Notice Inviting Applications for this grant competition, published in the Federal Register on December 13, 2007. Some programs may require electronic submission of applications and those programs will have specific requirements and waiver instructions in the Federal Register notice.

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

Applications Submitted Electronically

You must submit your grant application through the Internet using the software provided on the Grants.gov Web site (www.grants.gov) 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 13, 2007, the Grants.gov Submission Procedures and Tips document on pages 8-10 of this application package, and the Grants.gov Web site (www.grants.gov).

You may access the electronic application for the Elementary and Secondary School Counseling Program grant competition at the following Web sites: www.grants.gov or <http://www.ed.gov/programs/elseccounseling/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 # 84.215E, 400 Maryland Avenue, SW, Washington, DC 20202-4260.

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

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

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

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

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

Applications Delivered by Commercial Carrier

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

You must mail the original and two copies of the application on or before the deadline date. To help expedite our review of your application, we would appreciate your voluntarily including an additional copy of your application. Applications that are delivered by commercial carrier, such as Federal Express or United Parcel Service should be mailed to: U.S. Department of Education, Application Control Center – Stop 4260, Attention: CFDA #84.215E, 7100 Old Landover Road, Landover, MD 20785-1506.

Applications Delivered by Hand

You or your courier must hand deliver the original and two copies of your application by 4:30 p.m. (Washington, DC time) on or before the deadline date. To help expedite our review of your application, we would appreciate your voluntarily including an additional copy of your application. Please hand deliver copies to: U.S. Department of Education, Application Control Center, Attention: CFDA #84.215E, 550 12th Street, SW, PCP – Room 7041, Washington, DC 20202-4260. The Application Control Center accepts application deliveries daily between 8:00 a.m. and 4:30:00 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 (ED).

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

2. **Submit Early** – We strongly recommend that you do not wait until the last day to submit your application. Grants.gov will put a date and time stamp on your application and then process it after it is fully uploaded. The time it takes to upload an application will vary depending on a number of factors including the size of the application and the speed of your Internet connection, and the time it takes Grants.gov to process the application will vary as well. If Grants.gov rejects your application (see step 3 below), you will need to resubmit successfully before 4:30:00 p.m. (Washington, DC time) on the deadline date. **Note:** To submit successfully, you must provide the D-U-N-S Number on your application that was used when your organization registered with the CCR.
3. **Verify Submission is OK** – You will want to verify that Grants.gov and ED received your Grants.gov submission timely and that it was validated successfully. To see the date and time your application was received, log in to Grants.gov and click on the Track My Application link. For a successful submission, the date and time received should be 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 that Grants.gov may reject an application can be found on the Grants.gov site (www.grants.gov/help/submit_application_faqs.jsp#10). For more detailed information on why an application may be rejected, please review the Application Error Tips document (www.grants.gov/section910/ApplicationErrorTips.pdf). If you discover that your application is late or has been rejected, please see the instructions below.

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

Submission Problems – What should you do?

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

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

If electronic submission is required, you must submit an electronic application 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 for help with Grants.gov. For additional tips related to submitting grant applications, please refer to the Grants.gov Submit Application FAQs found on Grants.gov (www.grants.gov/help/submit_application_faqs.jsp).

Dial-Up Internet Connections

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

MAC Users

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

II. PROGRAM BACKGROUND INFORMATION

General Information

Eligibility

This competition limits eligibility to local education agencies (LEAs), including charter schools that are considered LEAs under State law, that do not currently have an active elementary and secondary school counseling grant. 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).

Authority

This grant program is authorized under Title V, Part D, Subpart 2, Section 5421 of the Elementary and Secondary Education Act of 1965, as amended by the No Child Left Behind Act of 2001 (PL 107-110).

Official Documents Notice

The official document governing this competition is the Notice Inviting Applications published in the Federal Register on December 13, 2007 (See Section III --[Legal and Regulatory Documents] of this application package). This notice also is available electronically at the following Web sites: www.ed.gov/legislation/FedRegister and www.gpoaccess.gov/nara.

Applicable Regulations

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

- 34 CFR Part 75 (Direct Grant Programs)
- 34 CFR Part 77 (Definitions that Apply to Department Regulations)
- 34 CFR Part 79 (Intergovernmental Review of Department of Education Programs and Activities)
- 34 CFR Part 80 (Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments)
- 34 CFR Part 81 (General Education Provisions Act—Enforcement)
- 34 CFR Part 82 (New Restrictions on Lobbying)
- 34 CFR Part 84 (Government Wide Requirements for Drug-Free Workplace)
- 34 CFR Part 85 (Government Wide Debarment and Suspension)
- 34 CFR Part 97 (Protection of Human Subjects)
- 34 CFR Part 98 (Student Rights in Research, Experimental Programs, and Testing)
- 34 CFR Part 99 (Family Educational Rights and Privacy)
- 34 CFR Part 299 (General Provisions)

Assistance

Questions related to the requirements of this grant competition should be directed to Loretta McDaniel (202-260-2661; email Loretta.Mcdaniel@ed.gov) of the Office of Safe and Drug-Free Schools (OSDFS). The OSDFS Web site is located at www.ed.gov/osdfs

Project Period

The project period for these grants is 36 months (3 budget periods of 12 months each). Projects will be funded for one year with an option for two additional years contingent upon substantial progress by the grantee and the availability of future funds. **Note: Applicants must submit ED Form 524 and a detailed budget narrative for each year that funding is requested.**

Estimated Award Information

Section 5421(g)(1) of ESEA requires that if the amount of funds made available for this program equals or exceeds \$40,000,000, the Secretary shall award not less than \$40,00,000 to enable LEAs to establish or expand counseling programs in elementary schools. Therefore, if the amount available for this program in fiscal year (FY) 2008 exceeds \$40,000,000, amounts in excess of \$40,000,000 may be used for elementary or secondary school counseling programs or both.

Note: We will use the highest grade an applicant proposes to serve under its grant to determine if the application will be considered for funding from amounts available for elementary school counseling programs only or from amounts available for elementary or secondary school counseling programs (or both), along with the applicant State's law that defines what grade levels constitute an elementary school in the State.

We estimate we will make 50 new awards. Projects will be funded for approximately \$250,000 to \$400,000 depending on the scope of work. These figures are only estimates and do not bind ED to a specific number of grants or amount of any grant. Contingent upon the availability of funds and the quality of applications, we may make additional awards in FY 2008 and FY 2009 based on the list of unfunded applications from this competition.

Maximum Award

Grants awarded under this program may not exceed \$400,000 for any fiscal year. Cost of living increases, indirect costs rate calculations, or other proposed costs cannot be used to exceed the maximum award cap of \$400,000.

Supplement, Not Supplant

Funds made available under this program must be used to supplement and not supplant, other Federal, State, or local funds used for providing school-based counseling and mental health services to students.

Limitation on Administrative Costs

Not more than 4 percent of the grant award in any fiscal year may be used to administrative costs to carry out the program.

Matching Funds

This program does not require a matching contribution from the grantee, however, if you propose matching funds, we will monitor the grant to ensure the match is met and you will be expected to report annually on the matching funds as well as federal funds.

Project Director

Applicants must provide the name of the person who will serve as project director and indicate the percentage of the person's time that will be devoted to the grant.

Travel Budget

Applicants must budget for the project director and one additional staff member to attend the Office of Safe and Drug-Free Schools National Conference in year two of the grant. For planning purposes, applicants should include funds for transportation, lodging for two nights and three days, and per diem costs. Also, applicants must budget for one person to attend the Project Director's Meeting in year one of the grant project. Applicants should include funds for transportation, lodging for one night, and per diem costs. Both meetings will be in Washington, DC.

E-Mail Addresses

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

Review of Applications and Notification of Award

The review of applications and notification of awards for this grant competition requires approximately 8 to 10 weeks depending on the number of applications we receive. We expect to notify successful applicants by late June 2008. Unsuccessful applicants will be notified within 60 days after awards are announced.

Human Subjects Research Activities

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

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.

Contracting for Services

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

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

Consistent with the limitations in Section 75.515 of EDGAR concerning the use of consultants, contractors or consultants may be used to help prepare grant applications, but their participation in the application development process should not be presumed to result in the receipt of a contract for work under the project if a grant is awarded. Applicants may include in their budget a reasonable sum for costs to prepare the grant application. This sum should be based on an appropriate hourly rate of pay and may be charged only in the first year of the grant.

The Government Performance and Results Act (GPRA)

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

As required by GPRA, the Department of Education (ED) has developed a strategic plan that reflects organizational priorities and integrates those with our mission and program authorities. We also have developed GPRA measures for the individual programs we administer, including Elementary and Secondary School Counseling Program. The GPRA measures for this program are:

1. The percentage of grantees closing the gap between their student/mental health professional ratios and the student/mental health professional ratios recommended by the statute.
2. The average number of referrals per grant site for disciplinary reasons in schools participating in the program.

The GPRA measures constitute the way in which the Department 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 will be expected to collect and report data to the Department in their annual performance report and final performance reports (www.ed.gov/fund/grant/apply/appforms/ed524b_coverfill.pdf and www.ed.gov/fund/grant/apply/appforms/ed524b_statusfill.pdf). We will aggregate data provided by grantees for these GPRA measures and use these data for a variety of purposes, including developing future budget proposals and improving the performance of the program. We also will share this performance data with Congress, and may publish results from individual grants to illustrate how grant sites are making progress toward program objectives.

Applicants must provide baseline data for the GPRA measures as part of their application. Please use the most recent data available and indicate the year in which the data was collected. Below is a sample table for each GPRA measure. Applicants are not required to use the tables and may provide the information in any other suitable format.

GPRA 1: The percentage of grantees closing the gap between their student/mental health professional ratios and the student/mental health professional ratios recommended by the statute.

Schools Participating in the grant	Number of students	Number of mental health professionals on staff at the time of application
XYZ Elementary School	275	0
ABC Elementary School	350	0.5
JKL Elementary School	535	1
Totals	1,160	1.5

GPRA 2: The average number of referrals per grant site for disciplinary reasons in schools participating in the program.

Schools Participating in the grant	Number of students	Number of disciplinary referrals at the time of application
XYZ Elementary School	275	22
ABC Elementary School	350	45
JKL Elementary School	535	63
Totals	1,160	130

Tips for Preparing and Submitting an Application

A. Before You Begin

- Read this application package carefully and make sure you follow all of the instructions.
- Use the tools we have provided to help you including:
 - ✓ Frequently Asked Questions section in this application package
 - ✓ Resources related to this specific grant competition on our Web site at <http://www.ed.gov/programs/elseccounseling/index.html>
 - ✓ General grant application technical assistance resources on our Web site at www.ed.gov/admins/grants/apply/techassist/index.html
- If there is information that you do not understand, contact 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 for each year of funding requested, so ED staff can easily determine how the funds will be spent.
- Link your planned expenditures to the goals and objectives of your program. Do not request funds for miscellaneous purposes and make sure you demonstrate that your proposed expenditures are necessary to carry out your program.

C. Submitting Your Application

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

D. What Happens Next?

- If you submit your application by mail, you should receive a postcard in approximately two weeks (depending on the volume of applications that we receive) from ED's Application Control Center acknowledging receipt of your application and giving you its assigned number. If you submit your application electronically, the PR/Award number will be generated automatically when you submit your application. Please refer to this PR/Award number if you need to contact us about your application.
- OSDFS staff members screen each application to ensure that all program eligibility requirements are met and all forms are included.
- Your application will be assigned to a three-person panel of independent reviewers and will receive a score from 0 to 100 depending how well it addresses the selection criteria.

- A Grant Award Notification will be sent to applicants whose proposals score within the funding range. Unsuccessful applicants will receive a notification letter.

Elementary and Secondary School Counseling Program Background

Since fiscal year 2000, the Elementary and Secondary School Counseling Program has provided resources to LEAs to develop promising and innovative approaches for initiating or expanding elementary school counseling programs. This year, for the first time, we will provide funds for counseling programs in elementary or secondary schools or both. The need for these programs is clear. According to the American Psychological Association nearly 21% of U.S. children ages 9 to 17 are thought to have a diagnosable mental or addictive disorder, but only one in five of these children receives mental health services.¹

In addition, high dropout rates, bullying, and increased levels of high-risk and other violent behaviors, including suicide and homicide, occur in many schools across the country. The human and economic toll of inadequately addressing these mental health problems is significant according to the American Academy of Pediatrics. Untreated mental health disorders lead to higher rates of juvenile incarcerations, school dropout, family dysfunction, drug abuse, and eventual unemployment.

Properly implemented, school-based programs can provide prevention and needed intervention services. They can also help to remove barriers to accessing mental health services and improve coordination.²

Among the benefits of mental health and counseling services, according to the American Psychological Association are:

- Helping teachers improve classroom management and provide quality instruction to assist students in achieving high academic standards.
- Assisting students and their families to overcome personal problems or disabilities that affect students' academic achievement and relationships with peers, family members, and others.
- Responding to mental health needs of students, staff, and families related to incidents of school violence, crime, accidents, terrorist activities, or other traumatic events in the school and community.
- Working with teachers and other staff to develop and implement targeted or school-wide programs to improve school functioning, school safety, and student mental health.
- Offering information and guidance on post-secondary education and training options, and assisting students and their families in meeting the financial requirements for post-secondary education.³

¹ American Psychological Association, "Elementary and Secondary School Counseling Program," April 2002
<http://www.apa.org/ppo/issues/peseacouns03.html>

² Taras, Howard L., et al, "School-Based Mental Health Services," PEDIATRICS Vol. 113 No. 6 June 2004, American Academy of Pediatrics Policy Statement, pps.1839-1845

³ American Psychological Association, *ibid*.

The Elementary and Secondary School Counseling Program supports the hiring and training of qualified school counselors, school psychologists, child and adolescent psychiatrists, and school social workers; provides greater student access to beneficial counseling services; and identifies effective strategies for providing counseling services to elementary and secondary school students that show potential for replication and dissemination.

The statute requires that we give special consideration to applications that demonstrate the greatest need for new or additional counseling services, that propose the most promising and innovative approaches for initiating and expanding school counseling, and that show the greatest potential for replication and dissemination. We are implementing this requirement by providing a significant emphasis on these three issues in the selection criteria described later in this application package.

Absolute Priority

For FY 2008 and any subsequent year in which we make awards from the list of unfunded applicants from this competition, this priority is an absolute priority. Under 34 CFR 75.105(c)(3), we consider only applications that meet this priority. This priority is: Establish or expand counseling programs in elementary schools, secondary schools, or both.

Definitions

The following definitions apply to this competition:

Local Educational Agency (LEA) – a public board of education or other public authority legally constituted within a State for either administrative control of or direction of, or to perform service functions for, public elementary or secondary schools. Additional information can be found in EDGAR Part 77.

Elementary school – an elementary school is a day or residential school that provides elementary education, as determined under State law (EDGAR Part 77).

Secondary school – a secondary school is a day or residential school that provides secondary education, as determined under State law (EDGAR Part 77). Under CFR part 77, a secondary school is a day or residential school that provides secondary education as determined under State law. In the absence of State law, the Secretary may determine, with respect to that State, whether the term includes education beyond the twelfth grade.

Child and Adolescent Psychiatrist -- individual who (a) possesses State medical licensure; and (b) has completed residency training programs in both general psychiatry and child and adolescent psychiatry.

Other Qualified Psychologist -- an individual who (a) has demonstrated competence in counseling children in a school setting and (b) who is licensed in psychology by the State in which the individual works; and (c) practices in the scope of the individual's education, training, and experience with children in school settings.

School Counselor -- an individual who (a) has documented competence in counseling children and adolescents in a school setting and who is (b) licensed by the State or certified by an independent professional regulatory authority; (c) in the absence of such State licensure or certification, possesses national certification in school counseling or a specialty of counseling granted by an independent professional organization; or (d) holds a minimum of a master's degree in school counseling from a program accredited by the Council for Accreditation of Counseling and Related Educational Programs or the equivalent.

School Psychologist -- an individual who (a) has completed a minimum of 60 graduate semester hours in school psychology from an institution of higher education and has completed 1,200 clock hours in a supervised school psychology internship, of which 600 hours are in the school setting and (b) is licensed or certified in school psychology by the State in which the individual works; or (c) in the absence of such State licensure or certification, possesses national certification by the National School Psychology Certification Board.

School Social Worker -- an individual who (a) holds a master's degree in social work from a program accredited by the Council on Social Work Education; and (b) is licensed or certified by the State in which services are provided; or (c) in the absence of such State licensure or certification, possesses a national credential or certification as a school social work specialist granted by an independent professional organization.

Application Requirements

Each program funded under this section shall--

- (A) be comprehensive in addressing the counseling and educational needs of all students;
- (B) use a developmental, preventive approach to counseling;
- (C) increase the range, availability, quantity, and quality of counseling services in the elementary schools and secondary schools of the local educational agency;
- (D) expand counseling services through qualified school counselors, school social workers, school psychologists, other qualified psychologists, or child and adolescent psychiatrists;
- (E) use innovative approaches to increase children's understanding of peer and family relationships, work and self, decision making, or academic and career planning, or to improve peer interaction;
- (F) provide counseling services in settings that meet the range of student needs;
- (G) include in-service training appropriate to the activities funded under this Act for teachers, instructional staff, and appropriate school personnel, including in-service training in appropriate identification and early intervention techniques by school counselors, school social workers, school psychologists, other qualified psychologists, and child and adolescent psychiatrists;
- (H) involve parents of participating students in the design, implementation, and evaluation of the counseling program;
- (I) involve community groups, social service agencies, or other public or private entities in collaborative efforts to enhance the program and promote school-linked integration of services;

(J) evaluate annually the effectiveness and outcomes of the counseling services and activities assisted under this section;

(K) ensure a team approach to school counseling in the schools served by the local educational agency by working toward ratios recommended by the American School Health Association of 1 school counselor to 250 students, 1 school social worker to 800 students, and 1 school psychologist to 1,000 students; and

(L) ensure that school counselors, school psychologists, other qualified psychologists, school social workers, or child and adolescent psychiatrists paid from funds made available under this section spend a majority of their time counseling students or in other activities directly related to the counseling process.

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 - 25 points
- 2) Quality of the Project Design -35 points
- 3) Quality of the Project Personnel - 20 points
- 4) Quality of the Project Evaluation - 20 points

1. Need for Project (25 points)

In determining the need for the proposed project, the following factors are considered:

- A. The magnitude of the need for the services to be provided or the activities to be carried out by the proposed project. (15 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. (10 points)

Reviewers will look at the magnitude of the need for counseling services among the target population. Applicants must describe the school population to be served by the grant, the counseling needs of that population, and the current barriers to meeting school counseling needs.

2. Quality of the Project Design (35 points)

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

- A. The extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable. (15 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 clearly described activities, services, and training to be provided by the program and the specific approaches to be used to meet the counseling needs of the target population, including those of diverse cultural populations, if applicable. Reviewers will also consider the extent to which the proposed project is based on effective strategies identified in research as well as how the project will involve community groups, social service agencies, and other public and private entities in collaborative efforts to enhance the counseling program and promote school-linked services integration.

3. Quality of Project Personnel (20 points)

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

- 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. (10 points)
- B. The qualifications, including relevant training and experience, of key project personnel. (10 points)

Reviewers will look for evidence that the applicant has the personnel qualified to develop, implement, and administer the proposed project, including the project evaluation.

Note: Applicants must sign the Program Specific Assurance form certifying their commitment to hire staff qualified according to the statutory requirements.

4. Quality of the Project Evaluation (20 points)

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

- A. The extent to which the methods of evaluation are thorough, feasible, measurable, 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. (5 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)

Reviewers will look for a detailed description of the evaluation plan that includes the methods to be used to evaluate the outcomes and effectiveness of the project, including the applicant's plan to address the Government Performance and Results (GPR) measures established for this program.

Applicants must provide baseline data for the GPR measures as part of their application. Please use the most recent data available and indicate the year in which the data was collected. See example chart for reporting GPR data on page 15.

PROGRAM SPECIFIC ASSURANCES

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

1. assure that the funds made available for any fiscal year will be used to supplement, and not supplant, any other Federal, State, or local funds used for providing school-based counseling and mental health services to students;
2. assure that the applicant will appoint an advisory board composed of interested parties, including parents, teachers, school administrators, and counseling service providers, and community leaders to advise the local educational agency on the design and implementation of the counseling program; and
3. assure that Federal funds will be used to establish or expand mental health services by hiring qualified school counselors, school social workers, school psychologists, other qualified psychologists, or child and adolescent psychiatrists and these professionals will spend a majority of their time counseling students or in other activities directly related to the counseling process as outlined in the program statute.

Signature of Authorized Certifying Official

Title

Applicant Organization

Date Submitted

Frequently Asked Questions

Can an LEA that currently has an ESSC grant to serve elementary schools submit an application to receive an additional award to serve secondary schools?

- No. Applicants that currently have an active grant to serve elementary schools in their district are not eligible to apply for a new award to serve secondary schools this year.

Can LEAs apply for funding to serve students at the secondary school/grade level?

- Yes, depending on the final appropriation for fiscal year 2008. If the amount available exceeds \$40,000,000, amounts in excess of \$40,000,000 may be used for elementary or secondary school counseling programs or both. Note: We will use the highest grade an applicant proposes to serve under its grant to determine if the application will be considered for funding from amounts available for elementary school counseling programs only or from amounts available for elementary or secondary school counseling programs (or both), along with the applicant State's law that defines what grade levels constitute an elementary school in the State.

My district is K-12. May we submit one application to serve both our elementary and our secondary school students?

- Yes, however, in order to ensure that the first \$40 million of available funds goes to support elementary school counseling programs, we would consider your application for funding only from the amount in excess of \$40 million. For example, if the appropriation this year is \$50 million, your application would be eligible to be funded from the \$10 million amount in excess of the \$40 million that is reserved for elementary school counseling programs.

May we submit two applications—one to serve our elementary school students and one to serve our secondary school students?

- Yes, you may submit two applications in this competition so long as you do not have a currently active grant under the elementary and secondary school counseling program.

Are we required to serve all of our students in elementary and secondary school?

- No, you may choose to serve any grades that you think are in need of counseling services.

Is there a maximum award amount for this competition?

- Yes, the authorizing statute caps awards at \$400,000 per year. Do not apply for more than the cap.

May I charge indirect costs under this grant?

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

Most LEAs have an indirect rate provided by their State Education Agency that may be used for this grant. Check with your finance office to see if your district has a rate. Note that the maximum award, including indirect costs, is \$400,000 per year.

Does this program use a restricted or unrestricted indirect cost rate?

- This program requires grantees to use a restricted indirect cost rate.

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?

- No, under EDGAR 75.515, a grantee must use its general policies and practices when it hires, uses, and pays a consultant as part of the project staff. Note, however, that grant funds may **not** be used to pay a consultant unless there is a need in the project for the services of that consultant and the grantee cannot meet that need by using an employee rather than a consultant.

What information should I include in my application?

- Complete instructions are given in the application package. Requested information includes:
 - ✓ results of a thorough needs assessment of objective data;
 - ✓ an established set of specific and measurable goals and objectives linked to identified needs as well as the GPRA measures identified for the program;
 - ✓ counseling strategies that research or evaluation has shown to be effective in providing counseling services to elementary school students only; and

- ✓ evaluation methods to refine, improve, and strengthen the program and refine goals and objectives as appropriate.

May I get an extension of the deadline date?

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

I plan to submit my application through Grants.gov. What will happen if I am unable to do so by the deadline?

- 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 on page 7 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 Loretta McDaniel (loretta.mcdaniel@ed.gov or 202-260-2661) 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 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.

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.

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.

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

- Any questions pertaining to this grant competition should be directed to Ms. Loretta McDaniel, Program Analyst, U.S. Department of Education, 400 Maryland Avenue, SW, Room 3E214, Washington, DC 20202-6450, Phone: 202-260-2661, Fax: 202-260-7767, Email: loretta.mcdaniel@ed.gov.

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

- If you are submitting your application electronically via Grants.gov, then you will need to provide these numbers. They can be located on the Grants.gov Web site on the application download page and also on the application package page once the package has been downloaded. If you are submitting a hard copy of your application, then you do not need to provide these numbers as they are used strictly for the electronic package submitted via Grants.gov.

Elementary and Secondary School Counseling Resource List

[American Counseling Association](http://www.counseling.org/) provides counseling professionals and educators with resources, services, products and information. <http://www.counseling.org/>

[American School Counselor Association \(ASCA\)](http://www.schoolcounselor.org/) allows the reader to search resources suggested by school counselors. <http://www.schoolcounselor.org/>

Collaborative for America, Social, and Emotional Learning:
http://www.casel.org/about_sel/WhatisSEL.php

[American Academy of Pediatrics](http://www.aap.org) promotes the attainment of optimal physical, mental, and social health and well-being for all infants, children, adolescents, and young adults. The Web site provides information related to child health, including mental health. <http://www.aap.org>

[American Psychological Association](http://www.apa.org) is a scientific and professional organization that represents psychology in the United States. <http://www.apa.org>

National Institute of Mental Health. Suicide facts and statistics:
www.nimh.nih.gov/suicideprevention/suifact.cfm

Preventing Child and Adolescent Mental Disorders: Research Roundtable of Economic Burden and Cost Effectiveness: www.nimh.nih.gov/scientificmeetings/economicroundtable.cfm

Rosman, E.A. Perry, D.F., & Hepburn, K.S. (2005). The Best Beginning: Partnerships Between Primary Health Care and Mental Health and Substance Abuse Services for Young Children and Their Families. Washington DC: Georgetown National Technical Assistance Center for Children's Mental Health.
http://gucchd.georgetown.edu/files/products_publications/TACenter/bestbeginfinal.pdf.

Substance Abuse and Mental Health Services Administration (2006). Results from the 2005 National Survey on Drug Use and Health: National Findings (Office of Applied Studies, NSDUH Series H-30, DHHS, Publication No. SMA 06-4194) Rockville MD.

President's New Freedom Commission on Mental Health (2003). Achieving the Promise: Transforming Mental Health Care in America. (DHHS Publication No.SMA-03-3832) Rockville, MD: SAMHSA

III. LEGAL AND REGULATORY DOCUMENTS

Notice Inviting Applications Federal Register Publication Date – December 13, 2007

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

Overview Information

Elementary and Secondary School Counseling Programs
Notice inviting applications for new awards for fiscal year (FY) 2008.

Catalog of Federal Domestic Assistance (CFDA) Number: 84.215E.

Dates:

Applications Available: December 13, 2007

Deadline for Transmittal of Applications: January 28, 2008

Deadline for Intergovernmental Review: March 27, 2008

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program: The purpose of the Elementary and Secondary School Counseling Program is to support efforts by local educational agencies (LEAs) to establish or expand elementary school and secondary school counseling programs.

Priority: In accordance with 34 CFR 75.105(b)(2)(iv), this priority is from section 5421 of the Elementary and Secondary Education Act of 1965, as amended by the No Child Left Behind Act of 2001 (ESEA) (20 U.S.C. 7245).

Absolute Priority: For FY 2008 and any subsequent year in which we make awards from the list of unfunded applicants from this competition, this priority is an absolute priority. Under 34 CFR 75.105(c)(3) we consider only applications that meet this priority. This priority is:
Establish or expand counseling programs in elementary schools, secondary schools, or both.

Definitions: The following definitions are from 34 CFR part 77 and apply to this competition:

Elementary school means a day or residential school that provides elementary education, as determined under State law.

Secondary school means a day or residential school that provides secondary education, as determined under State law. In the absence of State law, the Secretary may determine, with respect to that State, whether the term includes education beyond the twelfth grade.

Program Authority: 20 U.S.C. 7245.

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

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

II. Award Information

Type of Award: Discretionary grants.

Estimated Available Funds: The Administration's budget request for FY 2008 does not include funds for this program. However, we are inviting applications to allow enough time to complete the grant process before the end of the current fiscal year, if Congress appropriates funds for this program. Contingent upon the availability of funds and the quality of applications, we may make additional awards later in FY 2008 and in FY 2009 from the list of unfunded applicants from this competition.

Estimated Range of Awards: \$250,000 - \$400,000.

Estimated Average Size of Awards: \$350,000.

Maximum Award: \$400,000.

Note: Section 5421(a)(5) of ESEA limits the amount of a grant under this program in any one year to a maximum of \$400,000.

Estimated Number of Awards: 50.

Note: Section 5421(g)(1) of ESEA requires that for any fiscal year in which the amount of funds made available by the Secretary for this program equals or exceeds \$40,000,000, the Secretary shall award not less than \$40,000,000 to enable LEAs to establish or expand counseling programs in elementary schools. Under this notice applicants may propose projects that establish or expand counseling programs in elementary schools, secondary schools, or both.

Note: We will use the highest grade an applicant proposes to serve under its grant to determine if the application will be considered for funding from amounts available for elementary school counseling programs only or from amounts available for elementary or secondary school counseling programs (or both), along with the applicant State's law that defines what grade levels constitute an elementary school in the State.

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

Project Period: Up to 36 months.

III. Eligibility Information

1. Eligible Applicants: (a) LEAs, including charter schools that are considered LEAs under State law.

(b) LEAs that currently have an active grant under the Elementary and Secondary School Counseling Program are not eligible to apply for an award in this competition. For the purpose of this eligibility requirement, a grant is considered active until the end of the grant's

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

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

b. Supplement-Not-Supplant: This program has supplement-not-supplant funding requirements. Section 5421(b)(2)(G) of ESEA requires applicants under this program to assure that program funds will be used to supplement, and not supplant, any other Federal, State, or local funds used for providing school-based counseling and mental health services to students.

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:

<http://www.ed.gov/programs/elseccounseling/applicant.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 or at its e-mail address: edpubs@inet.ed.gov

If you request an application from ED Pubs, be sure to identify this program as follows: CFDA number 84.215E.

To obtain a copy from the program office, contact: Loretta McDaniel, U.S. Department of Education, 400 Maryland Avenue, SW., room 3E214, Washington, DC 20202-6450. Telephone: 202-260-2661 or by e-mail: Loretta.McDaniel@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 alternative 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: December 13, 2008.

Deadline for Transmittal of Applications: January 28, 2008.

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 in 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 in 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: March 27, 2008.

4. Intergovernmental Review: This program 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: Section 5421(d) of ESEA requires that no more than four percent of a grant award may be used for administrative costs to carry out the project. We reference additional regulations outlining funding restrictions in the Applicable Regulations section in 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.

To comply with the President's Management Agenda, we are participating as a partner in the Government-wide Grants.gov Apply site. The Elementary and Secondary School Counseling Program, CFDA Number 84.215E, is included in this project. We request your participation in Grants.gov.

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

You may access the electronic grant application for the Elementary and Secondary School Counseling Program at <http://www.grants.gov>. You must search for the downloadable application package for this program by the CFDA number. Do not include the CFDA number's alpha suffix in your search (e.g., search for 84.215, not 84.215E).

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 consider your application if it is date and time stamped by the Grants.gov system later than 4:30:00 p.m., Washington, DC time, on the application deadline date. When we retrieve your application from Grants.gov, we will notify you if we are rejecting your application because it was date and time stamped by the Grants.gov system after 4:30:00 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 http://www.grants.gov/applicants/get_registered.jsp). These steps include (1) registering your organization, a multi-part process that includes registration with the Central Contractor Registry (CCR); (2) registering yourself as an Authorized Organization Representative (AOR); and (3) getting authorized as an AOR by your organization. Details on these steps are outlined in the Grants.gov 3-Step Registration Guide (see <http://www.grants.gov/section910/Grants.govRegistrationBrochure.pdf>). You also must provide on your application the same D-U-N-S Number used with this registration. Please note that the registration process may take five or more business days to complete, and you must have completed all registration steps to allow you to submit successfully an application via Grants.gov. In addition you will need to update your CCR registration on an annual basis. This may take three or more business days to complete.

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

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

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

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

- After you electronically submit your application, you will receive from Grants.gov an automatic notification of receipt that contains a Grants.gov tracking number. (This notification

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

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

Application Deadline Date Extension in Case of Technical Issues with the Grants.gov System: If you are experiencing problems submitting your application through Grants.gov, please contact the Grants.gov Support Desk, 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 in 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 the 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 applicable following address:

By mail through the U.S. Postal Service:

U.S. Department of Education
Application Control Center
Attention: (CFDA Number 84.215E)
400 Maryland Avenue, SW.
Washington, DC 20202-4260
or

By mail through a commercial carrier:

U.S. Department of Education
Application Control Center, Stop 4260
Attention: (CFDA Number 84.215E)
7100 Old Landover Road

Landover, MD 20785-1506

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

- (1) A legibly dated U.S. Postal Service postmark.
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.
- (3) A dated shipping label, invoice, or receipt from a commercial carrier.
- (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 84.215E)
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 34 CFR 75.210 of EDGAR and are listed in the application package.

2. Review and Selection Process: Additional factors we consider in selecting an application for an award are from section 5421(a)(3) of ESEA, which requires an equitable geographic distribution among the regions of the United States and among LEAs located in urban, rural, and suburban areas.

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 in this notice.

We reference the regulations outlining the terms and conditions of an award in the Applicable Regulations section in 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 <http://www.ed.gov/fund/grant/apply/appforms/appforms.html>

4. Performance Measures: The Department has established the following Government Performance and Results Act of 1993 (GPRA) performance measures for the Elementary and Secondary School Counseling Program:

(1) the percentage of grantees closing the gap between their student/mental health professional ratios and the student/mental health professional ratios recommended by the statute; and (2) the average number of referrals per grant site for disciplinary reasons in schools participating in the program.

These measures constitute the Department's indicators 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 the applicant's proposed project. Each grantee will be required to provide, in its annual performance and final reports, data about the grantee's progress against these measures.

VII. Agency Contacts

For Further Information Contact: Loretta McDaniel, U.S. Department of Education, 400 Maryland Avenue, SW., room 3E214, Washington, DC 20202-6450. Telephone: 202-260-2661 or by e-mail: Loretta.McDaniel@ed.gov

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

VIII. Other Information

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

<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:

<http://www.ed.gov/programs/elseccounseling/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: <http://www.gpoaccess.gov/nara/index.html>

Dated:

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

Authorizing Legislation – No Child Left Behind Act of 2001

TITLE V – PROMOTING INFORMED PARENTAL CHOICE AND INNOVATIVE PROGRAMS

PART D – FUND FOR THE IMPROVEMENT OF EDUCATION

SEC. 5421. ELEMENTARY AND SECONDARY SCHOOL COUNSELING PROGRAMS

“(a) GRANTS AUTHORIZED-

“(1) IN GENERAL- The Secretary is authorized to award grants to local educational agencies to enable such agencies to establish or expand elementary school and secondary school counseling programs that comply with the requirements of subsection (c)(2).

“(2) SPECIAL CONSIDERATION- In awarding grants under this section, the Secretary shall give special consideration to applications describing programs that—

“(A) demonstrate the greatest need for new or additional counseling services among children in the schools served by the local educational agency, in part by providing information on current ratios of students to school counselors, students to school social workers, and students to school psychologists;

“(B) propose the most promising and innovative approaches for initiating or expanding school counseling; and

“(C) show the greatest potential for replication and dissemination.

“(3) EQUITABLE DISTRIBUTION- In awarding grants under this section, the Secretary shall ensure an equitable geographic distribution among the regions of the United States and among local educational agencies located in urban, rural, and suburban areas.

“(4) DURATION- A grant under this section shall be awarded for a period not to exceed 3 years.

“(5) MAXIMUM GRANT- A grant awarded under this section shall not exceed \$400,000 for any fiscal year.

“(6) SUPPLEMENT, NOT SUPPLANT- Funds made available under this section shall be used to supplement, and not supplant, other Federal, State, or local funds used for providing school-based counseling and mental health services to students.

“(b) APPLICATIONS-

“(1) IN GENERAL- Each local educational agency desiring a grant under this section shall submit an application to the Secretary at such time, in such manner, and accompanied by such information as the Secretary may reasonably require.

`(2) CONTENTS- Each application for a grant under this section shall--

`(A) describe the school population to be targeted by the program, the particular counseling needs of such population, and the current school counseling resources available for meeting such needs;

`(B) describe the activities, services, and training to be provided by the program and the specific approaches to be used to meet the needs described in subparagraph (A);

`(C) describe the methods to be used to evaluate the outcomes and effectiveness of the program;

`(D) describe how the local educational agency will involve community groups, social service agencies, and other public and private entities in collaborative efforts to enhance the program and promote school-linked services integration;

`(E) document that the local educational agency has the personnel qualified to develop, implement, and administer the program;

`(F) describe how diverse cultural populations, if applicable, will be served through the program;

`(G) assure that the funds made available under this subpart for any fiscal year will be used to supplement, and not supplant, any other Federal, State, or local funds used for providing school-based counseling and mental health services to students; and

`(H) assure that the applicant will appoint an advisory board composed of interested parties, including parents, teachers, school administrators, counseling services providers described in subsection (c)(2)(D), and community leaders, to advise the local educational agency on the design and implementation of the program.

`(c) USE OF FUNDS-

`(1) IN GENERAL- The Secretary is authorized to award grants to local educational agencies to enable the local educational agencies to initiate or expand elementary school or secondary school counseling programs that comply with the requirements of paragraph (2).

`(2) REQUIREMENTS- Each program funded under this section shall--

`(A) be comprehensive in addressing the counseling and educational needs of all students;

`(B) use a developmental, preventive approach to counseling;

`(C) increase the range, availability, quantity, and quality of counseling services in the elementary schools and secondary schools of the local educational agency;

`(D) expand counseling services through qualified school counselors, school social workers, school psychologists, other qualified psychologists, or child and adolescent psychiatrists;

`(E) use innovative approaches to increase children's understanding of peer and family relationships, work and self, decisionmaking, or academic and career planning, or to improve peer interaction;

`(F) provide counseling services in settings that meet the range of student needs;

`(G) include in-service training appropriate to the activities funded under this Act for teachers, instructional staff, and appropriate school personnel, including in-service training in appropriate identification and early intervention techniques by school counselors, school social

workers, school psychologists, other qualified psychologists, and child and adolescent psychiatrists;

`(H) involve parents of participating students in the design, implementation, and evaluation of the counseling program;

`(I) involve community groups, social service agencies, or other public or private entities in collaborative efforts to enhance the program and promote school-linked integration of services;

`(J) evaluate annually the effectiveness and outcomes of the counseling services and activities assisted under this section;

`(K) ensure a team approach to school counseling in the schools served by the local educational agency by working toward ratios recommended by the American School Health Association of 1 school counselor to 250 students, 1 school social worker to 800 students, and 1 school psychologist to 1,000 students; and

`(L) ensure that school counselors, school psychologists, other qualified psychologists, school social workers, or child and adolescent psychiatrists paid from funds made available under this section spend a majority of their time counseling students or in other activities directly related to the counseling process.

`(d) LIMITATION ON ADMINISTRATIVE COSTS- Not more than 4 percent of the amounts made available under this section for any fiscal year may be used for administrative costs to carry out this section.

`(e) DEFINITIONS- For the purpose of this section—

`(1) the term `child and adolescent psychiatrist' means an individual who--

`(A) possesses State medical licensure; and

`(B) has completed residency training programs in both general psychiatry and child and adolescent psychiatry;

`(2) the term `other qualified psychologist' means an individual who has demonstrated competence in counseling children in a school setting and who—

`(A) is licensed in psychology by the State in which the individual works; and

`(B) practices in the scope of the individual's education, training, and experience with children in school settings;

`(3) the term `school counselor' means an individual who has documented competence in counseling children and adolescents in a school setting and who--

`(A) is licensed by the State or certified by an independent professional regulatory authority;

`(B) in the absence of such State licensure or certification, possesses national certification in school counseling or a specialty of counseling granted by an independent professional organization; or

`(C) holds a minimum of a master's degree in school counseling from a program accredited by the Council for Accreditation of Counseling and Related Educational Programs or the equivalent;

`(4) the term `school psychologist' means an individual who--

`(A) has completed a minimum of 60 graduate semester hours in school psychology from an institution of higher education and has completed 1,200 clock hours in a supervised school psychology internship, of which 600 hours are in the school setting;

`(B) is licensed or certified in school psychology by the State in which the individual works; or

`(C) in the absence of such State licensure or certification, possesses national certification by the National School Psychology Certification Board; and

`(5) the term `school social worker' means an individual who--

`(A) holds a master's degree in social work from a program accredited by the Council on Social Work Education; and

`(B)(i) is licensed or certified by the State in which services are provided; or

`(ii) in the absence of such State licensure or certification, possesses a national credential or certification as a school social work specialist granted by an independent professional organization.

`(f) **REPORT-** Not later than 2 years after assistance is made available to local educational agencies under subsection (c), the Secretary shall make publicly available a report—

`(1) evaluating the programs assisted pursuant to each grant under this subpart; and

`(2) outlining the information from local educational agencies regarding the ratios of students to-

-

`(A) school counselors;

`(B) school social workers; and

`(C) school psychologists.

`(g) **SPECIAL RULE-**

`(1) **AMOUNT EQUALS OR EXCEEDS \$40,000,000-** If the amount of funds made available by the Secretary for this subpart equals or exceeds \$40,000,000, the Secretary shall award not less than \$40,000,000 in grants to local educational agencies to enable the agencies to establish or expand counseling programs in elementary schools.

`(2) **AMOUNT LESS THAN \$40,000,000-** If the amount of funds made available by the Secretary for this subpart is less than \$40,000,000, the Secretary shall award grants to local educational agencies only to establish or expand counseling programs in elementary schools.

IV. GENERAL APPLICATION INSTRUCTIONS AND INFORMATION

Preparing the Application

A completed application for assistance under this competition consists of two parts: a detailed narrative description of the proposed project and budget, and all forms and assurances that must be submitted in order to receive a grant. 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 and other drug abuse prevention or evaluation in higher education will review each eligible application submitted by the deadline. The panel will award points ranging from 0 to 100 to each application depending on how well the selection criteria are addressed. Be sure you provide a comprehensive response to each factor under each selection criterion. Applications that fail to do so will be read, but our experience suggests they may not score well enough to be funded.

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

- ED Abstract 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.

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

Organizing the Application

Supplemental Instructions for Standard Form 424

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

D-U-N-S NUMBER INSTRUCTIONS

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

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

Use the Application for Federal Assistance and the Department of Education Supplemental Information for SF 424. This is the title page of your application. Be sure that Item 10 identifies the CFDA Number for this grant competition: 84.215E and the Title as Elementary and Secondary School Counseling Program Grant Competition.

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

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

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

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

One-Page Abstract must be attached to the ED Abstract Narrative Attachment Form.

Program Narratives must be attached to the Program Narrative Attachment Form.

Budget Narratives must be attached to the Budget Narrative Attachment Form.

All appendices must be attached to the Other Narrative Attachment Form.

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

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

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

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

You must include a detailed budget narrative that supports and explains the information provided 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 project's goals, objectives, and activities. All expenditures must be necessary to carry out the goals and objectives of the project, reasonable for the scope and complexity of the project, and allowable under the terms and conditions of the grant and in accordance with government cost principles.

The Budget Information Form and accompanying narrative should provide enough detail for ED staff to easily understand how costs were determined and if the budget is commensurate with the scope of the project. **Note:** Failure to submit a detailed budget narrative may result in significant cuts to your request. If you submit your application via Grants.gov, attach this document to the **Budget Narrative Attachment Form**.

For this grant competition, you may charge indirect costs using the restricted negotiated rate 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. **Note:** Applicants should use the appropriate program or operations rate specified in their institution's federally-approved indirect cost rate agreement in their proposed project budgets. 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, ED will establish a temporary indirect cost rate for your project (i.e., 10 percent of the direct salaries and wages included in the budget for the project). Grantees will be allowed to draw at the temporary rate during the first 90 days after ED made the grant, as determined by the date of the Grant Award Notification. If a grantee does not submit an indirect cost rate proposal to its cognizant agency within that first 90 days, the grantee will not be allowed to draw any more funds for indirect costs until it obtains a federally recognized indirect cost rate from its cognizant agency. For more information about indirect cost rates, visit www.ed.gov/about/offices/list/ocfo/intro.html <<http://www.ed.gov/about/offices/list/ocfo/intro.html>>.

5. Forms and Appendices

- **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 or letters of commitment. The Grants.gov system will allow applicants to attach as many as 10 separate appendices in this section.

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

- The following items are **not** part of the appendices and **may not** be included:
 - Budget or program narrative information that the applicant wishes to have reviewed as part of its response to one or more scoring criteria—all such information must be included in the narrative portion of the application
 - Videotapes, CD-ROMs, photographs, or floppy disks—they will not be reviewed and we will not return them.
- This section **must** include the following:
 - GEPA 427, Equitable Access to and Participation in Federally Assisted Programs
 - Letter of Transmittal to State Single Point of Contact (if your state participates)
 - Proof of federally negotiated restricted 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.
 - Project work efficiently and effectively.
 - Relevant prior grant experience.
 - 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)

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.”

Intergovernmental Review of Federal Programs

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

Applicants must contact the appropriate State Single Point of Contact to find out about, and to comply with, the state's process under Executive Order 12372. Applicants proposing to perform activities in more than one state should immediately contact the Single Point of Contact for each of those states and follow the procedure established in each state under the Executive Order.

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

To view a list of states that participate in the intergovernmental review process, visit www.whitehouse.gov/omb/grants/spoc.html. States that are not listed have chosen not to participate in the intergovernmental review process, and therefore do not have a State Single Point of Contact. If you are located within one of these states, you are exempt from this requirement.

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

Any state process recommendation and other comments submitted by a State Single Point of Contact and any comments from state, area-wide, regional, and local entities must be received by March 27, 2008, at the following address: The Secretary, EO 12372—CFDA #84.215E, U.S. Department of Education, 400 Maryland Avenue, SW, Room 7W300, Washington, DC 20202-0124. Recommendations or comments may be hand-delivered until 4:30 p.m. (Eastern Time) on March 27, 2008. Please do not send applications to this address.

General Education Provisions Act (GEPA) Section 427

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

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

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

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

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

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

Examples

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

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

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

Estimated Public Reporting Burden

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

individual submission of this form, write directly to: U.S. Department of Education, Office of Safe and Drug-Free Schools, 400 Maryland Avenue, SW, Washington, DC 20202-6450.

Instructions for Standard Forms

- Application for Federal Assistance (Standard Form 424)
- Department of Education Supplemental Form (Standard Form 424)
- Department of Education Budget Information – Non-Construction Programs (ED Form 524)
- Assurances – Non – Construction Programs (Standard Form 424B)
- Grants.gov Lobbying Form (Certification Regarding Lobbying)
- Disclosure of Lobbying Activities (Standard Form LLL)

Instructions for Application for Federal Assistance (Standard Form 424)

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

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

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

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

	a. Legal Name: (Required): Enter the legal name of applicant that will undertake the assistance activity. This is the name that the organization has registered with the Central Contractor Registry. Information on registering with CCR may be obtained by visiting the Grants.gov website.		17.	Proposed Project Start and End Dates: (Required) Enter the proposed start date and end date of the project.
	b. Employer/Taxpayer Number (EIN/TIN): (Required): Enter the Employer or Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.		18.	
	c. Organizational DUNS: (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting the Grants.gov website.			
	d. Address: Enter the complete address as follows: Street address (Line 1 required), City (Required), County, State (Required, if country is US), Province, Country (Required), Zip/Postal Code (Required, if country is US).		19.	
	e. Organizational Unit: Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the assistance activity, if applicable.			
	f. Name and contact information of person to be contacted on matters involving this application: Enter the name (First and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.		20.	
9.	Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.		21.	Authorized Representative: (Required) To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required) title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant. A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)
	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 12th 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.

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.

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 28, 2008. See Sections I and IV of this application package for complete application transmittal instructions and general application instructions and information.

EACH COPY OF THE APPLICATION MUST INCLUDE THE FOLLOWING:

- Application for Federal Assistance (SF Form 424) - Page 1
- Department of Education Supplemental Information Form for the SF 424
- Project Abstract - Page 2 (one page maximum)
- Project Narrative (up to 25 pages double-spaced, font size 12)
- All applications must include the required forms, assurances, and certifications, including:
 - ED Supplemental (SF Form 424)
 - Budget Information Form (ED Form 524) and detailed budget narrative
 - Assurances, Non-Construction Programs (ED Form 424B)
 - Certification Regarding Lobbying (Grants.gov Lobbying Form)
 - Disclosure of Lobbying Activities (Standard Form–LLL)
 - Program Specific Assurances (See page 24)
- Narrative response to GEPA 427
- Copy of letter to State Single Point of Contact
- Proof of federally negotiated **restricted** indirect cost rate (if you are claiming indirect costs)
- Resumes of key personnel
- Letters of commitment