

**U.S. Department of Education  
Office of Elementary and Secondary Education  
Office of Safe and Healthy Students  
Washington, D.C. 20202-6450**

**Fiscal Year 2012**

**Application for New Grants Under  
the Elementary and Secondary School Counseling  
Programs**

**CFDA 84.215E**



**Dated Material - Open Immediately  
Closing Date: May 25, 2012**

**Approved OMB Number: 1894-0006  
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## **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: 1894-0006. The time required to complete this information collection is estimated to average 28 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection.

**If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** 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:** Lisa Harrison, Office of Safe and Healthy Students, U.S. Department of Education, 10<sup>th</sup> Floor, 550 12<sup>th</sup> Street, SW, Room 10070, Washington D.C. 20202-6450 or Loretta McDaniel, Office of Safe and Healthy Students, U.S. Department of Education, 10<sup>th</sup> Floor, 550 12<sup>th</sup> Street, SW, Room 10080, Washington D.C. 20202-6450.

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**United States Department of Education**  
OFFICE OF ELEMENTARY AND SECONDARY EDUCATION  
OFFICE OF SAFE AND HEALTHY STUDENTS

Dear Colleague:

Thank you for your interest in the Elementary and Secondary School Counseling Programs, administered by the Office of Elementary and Secondary Education of the U.S. Department of Education (Department). 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 grant project will contribute to the personal growth, educational development, and the social-emotional well-being of students at this critical time in their lives.

Please take the time to review the applicable priorities, selection criteria, and all of the application instructions thoroughly. An application will not be evaluated for funding if the applicant does not comply with all of the procedural rules that govern the submission of the application or the application does not contain the information required under the program (EDGAR §75.216 (b) and (c)).

This year's FY 2012 notice contains two absolute priorities and three competitive preference priorities.

For this competition it is **mandatory** for applicants to use the government-wide website, Grants.gov (<http://www.grants.gov>), to apply. Please note that the Grants.gov site works differently than the U.S. Department of Education's e-Application System. We strongly encourage you to familiarize yourself with Grants.gov and strongly recommend that you register *and* submit early.

Also be aware that applications submitted to Grants.gov for the Department of Education will now be posted using Adobe forms. Therefore, applicants will need to download the latest version of Adobe reader (at least Adobe Reader 8.1.2). Please review the **Submitting Applications with Adobe Reader Software and Education Submission Procedures and Tips for Applicants** forms found within this package for further information and guidance related to this requirement.

Using FY 2012 funds, the Department expects to award approximately \$21,305,000 for new grants under this competition. We will award discretionary grants on a competitive basis for a project period of up to 36 months. Grants are expected to be awarded in September.

Please visit our program website at <http://www.ed.gov/programs/elseccounseling/index.html> for further information. If you have any questions about the program after reviewing the application package, please contact Lisa Harrison by telephone at (202) 245-7873 or via email at [Lisa.Harrison@ed.gov](mailto:Lisa.Harrison@ed.gov) or Loretta McDaniel by telephone at (202) 245-7870 or via email at [Loretta.McDaniel@ed.gov](mailto:Loretta.McDaniel@ed.gov)

David Esquith  
Acting Director

## **ESSC Grant Fast Facts:**

Eligible Applicants: Local educational agencies (LEAs), i.e., public school districts, including charter schools that are considered LEAs under State law that do not have an active grant under this program (CFDA 84.215E), and consortia thereof.

Purpose: The purpose of the Elementary and Secondary School Counseling Programs is to support efforts by LEAs to establish or expand elementary and secondary school counseling programs.

Application Deadline Date: May 25, 2012

Application Submission: Applications must be submitted electronically via Grants.gov.

Project Period: Up to 36 months

Estimated Available Funds: \$21,305,000

Estimated Average Size of Awards: \$350,000

Maximum Award: \$400,000 per year (for each year of funding requested)

Estimated Number of Awards: 61

Competition Manager: Lisa Harrison, Email address: [Lisa.Harrison@ed.gov](mailto:Lisa.Harrison@ed.gov)  
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# Program Information

## *General Information*

From time to time, all children face challenges that can affect their learning and behavior. As such, when they arrive at school, some students also bring with them concerns such as stress over academics and grades, concerns about relationships with family, friends, or teachers, bullying or harassment, and/or more serious behavioral, health, or safety concerns. Moreover, during the course of their school years, it is estimated that one in five children and adolescents will experience a significant mental health problem.<sup>1</sup> While school systems are not responsible for meeting every need of their students, schools must meet the challenge when the need directly affects learning as these do.

Growing evidence shows that school-based initiatives to promote mental health can help students cope with these common issues, support healthy development, and improve educational outcomes.<sup>2</sup> To address barriers to learning, schools need to integrate resources into a comprehensive, cohesive continuum of support that promotes healthy, positive youth development and prevents problems, allows for early intervention to address problems as soon after onset and provides assistance to those with more chronic and severe problems.<sup>3</sup> To be truly effective and sustainable, it is recommended that school-based mental health services be linked to existing organizational structures in the school, coordinated with community-based resources to extend the continuum of care available to address more severe and acute needs, and evaluated based on data. Using a “public health framework,” these initiatives would encompass the development of multi-layered approaches, interventions, and services that address the continuum of student needs, including primary prevention and education, screening and detection, treatment, follow-up and crisis services, as well as case and systems management as necessary. The framework considers a variety of intervention points for meeting student needs, such as, policies around behavior and discipline, classroom management practices, protocols for referrals for screening and service provision, the manner in which students receive an array of supporting services, and efforts to ensure that all approaches and interventions undertaken are coordinated, culturally, linguistically, and developmentally appropriate, and evidence-based.

### **Building Protective Factors: Positive Youth Development**

Positive Youth Development is an approach that seeks to provide interactions and opportunities for youth to develop strong relationships, practice leadership skills, and develop self-efficacy skills. This strength-based approach, geared to address all students in a school, also seeks to build “protective factors,” which help children’s long-term capacity for positive behavior, social

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1 U.S. Department of Health and Human Services. (1999). *Mental Health: A report of the surgeon general*. Executive summary. Rockville, MD: National Institute of Mental Health.

2 Fleming, CB, Haggerty, KP, Brown, EC, Catalano, RF, Harachi, TW, Mazza, JJ, & Gruman, DH. Do social and behavioral characteristics targeted by preventive interventions predict standardized test scores and grades? 2005; *Journal of School Health* (75), 342-349.

3 Adelman, HA, & Taylor, L. (2006). *The current status of mental health in schools: A policy and practice brief*. UCLA School Mental Health Project; Los Angeles, CA.

competency, academic achievement and emotional well being.<sup>4</sup> Generally, there are several objectives of building these protective factors:

- Promote bonding;
- Foster resilience;
- Promote social competence;
- Promote emotional competence;
- Promote cognitive competence;
- Promote behavioral competence;
- Promote moral competence;
- Foster self-determination;
- Foster spirituality;
- Foster self-efficacy;
- Foster clear and positive identity;
- Foster belief in the future;
- Provide recognition for positive behavior;
- Provide opportunities for prosocial involvement; and
- Foster prosocial norms.<sup>5</sup>

There is an inverse relationship between protective factors and risk factors; students with more protective factors tend to engage in fewer of the risky behaviors that can limit a student's academic potential.<sup>6</sup> By helping develop and implement appropriate strategies for building protective factors, schools can begin to promote and enhance positive mental health of students. Because this approach does not rely on the implementation of a single program or strategy, multiple methods and changes to policy and practices can be combined based on site-specific resources and needs to alter the school's overall functioning to promote positive youth development. Additionally, this approach focuses on the student's whole person, rather than one protective or risk factor at a time. As a result, the school can undertake a more comprehensive and complex system of support. Mental health professionals play a critical role in establishing, implementing, and evaluating these essential tasks.

### **Addressing Mental Health Problems: Prevention, Detection, Intervention, and Treatment**

Changing policies, practices, and behaviors in a school can take a long time. And despite the best efforts of schools to enhance the social, emotional, behavioral and cognitive competencies of students, students sometimes still develop mental health problems, including depression, stress, or anxiety. Although most students will not develop serious diagnosable disorders, 30% of students currently report feeling so sad and hopeless that they stopped some of their normal activities for two weeks in a row in the previous year.<sup>7</sup> For those students, school staff should be prepared to recognize and help students before symptoms become more severe.

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4Catalano, R, Berglund, ML, Ryan, J, Lonczak, HM & Hawkins, J. Positive Youth Development in the United States: Research findings on Positive Youth Development programs. 2004; *Annual of the American Academy of Political and Social Sciences* (591): 98-124.

5 Ibid.

6 Benson, P, Scales, P, Hamilton S, et al. Positive Youth Development so far: Core hypotheses and their implications for policy and practice. Search Institute Insights and Evidence. 2006; 3(1).

7 Centers for Disease Control and Prevention. Youth Risk Behavior Survey. 2007; accessed at: <http://www.cdc.gov/healthyyouth>.



To adequately address the mental health needs of students, schools must implement policies and practices to facilitate the early detection of problems and plans for helping students address their needs. Teachers and staff need to be trained to recognize early warning signs and symptoms of mental health problems, and know how to help students access services. A range of evidence-based tools exist that target individual, group, and systems-level detection of mental health concerns; school-based mental health professionals can be instrumental helping teachers and staff understand and use tools, and to link to services within the school and/or community. If a problem is detected, schools must be prepared to respond to students' more acute needs and potential crises, and refer them to qualified professional staff. It is estimated that between 14-20% of young people suffer from a mental, emotional, or behavioral disorder that impairs their everyday functioning.<sup>8</sup> Additionally, many children have more than one disorder.<sup>9</sup> Because many disorders manifest during childhood and adolescence-- the majority of adults with mental health issues experienced their first onset well before adulthood--schools are an ideal intervention point and can help prevent the development and progression of mental, emotional or behavioral disorders.<sup>10</sup> As such, schools should understand how to refer students for more serious treatment options and should be able to identify culturally competent and linguistically-appropriate service delivery mechanisms and professionals.

### **The Role of the School Mental Health Professional**

Serving the vast needs of students requires a comprehensive and integrated team of school professionals, from teachers, to administrators, to school mental health professionals to support the academic, social, emotional and behavioral development of all students. "School mental health professionals," in the context of the Elementary and Secondary School Counseling program (ESSC), includes school counselors, school psychologists, child and adolescent psychiatrists, school social workers, or other qualified psychologists.<sup>11</sup> These critical members of the school staff enhance students' ability to achieve their full academic, developmental, and social potential by providing support to students, families and educators working with them. School-employed mental health professionals provide direct and indirect services for students, families and staff<sup>12</sup> and also spend time in program management working to develop school-wide policies and practices to promote learning and mental health and build protective factors for youth, create systems and infrastructure for screening, detection, targeted interventions, meeting acute mental health needs of students, and managing service delivery decisions based on site needs and student data. Mental health professionals play an important role in a school's data collection and analysis efforts to enhance data-based, responsive decision making and

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8 Puura, K, Almqvist, F., Tamminen, T. et al. Children with symptoms of depressions- What do the adults see? *Journal of Psychology and Psychiatry*; 1998, 39(4): 577-585.

9 National Research Council and Institute of Medicine (2009). *Preventing Mental, Emotional, and Behavioral Disorders Among Young People: Progress and Possibilities*. Committee on the Prevention of Mental Disorders and Substance Abuse Among Children, Youth and Young Adults: Research Advances and Promising Interventions. Washington, DC: The National Academies Press.

10 Ibid.

11 As defined in the ESSC statute.

12 Although professional standards differ, the American School Counselor Association suggests that school counselors spend 80% of their time in direct service to students, families and staff distributed across a range of service components that include but are not limited to school-wide educative and preventive interventions, small group and targeted individual interventions, crisis response, consultation with parents, teachers and other educators, advocacy within schools and with community partners, professional development and training of school staff in areas of concern to the school system. The National Association of School Psychologists and the School Social Work Association of America outline similar models for comprehensive and integrated service delivery.

accountability and illustrate the connections between academic performance and social, emotional and behavioral well-being.

### **Eligibility**

This competition limits eligibility to local educational agencies (LEAs), including charter schools that are considered LEAs under State law, that do not currently have an active elementary and/or 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).

### **Absolute Priorities**

For FY 2012 and any subsequent year in which we make awards from the list of unfunded applicants from this competition, these priorities are absolute priorities. Under 34 CFR 75.105(c)(3), we consider only applications that meet these priorities. These priorities are:

- (1) Establish or expand counseling programs in elementary schools, secondary schools, or both.
- (2) Enabling more data-based decision-making, we give priority to applications for projects that are designed to collect (or obtain), analyze, and use high-quality and timely data, including data on program participant outcomes, in accordance with privacy requirements, in the following priority areas: (a) improving instructional practices, policies, and student outcomes in elementary or secondary schools.

***Note: Applicants that fail to meet these absolute priorities will be considered ineligible and not considered for funding.***

### **Competitive Priorities**

For FY 2012 and any subsequent year in which we make awards from the list of unfunded applicants from this competition, these priorities are competitive preference priorities. Under 34 CFR 75.105(c)(2)(i), we award up to an additional 5 points to an applicant, depending on how well the application addresses one of the following three priorities. Applicants may address more than one of the competitive preference priorities; however, the Department will review and award points under only **one** of the priorities. Therefore, an applicant must identify in the abstract section of its application the priority it wishes the Department to consider for purposes of earning the competitive preference priority points.

**Note:** The Department will not review or award points under any competitive preference priority that (1) fails to clearly identify the competitive preference priority the applicant wishes the Department to consider for purposes of earning competitive preference priority points, or (2) identifies more than one competitive preference priorities the applicant wishes the Department to consider for purposes of earning competitive preference priority points.

These priorities are:

- (1) Project serving students residing on Indian lands. Under this priority, we give priority to applications for projects that are proposed by any eligible entity serving students residing on “Indian lands” as that term is defined by Section 8013 of the Elementary and Secondary Act of 1965, as amended (ESEA) (20 U.S.C. 7713(7)). The eligible entity must be the only applicant or the lead applicant in a consortium of eligible entities.
- (2) Improving student achievement (as defined in the notice inviting applications) in persistently lowest-achieving schools (as defined in the notice inviting applications). Providing services to students enrolled in persistently lowest-achieving schools (as defined in the notice inviting applications).

**Note:** For the purposes of this priority, the Department considers schools that are identified as Tier I or Tier II schools under the School Improvement Grants Program (see 75 FR 66363) as part of a State's approved FY 2009 or FY 2010 applications to be persistently lowest-achieving schools. A list of these Tier I and Tier II schools can be found on the Department's web site at <http://www2.ed.gov/programs/sif/index.html>.

- (3) Projects that are designed to address the needs of military-connected students (as defined in this notice).

## **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.

## **Definitions**

The following definitions apply to this competition:

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.

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

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.

Military-connected student - a child participating in an early learning program, a student in preschool through grade 12, or a student enrolled in postsecondary education or training who has a parent or guardian on active duty in the uniformed services (as defined by 37 U.S.C. 101, in the Army, Navy, Air Force, Marine Corps, Coast Guard, National Guard, or the reserve component of any of the aforementioned services) or a student who is a veteran of the uniformed services, who is on active duty, or who is the spouse of an active-duty service member.

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.

Persistently lowest-achieving schools - as determined by the State: (i) Any Title I school in improvement, corrective action, or restructuring that (a) is among the lowest-achieving five percent of Title I schools in improvement, corrective action, or restructuring or the lowest-achieving five Title I schools in improvement, corrective action, or restructuring in the State, whichever number of schools is greater; or (b) is a high school that has had a graduation rate as defined in 34 CFR 200.19(b) that is less than 60 percent over a number of years; and (ii) any secondary school that is eligible for, but does not receive, Title I funds that: (a) Is among the lowest-achieving five percent of secondary schools or the lowest-achieving five secondary schools in the State that are eligible for, but do not receive, Title I funds, whichever number of schools is greater; or (b) is a high school that has had a graduation rate as defined in 34 CFR 200.19(b) that is less than 60 percent over a number of years. To identify the persistently lowest

achieving schools, a State must take into account both: (i) The academic achievement of the “all students” group in a school in terms of proficiency on the State’s assessments under section 1111(b)(3) of the ESEA in reading/language arts and mathematics combined; and (ii) the school’s lack of progress on those assessments over a number of years in the “all students” group.

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.

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.

## **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 (ESEA) (20 U.S.C. 7245).

## **Official Documents Notice**

The official document governing this competition is the Notice Inviting Applications published in the Federal Register on April 10, 2012 (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](http://www.ed.gov/legislation/FedRegister) and [www.gpoaccess.gov/nara](http://www.gpoaccess.gov/nara).

## **Project Period**

The project period for these grants is up to 36 months (3 budget periods of 12 months each). The exact start date is not known at this time. We estimate awards will be announced by late September 2012. Projects will be funded for the first year with an option for two additional

years contingent upon demonstration of 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 budget period 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 \$40,000,000 to enable LEAs to establish or expand counseling programs in elementary schools. In Fiscal Year (FY) 2012, since funding for this program exceeds \$40,000,000, the amount in excess of \$40,000,000 may be used for elementary or second 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 approximately 61 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 the Department 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 (or fund down the approved slate) in FY 2012 and FY 2013 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 for each year of funding requested for a possible total award of \$1.2 million over 3 years of funding.

### **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 for 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 Time Commitment**

Applicants are requested to provide the percent of the Project Director's time that will be dedicated to the grant project if funded. For example, if the Project Director works 40 hours per

week and spends 20 hours per week working on grant activities, then the time commitment for the Project Director would be 50%. We suggest that applicants include this information in the budget narrative or that they add this information to the Project Director line on the Department of Education Supplement to the Standard Form 424.

### **Travel Budget**

Applicants must budget funds for the project director and one additional staff member to attend the Office of Safe and Healthy Students National Conference each year 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 funds for one person to attend the Project Director's Meeting in year one of the grant only. Applicants should include funds for transportation, lodging for one night, and per diem costs. There are no meeting or registration costs for our grantees. Both meetings will usually be held 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.

### **Application Due Date**

All applications must be submitted electronically through the Grants.gov portal and must be submitted before 4:30:00 p.m., Washington, DC time, on the deadline date for applications.

*Applications may not be emailed or faxed.*

*Note: Under very extraordinary circumstances, the Department may change the closing date for a competition. When this occurs, we announce such a change in a notice published in the Federal Register. Waivers for individual applications failing to meet the deadline will not be granted, except in the circumstances described in the section under electronic submission of applications.*

### **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 September 2012. 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 202-245-8090.

### **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 the Department 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.

## **Reports**

Each grantee is required to submit an annual and/or final report to demonstrate progress toward GPRA measures and project objectives. For multiple-year projects, these reports are also evaluated to determine whether substantial progress has been made to justify a continuation award.

Both an annual report(s) and final report are required for multi-year funded projects. For projects funded for one year, only a final report is required.

## **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](http://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.

## **Elementary and Secondary School Counseling Resource List**

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

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

American Academy of Pediatrics 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 is a scientific and professional organization that represents psychology in the United States. <http://www.apa.org>



Collaborative for Academic, Social, and Emotional Learning:

<http://www.promoteprevent.org/Publications/center-briefs/Social%20and%20Emotional%20Learning2.pdf>

National Association of School Psychologists (NASP) is a not-for-profit association representing more than 25,000 school psychologists from across the United States and abroad.

[www.nasponline.org](http://www.nasponline.org)

National Institutes of Mental Health, Suicide in the U.S.: Statistics and Prevention:

<http://www.nimh.nih.gov/health/publications/suicide-in-the-us-statistics-and-prevention/index.shtml>

School Social Worker Association of America (SSWAA) is dedicated to promoting the profession of school social work and the professional development of school social workers in order to enhance the educational experience of students and their families.

<http://www.sswaa.org/>

### *Frequently Asked Questions*

#### **What is the deadline date for this competition?**

- The competition deadline for the Elementary and Secondary School Counseling program is **May 25, 2012**.

#### **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.

#### **What is an indirect cost?**

- An indirect cost is an expense that you incur that is necessary to implementing the grant, but may be difficult to identify directly with your grant. For example, indirect costs may include money spent for heat, light, rent, telephone, security, accounting, and Internet use.

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

- If you wish to charge indirect costs, you must use a negotiated **restricted** indirect cost rate for this competition. This rate permits grantees to distribute indirect costs across grants so that grantees are able to recover these costs for grant funds without supplanting the grantee's own funds. Your organization must submit proof of a negotiated restricted indirect cost rate with the application if you are planning to claim indirect costs. If you are planning to claim indirect costs, as

further explained on page 55 of this application. For more information, please see: [www.ed.gov/about/offices/list/ocfo/fipao/icgindex.html](http://www.ed.gov/about/offices/list/ocfo/fipao/icgindex.html).

### **How do I obtain a negotiated, restricted indirect cost rate?**

- Your **organization** may already have a negotiated, restricted indirect cost rate with a Federal government agency. If your organization has not negotiated this rate in the past, please contact Katrina McDonald with the Department of Education's Indirect Cost Group at 202-377-3838 or [Katrina.Mcdonald@ed.gov](mailto:Katrina.Mcdonald@ed.gov).

### **Who in my organization may be able to provide information about our negotiated, restricted indirect cost rate?**

- If you do not know your negotiated, restricted indirect cost rate, please contact your business office. In most cases, state educational agencies calculate and assign indirect cost rates to their local educational agencies. Please note you will need to submit proof of this cost rate, such as a signed letter or a page from a state Web site. This proof of your cost rate will need to be uploaded to the Other Attachments Form section in Grants.gov.

### **For my GEPA 427 statement (see pages 57-58), is it adequate to state that our organization does not discriminate on the basis of race, religion, sex, etc.?**

- No. An organization's non-discrimination statement is not sufficient to meet the GEPA requirements. A GEPA statement should outline an entity's potential barriers and solutions to equal access, specific to the proposed project.

### **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 <http://www.ed.gov/policy/gen/leg/foia/foiatoc.html>.

### **Is this program covered by Executive Order 12372?**

- Yes. This means applicants must submit a copy of their application to their State Single Point of Contact for review and upload the transmittal letter in the Other Attachments Form section in Grants.gov (refer to page 36). On the application for Federal Assistance (Standard Form 424), you must check box (a) in item 19 and provide the date on which you made your application available for review. Note that ED is prohibited from making an award to an entity that has not

provided an opportunity for its State to review the application. The only exceptions to this requirement are applicants from States that have chosen not to participate or have indicated they do not wish to review applications from this competition. In either of these cases, applicants should check box (b). Do not check box (c) since this grant program is covered by Executive Order 12372. For more information about this requirement, see the Intergovernmental Review of Federal Programs section in this application package.

### **What is required from an applicant whose State Single Point of Contact indicates that they are not reviewing applications for this grant competition?**

- Applicants should include a copy of such a response from the State Single Point of Contact in their application package submitted to ED and check the appropriate line on the SF 424 form.

### **By what date do applicants have to submit their application to their State Single Point of Contact, if participating?**

- Applicants must submit their application to the State Single Point of Contact by the deadline date for transmitting their application to ED.

### **What steps should the applicant's Authorized Representative take before signing a grant application?**

- The standard form that serves as a cover sheet for grant applications includes a certification statement that accompanies the authorized representative's signature. That certification indicates that the authorized representative's signature means that the information provided in the grant application is true, complete, and to the best of the authorized representative's knowledge, and that any false, fictitious, or fraudulent statements or claims may subject the authorized representative to administrative, civil, or criminal penalties. As a result, an authorized representative should carefully review a grant application before signing in order to be sure that all of the information contained in the application package is correct. Additionally, an authorized representative should be sure that the application describes a project that has the organization's support and reflects an approach that the organization is committed to implementing.

### **What kinds of activities are likely to be "human subject research"?**

- ED's regulations for the protection of human subjects, 34 CFR Part 97, defines research as a systematic investigation (including program evaluation) designed to develop or contribute to general knowledge. A "systematic" investigation typically uses scientific methods (such as adequate sample sizes, surveys, control groups, and/or randomization). Research becomes "human subjects" research when the researcher obtains data about an individual through an intervention or otherwise obtains identifiable private information about individuals for research purposes. For

additional information on human subjects research go to:  
<http://www.ed.gov/about/offices/list/ocfo/humansub.html>.

### **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.

### **Do I have to get bids for goods and services under this grant?**

- Generally, all procurement transactions must be conducted in a manner providing full and open competition, consistent with the standards in Section 80.36 of the Education Department General Administrative Regulations (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. (EDGAR is available online at: [www.ed.gov/policy/fund/reg/edgarReg/edgar.html](http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html); see Section 80.36 for details about these procurement standards.)
- 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 a sum for grant writing costs in their grant's proposed budget provided that the amount requested is necessary and reasonable.

### **What is the project and budget period for these grants?**

- The project period for this grant is up to three years. Each grant year is considered its own budget period. The application should include a description of the proposed activities for all three years, as well as a budget narrative that includes information about federal **and** non-federal funds for each budget year. Continuation awards are made based on an applicant's ability to demonstrate substantial progress in their required annual performance reports.

### **What priorities must all applicants address to be considered?**

- Applicants must address the absolute priorities: (1) Establish or expand counseling programs in elementary schools, secondary schools, or both. (2) Enabling more data-based decision-making: Projects that are designed to collect (or obtain), analyze, and use high-quality and timely data, including data on program participant outcomes, in

accordance with privacy requirements, in the following priority area: (a) improving instructional practices, policies, and student outcomes in elementary or secondary schools.

### **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.

### **Who is eligible to apply?**

- 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/or secondary school counseling grant.

### **May I submit an application on behalf of my local school?**

- The only eligible recipients are LEAs. An LEA must be the applicant for funding. An application submitted by an individual school will not be considered unless it meets the definition of an LEA.

### **Are colleges or universities eligible to apply for this grant?**

- Colleges and universities are generally not considered as LEAs and thus are not eligible for this grant. Only entities that meet the definition of an LEA may receive funding under this program.

### **Are charter schools eligible for this program?**

- Yes. Charter schools that are considered LEAs under state law are eligible to apply for funding under this program. Charter schools must provide proof of LEA status.

### **Are Area Educational Districts, Educational Service Centers or other similar entities eligible for this program?**

- Yes. If these entities are considered LEAs under state law, they are eligible to apply for funding under this program.

### **How do I submit my grant electronically?**

- For more information on using Grants.gov, please refer to the Notice Inviting Applications for this competition published in the Federal Register; the Grants.gov Submission Procedures and Tips document found in this application package; and/or visit [www.grants.gov](http://www.grants.gov).

### **Do I have to submit my application electronically?**

- Yes. Unless you qualify for an exception in accordance with the instructions found in the Notice Inviting Applications, you must submit your application electronically.

### **How do I register to submit my grant electronically?**

- If you are a new user, you will need to register to use Grants.gov. For detailed information on the Registration Steps see the Grants.gov Submission Tips and Procedures for Applicants on pages 6-9 of this document or please go to: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp).

### **How should I submit forms with signatures?**

- We *strongly encourage* you to scan and upload signed versions of the forms, in a .PDF format, to the **Other Attachments Form** section of the application package on Grants.gov or you may fax the signed forms to the Department of Education.
- These documents may be faxed to the attention of Lisa Harrison or Loretta McDaniel at 202-245-7166 and must be received within three days of your application submission.

### **Are there any compatibility restrictions?**

- You must submit your application in a .PDF (Portable Document) format in order for your application to submit successfully to the Department. If you submit your application in any other format, we will not be able to access your document. Applicants must submit individual .PDF files only when attaching files to their application. Specifically, the Department will not accept any attachments that contain files within a file, such as PDF Portfolio files, or an interactive or fillable .PDF file. Any attachments uploaded that are not .PDF files or are password protected files will not be read. If you need assistance converting your files to a .pdf format, please refer to this Grants.gov webpage with links to conversion programs: [http://www.grants.gov/help/download\\_software.jsp#pdf\\_conversion\\_programs](http://www.grants.gov/help/download_software.jsp#pdf_conversion_programs)

### **Is there a maximum award amount for this competition?**

- Yes. The authorizing statute caps awards at \$400,000 per year. Your application will not be considered if you request more than \$400,000 per year or \$1.2 million over 3 years.

## What should I use as the project start date?

- Should you receive a grant, the start date for a project may have to be flexible, depending on when funds can be awarded and funds obligated. If necessary, your proposed project start date will be modified to a date shortly after the award date.

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

- Yes, grant funds may be used to support professional development activities, as long as the activities directly support the purposes and intent of this grant program.

**Note:** Grant funds must not be used for continuing education of staff, enhancing professional credentials, conversion of professional credentials from a teacher or other staff to a mental health professional, professional licenses and memberships, or parent support or training.

## Can grant funds be used to hire mental health professionals?

- Yes. Applicants are encouraged to implement a comprehensive team approach to providing mental health services for the proposed target population or school. To achieve this goal grantees can hire the following credentialed professionals with these grant funds.
- 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.

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

- No. Applicants that currently have an active grant to serve elementary or secondary schools in their district are not eligible to apply for a new award in FY 2012. For the purpose of this eligibility requirement, a grant is considered active until the end of the grant project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds.

**Can LEAs apply for funding to serve students at the elementary or secondary school level?**

- Yes. Depending on the final appropriation for FY 2012. 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 \$40,000,000 of available funds goes to support elementary school counseling programs, we would consider your application for funding only from the amount in excess of \$40,000,000. For example, if the appropriation this year is \$50,000,000, your application would be eligible to be funded from the \$10,000,000 amount in excess of the \$40,000,000 that is reserved for elementary school counseling programs.

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

- Yes. You may submit two applications in this competition so long as you do not have a



current active grant under the elementary and secondary school counseling program. Reminder, the maximum yearly award cap of \$400,000 would still apply for each application submitted.

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

- No. You may choose to serve any grade levels that you determine are in need of counseling services.

**Are we required to include in the abstract section of the application which one of the three competitive preference priorities we wish the Department to consider for purposes of earning competitive preference priority points?**

- Yes. You may address more than one of the competitive preference priorities; however, the Department will review and award points under only one of the priorities. Therefore, you must identify in the application the competitive preference priority under which you are seeking points. You must identify in the abstract section of the application the priority you wish the Department to consider for purposes of earning competitive preference priority points.

**Will you receive competitive preference priority points if you address the competitive preference priority in a section of the application other than the abstract section?**

- No. You must address the competitive preference priority in the abstract section in order to receive the competitive preference priority points.

**Will you receive additional points if you select more than one of the competitive preference priorities?**

- No. The Department will review and award points under only one of the priorities.

**How many persistently lowest-achieving schools must we provide services to under this application in order to receive the competitive preference priority if we elect to use improving student achievement as the competitive preference priority under which we will apply?**

- Competitive preference priority points will be awarded to applications that include one or more schools identified as “Tier I” or “Tier II” under the School Improvement Grants Program (see 75 FR 66363) as part of a State’s approved FY 2009 or FY 2012 application. The applications may include schools designated as low-performing under other designation programs, but competitive preference points will not be awarded for these schools.

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

- Any questions pertaining to this grant competition should be directed to Lisa Harrison, Program Specialist, U.S. Department of Education, 550 12<sup>th</sup> Street, SW, Washington, DC 20202-6450, Phone: 202-245-7873, Fax: 202-245-7166, Email: [Lisa.Harrison@ed.gov](mailto:Lisa.Harrison@ed.gov) or Loretta McDaniel, Program Analyst, U.S. Department of Education, 550 12<sup>th</sup> Street, SW, Washington, DC 20202-6450, Phone: 202-245-7870, Fax: 202-245-7166, Email: [Loretta.McDaniel@ed.gov](mailto:Loretta.McDaniel@ed.gov)

## Tips for Preparing and Submitting an Application

### *Beginning the Application Process*

- Read this application package in its entirety 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>
- If you do not understand an instruction or requirement, contact Lisa Harrison, U.S. Department of Education, Office of Safe and Healthy Students at 202-245-7873 or [Lisa.Harrison@ed.gov](mailto:Lisa.Harrison@ed.gov) or Loretta McDaniel, U.S. Department of Education, Office of Safe and Healthy Students at 202-245-7870 or [Loretta.McDaniel@ed.gov](mailto:Loretta.McDaniel@ed.gov) for information about this grant competition.

### *Preparing Your Application*

- Organize your narrative according to the selection criteria headings and respond comprehensively.
- Be thorough in your responses. Write so that someone who knows nothing about your community and the proposed activities, curricula, programs, and services can understand what you are proposing and why.
- Make sure your budget provides sufficient itemization and detailed descriptions about planned expenditures so ED staff can easily determine how amounts were calculated.
- Link your planned expenditures to the proposed activities, curricula, programs, and services. Do not request funds for miscellaneous purposes. Make sure you demonstrate that your proposed expenditures are necessary to carry out your program.

### *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 and time. When submitting your application electronically, you must use Grants.gov at: [www.grants.gov](http://www.grants.gov). Unless you qualify for an exception in accordance with the instructions found in the Notice Inviting Applications, you must submit your application electronically.

### *What Happens Next?*

- 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.
- Staff members screen each application to ensure that all program eligibility requirements are met and that all forms are included and signed by the Authorized Representative.
- Your application will be assigned to a three-person panel of independent reviewers who will evaluate and score your proposal according to the selection criteria in this package. Your application will receive a score from 0 to 100, depending upon how well it

addresses the selection criteria. Agency staff will award any appropriate competitive preference points. Competitive preference points will be in addition to points awarded by peer reviewers.

- A Grant Award Notification will be sent to applicants whose proposals rank high enough to be awarded a grant. Both successful and unsuccessful applicants will receive peer reviewers' comments approximately 6 to 8 weeks after grant awards are announced. Unsuccessful applicant also will receive a notification letter. Please be sure your application contains a valid mailing address for both the Project Director and the Authorized Representative so that reviewers' comments can be successfully delivered.

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

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 their 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 encouraged to use the tables below to provide the required baseline data.

**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	Students enrolled (Baseline) (2010-2011)	Number of Child-adolescent psychiatrists (Baseline) (2010-2011)	Number of School Psychologists (Baseline) (2010-2011)	Number of School Counselors (Baseline) (2010-2011)	Number of School Social Workers (Baseline) (2010-2011)	Number of Other Qualified Mental Health Professionals, if any (Baseline) (2010-2011)
XYZ Elementary	275	0 FTE	1.0 FTE	0 FTE	0 FTE	0 FTE
ABC Elementary	350	0.5	0.5 FTE	1.5 FTE	0 FTE	0 FTE
JKL Elementary	535	1	0.5 FTE	1.0 FTE	0 FTE	0 FTE
<b>TOTAL</b>	<b>1,160</b>	<b>1.5 FTE</b>	<b>2.0 FTE</b>	<b>2.5 FTE</b>	<b>0 FTE</b>	<b>0 FTE</b>

**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 Enrolled (Baseline) (2010-2011)	Number of referrals for disciplinary reasons in schools participating in the grant (Baseline) (2010-2011)
XYZ Elementary	475	221
ABC Elementary	350	45
JKL Elementary	535	163
<b>TOTAL</b>	<b>1,360</b>	<b>429</b>

**Note: Baseline number of referrals for disciplinary reasons**

- The number of referrals for disciplinary reasons must include all incidents in which a student was referred to school personnel (including, but not limited to, the principal, the

vice principal, school security, and guidance counselors) for violations of the school's discipline code.

- The number reported must be the number of referrals for disciplinary reasons, **not** the number of students referred or the number of disciplinary actions taken.
- The number reported must include all referrals for the entire 2010-11 school year.
- The number reported must include all referrals from all schools targeted for grant services. Do not include referrals from schools not targeted for grant services.
- The number reported must include all referrals from all grades in schools targeted for grant services.

# Application Submission Procedures

**The deadline for submission of Elementary and Secondary School Counseling Programs applications through Grants.gov is May 25, 2012.**

## *Application Transmittal Instructions*

Attention Electronic Applicants: This program **requires** the electronic submission of applications--specific requirements and instructions can be found in the Federal Register notice. Please note that you **must** follow the Application Procedures as described in the Federal Register notice announcing the grant competition.

We will reject your application if you submit it in paper format unless, as described in the Federal Register notice for this competition, you 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.

## Applications Submitted Electronically

Applications for grants under this program must be submitted electronically using the Governmentwide Grants.gov Apply 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.

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 Federal Register notice for this competition, 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.

You should review and follow the Education Submission Procedures for submitting an application through Grants.gov that are included in this application package to ensure that you submit your application in a timely manner to the Grants.gov system.

## **Please note the following:**

- You must attach any narrative sections of your application as files in a **.pdf** (Portable Document) format. **If you upload a file type other than a .pdf file, or submit a password-protected file, we will not review that material.**
- Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission.
- When attaching files, applicants should limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We recommend your file names be less than 50 characters. 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.

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

**According to the instructions found in the Federal Register notice, only those requesting and qualifying for an Exception to the electronic submission requirement may submit an application via mail, commercial carrier or by hand delivery.**

Submission of Paper Applications by Mail:

If you qualify for an exception to the electronic submission requirement, you may mail (through the U.S. Postal Service or a commercial carrier) your application to the Department. You must mail the original and two copies of your application, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education  
 Application Control Center  
 Attention: (CFDA 84.215E)  
 LBJ Basement Level 1  
 400 Maryland Avenue, SW.  
 Washington, DC 20202-4260

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

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

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

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

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

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

Submission of Paper Applications by Hand Delivery:

If you qualify for an exception to the electronic submission requirement, you (or a courier service) may deliver your paper application to the Department by hand. You 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.  
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.

### ***Submitting Applications with Adobe Reader Software***

The Department of Education, working with Grants.gov, is currently moving from using PureEdge software to using Adobe Reader software exclusively and applications submitted to Grants.gov for the Department of Education will be posted using Adobe forms. Applicants will no longer need to use the PureEdge software to create or submit an application.

**Please note:** The compatible version of Adobe Reader is **required** for viewing, editing and submitting a complete grant application package for the Department of Education through Grants.gov. Applicants should confirm the compatibility of their Adobe Reader version **before** downloading the application. To ensure applicants have a version of Adobe Reader on their computer that is compatible with Grants.gov, applicants are encouraged to use the test package provided by Grants.gov that can be accessed at <http://www.grants.gov/applicants/AdobeVersioningTestOnly.jsp>.

#### **Important issues to consider:**

- If the applicant opened or edited the application package with any software other than the compatible version of Adobe Reader, the application package may contain errors that will be transferred to the new package even if you later download the compatible Adobe Reader version.
- Applicants **cannot** copy and paste data from a package initially opened or edited with an incompatible version of Adobe Reader and will need to download an **entirely new package** using the compatible version of Adobe Reader.
- Some applicants using an incompatible version of Adobe Reader **may have trouble** opening and viewing the application package while others may find they can open, view and complete the application package but **may not be able to submit** the application package through Grants.gov.
- Grants.gov **does not** guarantee to support versions of Adobe Reader that are not compatible with Grants.gov.
- Any and all edits made to the Adobe Reader application package **must** be made with the compatible version of Adobe Reader.

**For your convenience, the latest version of Adobe Reader is available for free download at [http://grantsgov.tmp.com/static2007/help/download\\_software.jsp#adobe811](http://grantsgov.tmp.com/static2007/help/download_software.jsp#adobe811).**

We strongly recommend that you review the information on computer and operating system compatibility with Adobe available at [http://www.grants.gov/applicants/applicant\\_faqs.jsp#software](http://www.grants.gov/applicants/applicant_faqs.jsp#software) **before** downloading, completing or submitting your application.

Applicants are reminded that they should submit their application a day or two in advance of the closing date as detailed in the Federal Register Notice. If you have any questions regarding this matter please email the Grants.gov Contact Center at [support@grants.gov](mailto:support@grants.gov) or call 1-800-518-4726.

## IMPORTANT – PLEASE READ FIRST

### U.S. Department of Education 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.

#### **ATTENTION – Adobe Forms and PDF Files Required**

Applications submitted to Grants.gov for the Department of Education will be posted using Adobe forms. Therefore, applicants will need to download the latest version of Adobe reader (at least Adobe Reader 8.1.2). Information on computer and operating system compatibility with Adobe and links to download the latest version is available on Grants.gov. We strongly recommend that you review these details on [www.Grants.gov](http://www.Grants.gov) before completing and submitting your application. In addition, applicants should submit their application a day or two in advance of the closing date as detailed below. Also, applicants are required to upload their attachments in .pdf format only. (See details below under “Attaching Files – Additional Tips.”) If you have any questions regarding this matter please email the Grants.gov Contact Center at [support@grants.gov](mailto:support@grants.gov) or call 1-800-518-4726.

- 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, please go to: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp) [Note: Your organization will need to update its Central Contractor Registry (CCR) registration annually.]
- 2) **SUBMIT EARLY** – We strongly recommend that you do not wait until the last day to submit your application. Grants.gov will put a date/time stamp on your application and then process it after it is fully uploaded. The time it takes to upload an application will vary depending on a number of factors including the size of the application and the speed of your Internet connection, and the time it takes Grants.gov to process the application will vary as well. If Grants.gov rejects your application (see step three below), you will need to resubmit successfully to Grants.gov before 4:30:00 p.m. Washington, DC time on the deadline date.

**Note: To submit successfully, you must provide the DUNS number on your application that was used when you registered as an Authorized Organization Representative (AOR) on Grants.gov. This DUNS number is typically the same number used when your organization registered with the CCR (Central Contractor Registry). If you do not enter the same DUNS number on your application as the DUNS you registered with, Grants.gov will reject your application.**

- 3) **VERIFY SUBMISSION IS OK** – You will want to verify that Grants.gov received your application submission on time and that it was validated successfully. To see the date/time your application was received, login to Grants.gov and click on the Track My Application link. For a successful submission, the date/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. Once the Department of Education receives your application from Grants.gov, an Agency Tracking Number (PR/award number) will be assigned to your application and will be available for viewing on Grants.gov’s Track My Application link.

If the date/time received is later than 4:30:00 p.m. Washington, D.C. time, on the deadline date, your application is late. If your application has a status of “Received” it is still awaiting validation by Grants.gov. Once validation is complete, the status will either change to “Validated” or “Rejected with Errors.” If the status is “Rejected with Errors,” your application has not been received successfully. Some of the reasons Grants.gov may reject an application can be found on the Grants.gov site:

[http://www.grants.gov/applicants/applicant\\_faqs.jsp#54](http://www.grants.gov/applicants/applicant_faqs.jsp#54). For more detailed information on troubleshooting Adobe errors, you can review the Adobe Reader Error Messages document at <http://www.grants.gov/assets/AdobeReaderErrorMessages.pdf>. If you discover your application is late or has been rejected, please see the instructions below. Note: You will receive a series of confirmations both online and via e-mail about the status of your application. Please do not rely solely on e-mail to confirm whether your application has been received timely and validated successfully.

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

If you have problems submitting to Grants.gov before the closing date, please contact Grants.gov Customer Support at 1-800-518-4726 or <http://www.grants.gov/contactus/contactus.jsp>, or access the Grants.gov Self-Service web portal at: <https://grants-portal.psc.gov/Welcome.aspx?pt=Grants>

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., 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, 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 logon to Grants.gov to upload and submit the application. **You must provide the DUNS number on your application that was used when you registered as an Authorized Organization Representative (AOR) on Grants.gov.**

Please go to <http://www.grants.gov/contactus/contactus.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 the Grants.gov [http://www.grants.gov/applicants/submit\\_application\\_faqs.jsp](http://www.grants.gov/applicants/submit_application_faqs.jsp).

### **Dial-Up Internet Connections**

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

### **MAC Users**

For MAC compatibility information, review the Operating System Platform Compatibility Table at the following Grants.gov link: [http://www.grants.gov/help/download\\_software.jsp](http://www.grants.gov/help/download_software.jsp). **If electronic submission is required and you are concerned about your ability to submit electronically as a non-windows user, please follow instructions in the Federal Register notice to obtain an exception to the electronic submission requirement no later than two weeks before the application deadline date.** (See the Federal Register notice for detailed instructions.)

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

Please note the following tips related to attaching files to your application, especially the requirement that applicants **only include read-only, non-modifiable .PDF files** in their application:

1. Ensure that you attach ***.PDF files only*** for any attachments to your application, and they must be in a **read-only, non-modifiable format**. PDF files are the only Education approved file type accepted as detailed in the Federal Register application notice. Applicants must submit individual .PDF files only when attaching files to their application. Specifically, the Department will not accept any attachments that contain files within a file, such as PDF Portfolio files, or an interactive or fillable .PDF file. Any attachments uploaded that are not .PDF files or are password protected files will not be read. If you need assistance converting your files to a .pdf format, please refer to the following Grants.gov webpage with links to conversion programs under the heading of additional resources: [http://www.grants.gov/applicants/app\\_help\\_reso.jsp](http://www.grants.gov/applicants/app_help_reso.jsp)
2. Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission. Therefore, each file uploaded to your application package should have a unique file name.

3. When attaching files, applicants should follow the guidelines established by Grants.gov on the size and content of file names. Uploaded files must be less than 50 characters, contain no spaces, no special characters (example: -, &, \*, %, /, #, \) including periods (.), blank spaces and accent marks. Applications submitted that do not comply with the Grants.gov guidelines will be rejected at Grants.gov and not forwarded to the Department.
4. Applicants should limit the size of their file attachments. Documents submitted that contain graphics and/or scanned material often greatly increase the size of the file attachments and can result in difficulties opening the files. For reference, the average discretionary grant application package totals 1 to 2 MB. Therefore, you may want to check the total size of your package before submission.

# Application Instructions

## *Electronic Application Format*

Applications for grants under this competition must be submitted electronically, unless you qualify for an exception to the electronic submission requirement in accordance with the instructions in this application package.

In accordance with EDGAR §75.216 (b) and (c), an application will not be evaluated for funding if the applicant does not comply with all of the procedural rules that govern the submission of the application or the application does not contain the information required under the program.

*Important note:* Applications submitted to Grants.gov for the Department of Education will be posted using Adobe forms. Therefore, applicants will need to download the latest version of Adobe reader (at least Adobe Reader 8.1.2).

Information on computer and operating system compatibility with Adobe and links to download the latest version is available on Grants.gov. Also, please review the **Submitting Applications with Adobe Reader Software** and **Education Submission Procedures and Tips for Applicants** forms found within this package for further information and guidance related to this requirement.

We strongly recommend that you review these details on [www.Grants.gov](http://www.Grants.gov) before completing and submitting your application. In addition, applicants should submit their application a day or two in advance of the closing date as detailed below. Applicants will no longer need to use the PureEdge software to create or submit an application. If you have any questions regarding this matter please email the Grants.gov Contact Center at [support@grants.gov](mailto:support@grants.gov) or call 1-800-518-4726.

**Note: Please do not attach any narratives, supporting files, or application components to any forms unless it is specifically required by the instructions for the individual section of the application. Although several forms accept attachments, the Department of Education will only review materials/files attached in accordance with the instructions provided within this application package.**

## ***Electronic Application Submission Checklist***

It is recommended that your electronic application be organized in the following manner and include the following parts in order to expedite the review process. Instructions for all parts and forms of the application are found either on the following pages of the application package or individually for each form on Grants.gov.

*Review your electronic application to ensure you have completed the following forms and sections:*

### **Part 1: Preliminary Documents**

- Application for Federal Assistance (form SF 424)
- ED Supplemental Information for SF 424

### **Part 2: Budget Information**

- ED Budget Information Non-Construction Programs (ED Form 524)

### **Part 3: ED Abstract Form**

- Project Abstract

### **Part 4: Project Narrative Attachment Form**

- Application Narrative

### **Part 5: Budget Narrative Attachment Form**

- Budget Narrative

### **Part 6: Other Attachments Form**

- Individual Resumes for Project Directors & Key Personnel
- Program Specific Assurance Form
- Executive Order 12372 Transmittal Letter
- Indirect Cost Rate Agreement

### **Part 7: Assurances and Certifications**

- Assurances for Non-Construction Programs (SF 424B Form)
- Disclosure of Lobbying Activities (Standard Form LLL)
- Grants.gov Lobbying Form
- General Education Provisions Act (GEPA) Requirements – Section 427 (ED GEPA427 form)

### **Part 8: Intergovernmental Review (Executive Order 12372)**

- State Single Point of Contact (SPOC) List



***Part 1: Preliminary Documents***

- Application for Federal Assistance (Form SF 424)
- ED Supplemental Information for SF 424

These forms require basic identifying information about the applicant and the application. Please provide all requested applicant information (including name, address, e-mail address and DUNS number).

**When applying electronically via Grants.gov, you will need to ensure that the DUNS number you enter on your application is the same as the DUNS number your organization used when it registered with the Central Contractor Registry.**

Applicants are advised to complete the Application for Federal Assistance (Form SF 424) first. Grants.gov will automatically insert the correct CFDA and program name automatically wherever needed on other forms.

*NOTE: Please do not attach any narratives, supporting files, or application components to the Standard Form (SF 424). Although this form accepts attachments, the Department of Education will only review materials/files attached in accordance with the instructions provided within this application.*

## Instructions for the SF-424

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

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

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

Item	Entry:	Item	Entry:
1.	<b>Type of Submission:</b> (Required): Select one type of submission in accordance with agency instructions. <ul style="list-style-type: none"> <li>• Preapplication</li> <li>• Application</li> <li>• Changed/Corrected Application – If requested by the agency, check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this to submit changes after the closing date.</li> </ul>	10.	<b>Name Of Federal Agency:</b> (Required) Enter the name of the Federal agency from which assistance is being requested with this application.
		11.	<b>Catalog Of Federal Domestic Assistance Number/Title:</b> Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.
2.	<b>Type of Application:</b> (Required) Select one type of application in accordance with agency instructions. <ul style="list-style-type: none"> <li>• New – An application that is being submitted to an agency for the first time.</li> <li>• Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals.</li> <li>• Revision - Any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided.               <ul style="list-style-type: none"> <li>A. Increase Award      B. Decrease Award</li> <li>C. Increase Duration    D. Decrease Duration</li> <li>E. Other (specify)</li> </ul> </li> </ul>	12.	<b>Funding Opportunity Number/Title:</b> (Required) Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement.
		13.	<b>Competition Identification Number/Title:</b> Enter the Competition Identification Number and title of the competition under which assistance is requested, if applicable.
		14.	<b>Areas Affected By Project:</b> List the areas or entities using the categories (e.g., cities, counties, states, etc.) specified in agency instructions. Use the continuation sheet to enter additional areas, if needed.
3.	<b>Date Received:</b> Leave this field blank. This date will be assigned by the Federal agency.	15.	<b>Descriptive Title of Applicant's Project:</b> (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For preapplications, attach a summary description of the project.
4.	<b>Applicant Identifier:</b> Enter the entity identifier assigned by the Federal agency, if any, or applicant's control number, if applicable.	16.	<b>Congressional Districts Of:</b> (Required) 16a. Enter the applicant's Congressional District, and 16b. Enter all District(s) affected by the program or project. Enter in the format: 2 characters State Abbreviation – 3 characters District Number, e.g., CA-005 for California 5th <sup>th</sup> district, CA-012 for California 12 <sup>th</sup> district, NC-103 for North Carolina's 103 <sup>rd</sup> district. <ul style="list-style-type: none"> <li>• If all congressional districts in a state are affected, enter "all" for the district number, e.g., MD-all for all congressional districts in Maryland.</li> <li>• If nationwide, i.e. all districts within all states are affected, enter US-all.</li> <li>• If the program/project is outside the US, enter 00-000.</li> </ul>
5a.	<b>Federal Entity Identifier:</b> Enter the number assigned to your organization by the Federal Agency, if any.		
5b.	<b>Federal Award Identifier:</b> For new applications leave blank. For a continuation or revision to an existing award, enter the previously assigned Federal award identifier number. If a changed/corrected application, enter the Federal Identifier in accordance with agency instructions.		
6.	<b>Date Received by State:</b> Leave this field blank. This date will be assigned by the State, if applicable.		
7.	<b>State Application Identifier:</b> Leave this field blank. This identifier will be assigned by the State, if applicable.		
8.	<b>Applicant Information:</b> Enter the following in accordance with agency instructions: <ul style="list-style-type: none"> <li><b>a. Legal Name:</b> (Required): Enter the legal name of applicant that will undertake the assistance activity. This is the name that the organization has registered with the Central Contractor Registry. Information on registering with CCR may be obtained by visiting the Grants.gov website.</li> <li><b>b. Employer/Taxpayer Number (EIN/TIN):</b> (Required): Enter the Employer or Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.</li> <li><b>c. Organizational DUNS:</b> (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting the Grants.gov website.</li> </ul>	17.	<b>Proposed Project Start and End Dates:</b> (Required) Enter the proposed start date and end date of the project.
		18.	<b>Estimated Funding:</b> (Required) Enter the amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in

	<p><b>d. Address:</b> Enter the complete address as follows: Street address (Line 1 required), City (Required), County, State (Required, if country is US), Province, Country (Required), Zip/Postal Code (Required, if country is US).</p>		<p>parentheses.</p>																								
	<p><b>e. Organizational Unit:</b> Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the assistance activity, if applicable.</p>	19.	<p><b>Is Application Subject to Review by State Under Executive Order 12372 Process?</b> Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State</p>																								
	<p><b>f. Name and contact information of person to be contacted on matters involving this application:</b> Enter the name (First and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.</p>	20.	<p><b>Is the Applicant Delinquent on any Federal Debt?</b> (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.</p> <p>If yes, include an explanation on the continuation sheet.</p>																								
9.	<p>Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.</p> <table border="0" data-bbox="142 722 857 1312"> <tr> <td data-bbox="142 722 505 751">A. State Government</td> <td data-bbox="505 722 857 751">M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)</td> </tr> <tr> <td data-bbox="142 751 505 781">B. County Government</td> <td data-bbox="505 751 857 781">N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)</td> </tr> <tr> <td data-bbox="142 781 505 810">C. City or Township Government</td> <td data-bbox="505 781 857 810">O. Private Institution of Higher Education</td> </tr> <tr> <td data-bbox="142 810 505 840">D. Special District Government</td> <td data-bbox="505 810 857 840">P. Individual</td> </tr> <tr> <td data-bbox="142 840 505 869">E. Regional Organization</td> <td data-bbox="505 840 857 869">Q. For-Profit Organization (Other than Small Business)</td> </tr> <tr> <td data-bbox="142 869 505 898">F. U.S. Territory or Possession</td> <td data-bbox="505 869 857 898">R. Small Business</td> </tr> <tr> <td data-bbox="142 898 505 928">G. Independent School District</td> <td data-bbox="505 898 857 928">S. Hispanic-serving Institution</td> </tr> <tr> <td data-bbox="142 928 505 957">H. Public/State Controlled Institution of Higher Education</td> <td data-bbox="505 928 857 957">T. Historically Black Colleges and Universities (HBCUs)</td> </tr> <tr> <td data-bbox="142 957 505 987">I. Indian/Native American Tribal Government (Federally Recognized)</td> <td data-bbox="505 957 857 987">U. Tribally Controlled Colleges and Universities (TCCUs)</td> </tr> <tr> <td data-bbox="142 987 505 1016">J. Indian/Native American Tribal Government (Other than Federally Recognized)</td> <td data-bbox="505 987 857 1016">V. Alaska Native and Native Hawaiian Serving Institutions</td> </tr> <tr> <td data-bbox="142 1016 505 1045">K. Indian/Native American Tribally Designated Organization</td> <td data-bbox="505 1016 857 1066">W. Non-domestic (non-US) Entity</td> </tr> <tr> <td data-bbox="142 1045 505 1096">L. Public/Indian Housing Authority</td> <td data-bbox="505 1066 857 1096">X. Other (specify)</td> </tr> </table>	A. State Government	M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)	B. County Government	N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)	C. City or Township Government	O. Private Institution of Higher Education	D. Special District Government	P. Individual	E. Regional Organization	Q. For-Profit Organization (Other than Small Business)	F. U.S. Territory or Possession	R. Small Business	G. Independent School District	S. Hispanic-serving Institution	H. Public/State Controlled Institution of Higher Education	T. Historically Black Colleges and Universities (HBCUs)	I. Indian/Native American Tribal Government (Federally Recognized)	U. Tribally Controlled Colleges and Universities (TCCUs)	J. Indian/Native American Tribal Government (Other than Federally Recognized)	V. Alaska Native and Native Hawaiian Serving Institutions	K. Indian/Native American Tribally Designated Organization	W. Non-domestic (non-US) Entity	L. Public/Indian Housing Authority	X. Other (specify)	21.	<p><b>Authorized Representative:</b> (Required) To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required) title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant.</p> <p>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.)</p>
A. State Government	M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)																										
B. County Government	N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)																										
C. City or Township Government	O. Private Institution of Higher Education																										
D. Special District Government	P. Individual																										
E. Regional Organization	Q. For-Profit Organization (Other than Small Business)																										
F. U.S. Territory or Possession	R. Small Business																										
G. Independent School District	S. Hispanic-serving Institution																										
H. Public/State Controlled Institution of Higher Education	T. Historically Black Colleges and Universities (HBCUs)																										
I. Indian/Native American Tribal Government (Federally Recognized)	U. Tribally Controlled Colleges and Universities (TCCUs)																										
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K. Indian/Native American Tribally Designated Organization	W. Non-domestic (non-US) Entity																										
L. Public/Indian Housing Authority	X. Other (specify)																										

**[U.S Department of Education note:** As of spring, 2010, the FON discussed in Block 12 of the instructions can be found via the following URL: [http://www.grants.gov/applicants/find\\_grant\\_opportunities.jsp](http://www.grants.gov/applicants/find_grant_opportunities.jsp).]

## Instructions for the ED Supplemental Information for SF 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.”)

**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.”

**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

**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, DC 20202-4700. If you have comments or concerns regarding the status of your individual submission of this form write directly to: Joyce I. Mays, Application Control Center, U.S. Department of Education, Potomac Center Plaza, 550 12<sup>th</sup> Street, S.W. Room 7076, Washington, DC 20202-4260.*

## Definitions for ED Supplemental Information for SF 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, DC 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).

## ***Part 2: Budget Information***

### ED Budget Information Non-Construction Programs (ED Form 524)

This part of your application contains information about the Federal funding you are requesting. Remember that you must provide all requested budget information for each year of the project (up to 36 months) and the total column in order to be considered for Federal funding. Specific instructions for completing the budget forms are provided within this application package.

*Instructions for completing ED Form 524 Section A:*

Name of Institution/Organization: Enter the name of the applicant in the space provided.

Personnel (line 1): Enter project personnel salaries and wages only. Include fees and expenses for consultants on line 6.

Fringe Benefits (line 2): The institution's normal fringe benefits contribution may be charged to the program. Leave this line blank if fringe benefits applicable to direct salaries and wages are treated as part of the indirect cost.

Travel (line 3): Indicate the travel costs of employees and participants only. Include travel of persons such as consultants on line 6. Applicants must set aside adequate funds within their proposed budget to send a project director to a two-day technical assistance meeting in Washington, DC, for year one of the project period.

Equipment (line 4): Indicate the cost of tangible, non-expendable personal property that has a usefulness greater than one year and acquisition costs that are the lesser of the capitalization level established by the applicant entity for financial statement purposes or \$5,000 per article. Lower limits may be established to maintain consistency with the applicant's policy.

Supplies (line 5): Show all tangible, expendable personal property. Direct supplies and materials differ from equipment in that they are consumable, expendable, and of a relatively low unit cost. *Supplies purchased with grant funds should directly benefit the grant project and be necessary for achieving the goals of the project.*

Contractual (line 6): The contractual category should include all costs specifically incurred with actions that the applicant takes in conjunction with an established internal procurement system. Include consultant fees, expenses, and travel costs in this category if the consultant's services are obtained through a written binding agreement or contract.

Construction (line 7): Not applicable.

Other (line 8): Indicate all direct costs not covered on lines 1-6. For example, include costs such as space rental, required fees, honoraria and travel (where a contract is not in place for services), training, and communication and printing costs. *Do not include costs that are included in the indirect cost rate.*



Total Direct Costs (line 9): The sum of lines 1-8.

Indirect Costs (line 10): Indicate the applicant's approved indirect cost rate, per sections 75.560 – 75.564 of EDGAR. If an applicant does not have an approved indirect cost rate agreement with a cognizant Federal agency, the applicant must apply to the Department for a temporary indirect cost rate if it wishes to charge indirect costs to the grant. For more information, go to the Department's website at: <http://www.ed.gov/about/offices/list/ocfo/fipao/icgindex.html>.

Training Stipends (line 11): The training stipend line item pertains to costs associated with training supported by this program.

Total Cost (line 12): This should equal to sum of lines 9-11 (total direct costs + indirect + stipends). The sum for column one, labeled *Project Year 1* (a), should also be equal to item 15a on the application cover sheet (SF Form 424).

## Instructions for ED 524

### General Instructions

This form is used to apply to individual U.S. Department of Education (ED) discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program specific instructions, if attached. You may access the Education Department General Administrative Regulations, 34 CFR 74 – 86 and 97-99, on ED’s website at: <http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html>

**You must 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 break-down 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. If you checked “no,” ED generally will authorize grantees to use a temporary rate of 10 percent of budgeted salaries and wages subject to the following limitations:

(a) The grantee must submit an indirect cost proposal to its cognizant agency within 90 days after ED issues a grant award notification; and

(b) If after the 90-day period, the grantee has not submitted an indirect cost proposal to its cognizant agency, the grantee may not charge its grant for indirect costs until it has negotiated an indirect cost rate agreement with its cognizant agency.

(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, another Federal agency (Other) or State agency issued the approved agreement. If you check “Other,” specify the name of the Federal or other 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 cost-sharing or 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. For non-Federal funds or resources listed in Section B that are used to meet a cost-sharing or matching requirement or provided as a voluntary cost-sharing or matching commitment, you must include:

- The specific costs or contributions by budget category;
- The source of the costs or contributions; and
- In the case of third-party in-kind contributions, a description of how the value was determined for the donated or contributed goods or services.

[Please review ED’s general cost sharing and matching regulations, which include specific limitations, in 34 CFR 74.23, applicable to non-

governmental entities, and 80.24, applicable to governments, and the applicable Office of Management and Budget (OMB) cost principles for your entity type regarding donations, capital assets, depreciation and use allowances. OMB cost principle circulars are available on OMB’s website at:

<http://www.whitehouse.gov/omb/circulars/index.html>

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

- 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 1894-0008. 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. 20202-4537. 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..

### **Part 3: ED Abstract Form**

*This section should be attached as a single document to the ED Abstract Form in accordance with the instructions found on Grants.gov and should be organized in the following manner and include the following parts in order to expedite the review process.*

*Ensure that you only attach the Education approved file types detailed in the Federal Register application notice (read-only, non-modifiable .pdf files). Also, do not upload any password-protected files to your application.*

*Please note that Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission.*

*When attaching files, applicants should limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We recommend your file names be less than 50 characters.*

#### **□ Project Abstract**

The project abstract should not exceed **two** double spaced pages and should include a concise description of the following information:

- Project objectives and activities,
- Applicable Competitive priorities
- Proposed project outcomes
- Number of participants to be served
- Number and location of proposed sites

Note: Grants.gov may include a note that indicates that the project abstract may not exceed one page; however, an abstract of more than one page may be uploaded.

Applicants may address more than one of the competitive preference priorities; however, the Department will review and award points under only **one** of the priorities. Therefore, an applicant must identify in its application the competitive preference priority under which it is seeking points.

An applicant must identify in the **abstract section** of its application the priority it wishes the Department to consider for purposes of earning competitive preference priority points.

Note: The Department will not review or award points under any competitive preference priority that (1) fails to clearly identify the competitive preference priority the applicant wishes the Department to consider for purposes of earning competitive preference priority points, or (2) identifies more than **one** competitive preference priorities the applicant wishes the Department to consider for purposes of earning competitive preference priority points.

#### **Part 4: Project Narrative Attachment Form**

*This section should be attached as a **single** document to the Project Narrative Attachment Form in accordance with the instructions found on [Grants.gov](http://Grants.gov) and should be organized in the following manner and include the following parts in order to expedite the review process.*

*Ensure that you only attach the Education approved file types detailed in the Federal Register application notice (read-only, non-modifiable .pdf files). Also, do not upload any password-protected files to your application.*

*When attaching files, applicants should limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We recommend your file names be less than 50 characters.*

#### Table of Contents

The Table of Contents shows where and how the important sections of your proposal are organized and should not exceed **one** double spaced page.

#### Application Narrative

*The application narrative responds to the selection criteria found in this application package and should follow the order of the selection criteria.*

We encourage applicants to limit this section of the application to the equivalent of no more than 25 double-spaced typewritten pages and adhere to the following guidelines:

- A “page” is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.
- Double space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, footnotes, quotations, references, and captions, as well as all text in charts, tables, figures, and graphs.
- Use a font that is either 12 point or larger or no smaller than 10 pitch (characters per inch).
- Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial. An application submitted in any other font (including Times Roman or Arial Narrow) will not be accepted.

The narrative must contain evidence that the applicant meets the absolute priorities and should contain and follow in sequence the information requested for each selection criterion. Applicants should ensure that the narrative addresses all of the application requirements listed and that the narrative is easy to read and logically developed in accordance with the selection criteria.

#### ***Selection Criteria for Program Narrative***

The maximum score for all selection criteria is 100 points. The points or weights assigned to each criterion are indicated in parentheses. Non-Federal peer reviewers will review each application. They will be asked to evaluate and score each program narrative against the following 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. [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 Management Plan - 20 points
- 4) Quality of the Project Evaluation - 20 points

### **1. Need for Project (20 points)**

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

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

**Important note about the need for project:** In addressing this criterion, applicants may want to consider looking at the magnitude of the need for counseling services among the target population and the extent to which this project will address identified needs, gaps or weaknesses in current service delivery systems and build infrastructure for a sustainable counseling delivery system. While applicants may address this priority in any way that is reasonable, applicants may want to describe the school population to be served by the grant using recent data, the mental health needs of that population, and gaps in services not addressed by current services and programs.

### **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)

**Important note about the project design:** In addressing this criterion, applicants may want to consider which proposed project objectives and activities will be used to enhance counseling services to students in the target population and how outcomes are linked to stated goals as described in the project narrative. Applicants may want to consider the extent to which activities, curricula, programs, and services proposed in the application are evidence-based or reflect current research and effective practice, and are appropriate for the age and developmental levels, and

gender of the target population. In addition, applicants may want to consider working with students, families, and other stakeholders in designing the proposed project and provide an explanation of how they were included and feedback obtained.

### 3. Quality of Management Plan (20 points)

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

- A. The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks. (10 points)
- B. The adequacy of procedures for ensuring feedback and continuous improvement in the operation of the proposed project. (10 points)

**Applicants must sign the Program Specific Assurance form certifying their commitment to hire staff qualified according to the statutory requirements. Applicants are encouraged to invite 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.**

### 4. Quality of the Project Evaluation (25 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. (5 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. (15 points)

**Important note about project evaluation:** In addressing this criterion, applicants may want to consider 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 performance measures as part of their application. Please use the most recent data available and indicate the year in which the data were collected. See example chart for reporting GPR data on pages 62 and 63. Measures to be used for evaluation of progress and performance must be clear, objective, and consistently used across all schools or target groups participating in the project.

**In addition, the use of external evaluators is not required for this program. If an applicant decides to contract with an external evaluator the applicant must use appropriate**

**procurement procedures for the State/district to identify and select contractors. Applicants should not include information in the grant application about specific contractors that will be used to provide services.** Applicants may include in the budget a reasonable sum for evaluation costs.

Applicants may want to consider a strong evaluation plan to shape the development of the project from the beginning of the grant period. You may want to consider including in the plan benchmarks to monitor progress toward specific project objectives and also outcome measures to assess the impact on teaching and learning or other important outcomes for project participants. More specifically, you may want to consider identifying the individual and/or organization (not a contractor) that have agreed to serve as evaluator for the project and describe the qualifications of that evaluator.

You may want to consider including the evaluation design, indicating: (1) what types of data will be collected; (2) when various types of data will be collected; (3) what methods will be used; (4) what instruments will be developed and when; (5) how the data will be analyzed; (6) when reports of results and outcomes will be available; and (7) how the applicant will use the information collected through the evaluation to monitor progress of the funded project and to provide accountability information both about success at the initial site and effective strategies for replication in other settings.

Applicants may want to consider including how they plan to address absolute priority 2 under this section. Applicants must clearly and thoroughly discuss their specific plans on how they will use their data to improve instructional practices, policies, and student outcomes in elementary or secondary schools.

### **Part 5: Budget Narrative**

*This section should be attached as a **single** document to the Budget Narrative Attachment Form in accordance with the instructions found on [Grants.gov](http://www.grants.gov). It should be organized in the following manner and include the following parts in order to expedite the review process.*

*Ensure that you only attach the Education approved file types detailed in the Federal Register application notice (read-only, non-modifiable .pdf files). Also, do not upload any password-protected files to your application.*

*When attaching files, applicants should limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We recommend your file names be less than 50 characters.*

Each application must also provide a Budget Narrative (which serves to meet the requirements of ED Form 524, Section C) for requested Federal funds. The Budget Narrative for requested Federal funds should provide a justification of how the money requested for each budget item will be spent.

This section requires an **itemized budget breakdown** for each project year and the **basis for estimating the costs** of personnel salaries, benefits, project staff travel, materials and supplies, consultants and subcontracts, indirect costs and any other projected expenditures. Be sure to complete an itemized budget breakdown and narrative for each year of the proposed project (up to 36 months).

The Budget Narrative provides an opportunity for the applicant to identify the nature and amount of the proposed expenditures. The applicant should provide sufficient detail to enable reviewers and project staff to understand how requested funds will be used, how much will be expended, and the relationship between the requested funds and project activities and outcomes.

### **Important Notes**

- Applicants are encouraged to review OMB Circular A-21, *Cost Principles for Educational Institutions* [OMB Circular A-87, *Cost Principles for State, Local, and Indian Tribal Governments* or OMB Circular A-122, *Cost Principles for Nonprofit Organizations*] in preparing their budget and budget narrative.
- OMB Circular A-21 may be found at the following link:  
[http://www.whitehouse.gov/omb/circulars/a021/a21\\_2004.html](http://www.whitehouse.gov/omb/circulars/a021/a21_2004.html)
- OMB Circular A-87 may be found at the following link:  
[http://www.whitehouse.gov/omb/circulars/a087/a87\\_2004.html](http://www.whitehouse.gov/omb/circulars/a087/a87_2004.html)
- OMB Circular A-122 may be found at the following link:  
[http://www.whitehouse.gov/omb/circulars/a122/a122\\_2004.html](http://www.whitehouse.gov/omb/circulars/a122/a122_2004.html)



## **Suggested Guidelines for the Budget Narrative**

In accordance with 34 CFR 75.232, Department of Education staff perform a cost analysis of the each recommended project to ensure that costs relate to the activities and objectives of the project, are reasonable, allowable and allocable. We may delete or reduce costs from the budget during this review.

To facilitate the review of your Budget Narrative, we encourage each applicant to include the following information for each year of the project:

### **1. Personnel**

- Provide the title and duties of each position to be compensated under this project.
- Provide the salary for each position under this project.
- Provide the amounts of time, such as hours or percentage of time to be expended by each position under this project.
- Explain the importance of each position to the success of the project.
- Provide the basis for cost estimates or computations.

### **2. Fringe Benefits**

- Give the fringe benefit percentages of all personnel included under Personnel.
- Provide the rate and base on which fringe benefits are calculated.

### **3. Travel**

- Explain the purpose of the travel, how it relates to project success, how it aligns with the project goals and objectives and which program participants or staff will participate.
- Submit an estimate for the number of trips, points of origin and destination, and purpose of travel.
- Submit an itemized estimate of transportation and/or subsistence costs for each trip.
- Provide the basis for cost estimates or computations.

### **4. Equipment**

- Indicate the estimated unit cost for each item to be purchased.
- Identify each type of equipment.
- Provide adequate justification of the need for items of equipment to be purchased.
- Explain the purpose of the equipment, and how it relates to project success.
- Provide the basis for cost estimates or computations.

### **5. Supplies**

- Provide an itemized estimate of materials and supplies by nature of expense or general category (e.g., instructional materials, office supplies, etc.).
- Explain the purpose of the supplies and how they relate to project success.
- Provide the basis for cost estimates or computations.

### **6. Contractual**

- Provide the purpose and relation to project success.
- Describe the products to be acquired, and/or the professional services to be provided.
- Provide a brief justification for the use of the contractors selected.
- Identify the name(s) of the contracting party, including consultants, if available.
- Provide the cost per contractor.

- Provide the amount of time that the project will be working with the contractor(s).
- For professional services contracts, provide the amounts of time to be devoted to the project, including the costs to be charged to this proposed grant award.
- Provide a brief statement that you have followed the procedures for procurement under 34 CFR Parts 74.40 - 74.48 and Part 80.36.
- Provide the basis for cost estimates or computations.

**7. Construction**

- Not applicable.

**8. Other**

- List and identify items by major type or category (e.g., communications, printing, postage, equipment rental, etc.).
- Provide the cost per item (printing = \$500, postage = \$750).
- Provide the purpose for the expenditures and relation to project success.
- Provide the basis for cost estimates or computations.

**9. Total Direct Costs**

- The amount that is the sum of expenditures, per budget category, of lines 1-8.

**10. Indirect Costs**

- Identify your negotiated restricted indirect cost rate (if the applicant will charge indirect costs to the grant)
- *Note:* remember to provide a copy of the most recent approved negotiated restricted indirect cost agreement in the Other Attachments form section of the application.

**11. Training Stipends**

- Please provide total cost for training stipends.

**12. Total Costs**

- Sum total of direct costs, indirect costs, and stipends.
- Please provide total costs for each year of the project as well as grand total cost for the entire project period (up to 36 months)

## Important Information Regarding Indirect Cost Rates

The Department of Education (ED) reimburses a grantee for part of its indirect costs incurred in projects funded by the Elementary and Secondary School Counseling Program (CFDA 84.215E).

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).

The statute for this program contains a supplement, not supplant provision that requires a reduction in the indirect cost rate so that costs which are unallowable under the supplement, not-supplant program are not recovered through the indirect cost rate. Under these kinds of programs, a grantee cannot use Federal funds to pay for certain costs it would have to incur even if it didn't get any Federal grants. To ensure that these types of costs are not recovered, ED has established a *restricted indirect cost rate*. The detailed requirements of restricted rates are in the Education Department General Administrative Regulations (EDGAR) at §§75.563 and 76.563-569.

**Part 6: Other Attachment Form**

*Attach one or more documents to the Other Attachments Form in accordance with the instructions found on Grants.gov. You may provide all of the required information in a single document, or in multiple documents.*

*Ensure that you only attach the Education approved file types detailed in the Federal Register application notice (read-only, non-modifiable .pdf files). Also, do not upload any password-protected files to your application.*

*Please note that Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission.*

*When attaching files, applicants should limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We recommend your file names be less than 50 characters.*

- Individual Resumes for Project Directors and Key Personnel:** Provide brief resumes or job descriptions that describe their qualifications for the responsibilities they will carry out under the project.
- Program Assurance:** You must complete a program specific assurance form.
- Executive Order 12372:** You must attach a copy of the Single State Point of Contact transmittal letter.
- Indirect Cost Rate Agreement:** You must attach a copy of the indirect cost rate agreement.

## **Program Specific Assurances**

If you are submitting an electronic application, you must print out the form below, complete, and either upload all signed forms to the Other Attachments Form or fax it (along with the ED 424 and other forms) to the Office of Safe and Healthy Students at (202) 245-7166 within 3 working days of submitting your electronic application. You must indicate your PR/Award number in the upper right corner of the form.

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

1. 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. 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. 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.

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**Signature of Authorized Certifying Official**

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**Title**

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**Applicant Organization**

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**Date Submitted**

***Part 7: Assurances and Certifications***

*Be certain to complete all required assurances and certifications in [Grants.gov](https://www.grants.gov), and include all required information in the appropriate place on each form. The assurances and certifications required for this application are:*

- Assurances for Non-Construction Programs (SF 424B Form)
- Disclosure of Lobbying Activities (SF LLL Form)
- Certification Regarding Lobbying (ED 80-0013 Form)
- General Education Provisions Act (GEPA) Requirements – Section 427

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

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

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

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

## **Instructions for Meeting the General Education Provisions Act (GEPA) Section 427 Requirements**

All applicants for new awards **must** include information in their applications to address this new provision 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 provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age.

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.

Please review the Notice to all Applicants (included in the electronic application package in Grants.gov) for further information on meeting the provisions in the Department of Education's General Education Provisions Act (GEPA).

Applicants are **required** to address this provision by attaching a statement (not to exceed three pages) to the **ED GEPA427 form** that is included in the electronic application package in Grants.gov.



***Part 8: Intergovernmental Review of Federal Programs (Executive Order 12372)***

This program falls under the rubric of Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR Part 79. One of the objectives of the Executive order is to strengthen federalism--or the distribution of responsibility between localities, States, and the Federal government--by fostering intergovernmental partnerships. This idea includes supporting processes that State or local governments have devised for coordinating and reviewing proposed Federal financial grant applications.

The process for doing this requires grant applicants to contact State Single Points of Contact for information on how this works. Multi-state applicants should follow procedures specific to each state.

Further information about the State Single Point of Contact (SPOC) process and a list of names by State can be found at:

[http://www.whitehouse.gov/omb/grants\\_spoc](http://www.whitehouse.gov/omb/grants_spoc)

Absent specific State review programs, applicants may submit comments directly to the Department. All recommendations and comments must be mailed or hand-delivered by the date indicated in the actual application notice to the following address: The Secretary, EO 12372--CFDA# 84.215E, U.S. Department of Education, room 7E200, 400 Maryland Avenue, SW., Washington, DC 20202.

Proof of mailing will be determined on the same basis as applications (see 34 CFR §75.102). Recommendations or comments may be hand-delivered until 4:30 p.m. (eastern time) on the closing date indicated in this notice.

**Important note:** The above address is not the same address as the one to which the applicant submits its completed applications. **Do not send applications to the above address.**

Not all states have chosen to participate in the intergovernmental review process, and therefore do not have a SPOC. If you are located in a State that does not have a SPOC, you may send application materials directly to the Department as described in the *Federal Register* notice.

## Reporting and Accountability

Successful applicants with multi-year grants must submit an **annual performance report** demonstrating their progress in meeting approved project objectives. Grantees must also provide the most current financial and performance measure data for each year of the project.

At the end of the project period, applicants will also be required to submit a **final performance report**.

Under the Government Performance and Results Act (GPRA), the following performance indicators have been established to evaluate the overall effectiveness of the Elementary and Secondary School Counseling Programs:

Applicants are encouraged to use the tables below to provide the required information towards meeting required performance measures.

**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	Students enrolled (Baseline) (2010-2011)	Number of Child-adolescent psychiatrists (Baseline) (2010-2011)	Number of School Psychologists (Baseline) (2010-2011)	Number of School Counselors (Baseline) (2010-2011)	Number of School Social Workers (Baseline) (2010-2011)	Number of Other Qualified Mental Health Professionals, if any (Baseline) (2010-2011)
XYZ Elementary	275	0 FTE	1.0 FTE	0 FTE	0 FTE	0 FTE
ABC Elementary	350	0.5	0.5 FTE	1.5 FTE	0 FTE	0 FTE
JKL Elementary	535	1	0.5 FTE	1.0 FTE	0 FTE	0 FTE
<b>TOTAL</b>	<b>1,160</b>	<b>1.6 FTE</b>	<b>2.0 FTE</b>	<b>2.5 FTE</b>	<b>0 FTE</b>	<b>0 FTE</b>

**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 Enrolled (Baseline) (2010-2011)	Number of referrals for disciplinary reasons in schools participating in the grant (Baseline) (2010-2011)

XYZ Elementary	475	221
ABC Elementary	350	45
JKL Elementary	535	163
TOTAL	1,360	429

**Note: Baseline number of referrals for disciplinary reasons**

- The number of referrals for disciplinary reasons must include all incidents in which a student was referred to school personnel (including, but not limited to, the principal, the vice principal, school security, and guidance counselors) for violations of the school’s discipline code.
- The number reported must be the number of referrals for disciplinary reasons, **not** the number of students referred or the number of disciplinary actions taken.
- The number reported must include all referrals for the entire 2010-11 school year.
- The number reported must include all referrals from all schools targeted for grant services. Do not include referrals from schools not targeted for grant services.
- The number reported must include all referrals from all grades in schools targeted for grant services.

For specific requirements on grantee reporting, please go to the ED Performance Report Form 524B at <http://www.ed.gov/fund/grant/apply/appforms/appforms.html>.

## Legal and Regulatory Information

### *Notice inviting applications*

4000-01-U

DEPARTMENT OF EDUCATION

Applications for New Awards; Elementary and Secondary School  
Counseling Programs

AGENCY: Office of Elementary and Secondary Education,  
Department of Education

ACTION: Notice.

#### Overview Information:

Elementary and Secondary School Counseling Programs

Notice inviting applications for new awards for fiscal year (FY)  
2012.

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

#### Dates:

Applications Available: April 10, 2012.

Deadline for Transmittal of Applications: May 25, 2012.

Deadline for Intergovernmental Review: July 24, 2012.

Full Text of Announcement

#### I. Funding Opportunity Description

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

Priorities: This notice contains two absolute and three competitive preference priorities. The absolute priorities are from section 5421 of the Elementary and Secondary Education Act of 1965, as amended (ESEA) (20 U.S.C. 7245) and from the notice of Supplemental Priorities for Discretionary Grant Programs, published in the Federal Register on December 15, 2010 (75 FR 78485), and corrected on May 12, 2011 (76 FR 27637) (the "Supplemental Priorities"). The competitive preference priorities are from the Supplemental Priorities and the notice of final priority published in the Federal Register on December 16, 2011 (76 FR 78250).

Absolute Priorities: For FY 2012 and any subsequent year in which we make awards from the list of unfunded applicants from this competition, these priorities are absolute priorities. Under 34 CFR 75.105(c)(3) we consider only applications that meet these priorities.

These priorities are:

Absolute Priority 1: Establish or expand counseling programs in elementary schools, secondary schools, or both.

Absolute Priority 2: Enabling More Data-Based Decision-Making.

Projects that are designed to collect (or obtain), analyze, and use high-quality and timely data, including data on program participant outcomes, in accordance with privacy requirements

(as defined in this notice), in the following priority area:  
improving instructional practices, policies, and student  
outcomes in elementary or secondary schools.

Competitive Preference Priorities: For FY 2012 and any  
subsequent year in which we make awards from the list of  
unfunded applicants from this competition, these priorities are  
competitive preference priorities. Under 34 CFR  
75.105(c)(2)(i), we award up to an additional 5 points to an  
application, depending on how well the application meets one of  
the following three priorities. Applicants may address more  
than one of the competitive preference priorities; however, the  
Department will review and award points under only one of the  
priorities. Therefore, an applicant must identify in its  
application the competitive preference priority under which it  
is seeking points. An applicant must identify in the abstract  
section of its application the priority it wishes the Department  
to consider for purposes of earning competitive preference  
priority points.

Note: The Department will not review or award points under any  
competitive preference priority for an application that (1)  
fails to clearly identify in the abstract the competitive  
preference priority the applicant wishes the Department to  
consider for purposes of earning competitive preference priority  
points, or (2) identifies more than one competitive preference

priority the applicant wishes the Department to consider for purposes of earning competitive preference priority points.

These priorities are:

Competitive Preference Priority 1: Projects Serving Students Residing on Indian Lands.

Under this priority, we give priority to applications for projects that are proposed by any eligible entity serving students residing on "Indian lands" as that term is defined by section 8013 of the ESEA (20 U.S.C. 7713(7)). The eligible entity must be the only applicant or the lead applicant in a consortium of eligible entities.

Competitive Preference Priority 2: Turning Around Persistently Lowest-Achieving Schools.

Under this priority, we give priority to applications for projects providing services to students enrolled in persistently lowest-achieving schools (as defined in this notice).

Note: For the purposes of this priority, the Department considers schools that are identified as Tier I or Tier II schools under the School Improvement Grants Program (see 75 FR 66363) as part of a State's approved FY 2009 or FY 2010 application to be persistently lowest-achieving schools. A list of these Tier I and Tier II schools can be found on the Department's web site at [www2.ed.gov/programs/sif/index.html](http://www2.ed.gov/programs/sif/index.html).

Competitive Preference Priority 3: Support for Military Families.

Under this priority, we give priority to applications for projects that are designed to address the needs of military-connected students (as defined in this notice).

Definitions: The following definitions are from 34 CFR part 77 and the Supplemental Priorities and apply to this competition. Additional definitions applicable to this program are found in the authorizing statute for this program at 20 U.S.C. 7245 and in the program regulations in 34 CFR part 77, and they will be included in the application package.

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.

Military-connected student means (a) a child participating in an early learning program, a student in preschool through grade 12, or a student enrolled in postsecondary education or training who has a parent or guardian on active duty in the uniformed services (as defined by 37 U.S.C. 101, in the Army,



Navy, Air Force, Marine Corps, Coast Guard, National Guard, or the reserve

component of any of the aforementioned services) or (b) a student who is a veteran of the uniformed services, who is on active duty, or who is the spouse of an active-duty service member.

Persistently lowest-achieving schools means, as determined by the State: (i) Any Title I school in improvement, corrective action, or restructuring that (a) is among the lowest-achieving five percent of Title I schools in improvement, corrective action, or restructuring or the lowest-achieving five Title I schools in improvement, corrective action, or restructuring in the State, whichever number of schools is greater; or (b) is a high school that has had a graduation rate as defined in 34 CFR 200.19(b) that is less than 60 percent over a number of years; and (ii) any secondary school that is eligible for, but does not receive, Title I funds that: (a) Is among the lowest-achieving five percent of secondary schools or the lowest-achieving five secondary schools in the State that are eligible for, but do not receive, Title I funds, whichever number of schools is greater; or (b) is a high school that has had a graduation rate as defined in 34 CFR 200.19(b) that is less than 60 percent over a number of years.

To identify the persistently lowest achieving schools, a State must take into account both: (i) The academic achievement of the "all students" group in a school in terms of proficiency on the State's assessments under section 1111(b)(3) of the ESEA in reading/language arts and mathematics combined; and (ii) the school's lack of progress on those assessments over a number of years in the "all students" group.

Privacy requirements means the requirements of the Family Educational Rights and Privacy Act (FERPA), 20 U.S.C. 1232g, and its implementing regulations in 34 CFR part 99, the Privacy Act, 5 U.S.C. 552a, as well as all applicable Federal, State and local requirements regarding privacy.

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, and 99. (b) The regulations in 34 CFR part 299. (c) The notice of final eligibility requirements for the Office of Safe and Drug-Free Schools discretionary grant programs published in the Federal Register on December 4, 2006 (71 FR 70369). (d) The notice of final priority for the Office of Safe and Healthy Students discretionary grant programs published in the Federal Register on December 16, 2011 (76 FR 78250). (e) The Supplemental Priorities.

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: \$ 21,305,000.

Contingent upon the availability of funds and the quality of applications, we may make additional awards later in FY 2012 and in subsequent years 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: We will reject any application that proposes a budget exceeding \$400,000 for a single budget period of 12 months.

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

Estimated Number of Awards: 61.

Note: Section 5421(g)(1) of the 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 level an applicant proposes to serve under its grant, along with the information obtained by examining the applicant State's law that defines what grade levels constitute an elementary school in the State, to determine if the application will be considered for funding from amounts available for elementary school counseling programs only, from amounts available for elementary or secondary school counseling programs, or both.

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

Project Period: Up to 36 months. Budgets should be developed for each year of funding requested 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 Programs 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. Cost Sharing or Matching: This program does not require cost sharing or matching.

3. Supplement-Not-Supplant: This program has supplement-not-supplant funding requirements. Section 5421(b)(2)(G) of the 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 or from the Education Publications Center (ED Pubs). To obtain a copy via the Internet, use the following address:  
[www.ed.gov/programs/elseccounseling/applicant.html](http://www.ed.gov/programs/elseccounseling/applicant.html). To obtain a copy from ED Pubs, write, fax, or call the following: ED Pubs, U.S. Department of Education, P.O. Box 22207 Alexandria, VA 22304. Telephone, toll free: 1-877-433-7827. FAX: (703) 605-6794. If you use a telecommunications device for the deaf (TDD) or a text telephone (TTY), call, toll free: 1-877-576-7734.

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

If you request an application from ED Pubs, be sure to

identify this program or competition as follows: CFDA number 84.215E.

Individuals with disabilities can obtain a copy of the application package in an accessible format (e.g., braille, large print, audiotape, or compact disc) by contacting the program contact person listed under Accessible Format in section VII of this notice.

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.

Page Limit: The application narrative is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. You must limit the application narrative to no more than 25 pages, using the following standards:

- A "page" is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.
- Double space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, footnotes, quotations, references, and captions, as well as all text in charts, tables, figures, and graphs.
- Use a font that is either 12 point or larger or no

smaller than 10 pitch (characters per inch).

- Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial. An application submitted in any other font (including Times Roman or Arial Narrow) will not be accepted.

The page limit does not apply to Part I, the cover sheet; Part II, the budget section, including the narrative budget justification; Part IV, the assurances and certifications; or the one-page abstract, the resumes, the bibliography, or the letters of support. However, the page limit does apply to all of the application narrative section [Part III].

Our reviewers will not read any pages of your application that exceed the page limit.

### 3. Submission Dates and Times:

Applications Available: April 10, 2012.

Deadline for Transmittal of Applications: May 25, 2012.

Applications for grants under this program must be submitted electronically using the Grants.gov Apply site (Grants.gov). For information (including dates and times) about how to submit your application electronically, or in paper format by mail or hand delivery if you qualify for an exception to the electronic submission requirement, please refer to section IV. 7. Other Submission Requirements of this notice.

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

Individuals with disabilities who need an accommodation or auxiliary aid in connection with the application process should contact the person listed under For Further Information Contact in section VII 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: July 24, 2012.

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 the 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. Data Universal Numbering System Number, Taxpayer Identification Number, and Central Contractor Registry: To do business with the Department of Education, you must--



- a. Have a Data Universal Numbering System (DUNS) number and a Taxpayer Identification Number (TIN);
- b. Register both your DUNS number and TIN with the Central Contractor Registry (CCR), the Government's primary registrant database;
- c. Provide your DUNS number and TIN on your application; and
- d. Maintain an active CCR registration with current information while your application is under review by the Department and, if you are awarded a grant, during the project period.

You can obtain a DUNS number from Dun and Bradstreet. A DUNS number can be created within one business day.

If you are a corporate entity, agency, institution, or organization, you can obtain a TIN from the Internal Revenue Service. If you are an individual, you can obtain a TIN from the Internal Revenue Service or the Social Security Administration. If you need a new TIN, please allow two to five weeks for your TIN to become active.

The CCR registration process may take five or more business days to complete. If you are currently registered with the CCR, you may not need to make any changes. However, please make certain that the TIN associated with your DUNS number is correct. Also note that you will need to update your CCR registration on an

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

In addition, if you are submitting your application via Grants.gov, you must (1) be designated by your organization as an Authorized Organization Representative (AOR); and (2) register yourself with Grants.gov as an AOR. Details on these steps are outlined at the following Grants.gov Web page:  
[www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp).

7. Other Submission Requirements: Applications for grants under this program must be submitted electronically unless you qualify for an exception to this requirement in accordance with the instructions in this section.

a. Electronic Submission of Applications.

Applications for grants under the Elementary and Secondary School Counseling Program, CFDA number 84.215E, must be submitted electronically using the Governmentwide Grants.gov Apply site at [www.Grants.gov](http://www.Grants.gov). Through this site, you will be able to download a copy of the application package, complete it offline, and then upload and submit your application. You may not e-mail an electronic copy of a grant application to us.

We will reject your application if you submit it in paper format unless, as described elsewhere in this section, you 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. Further information regarding calculation of the date that is two weeks before the application deadline date is provided later in this section under Exception to Electronic Submission Requirement.

You may access the electronic grant application for the Elementary and Secondary School Counseling Programs at [www.Grants.gov](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:

- When you enter the Grants.gov site, you will find information about submitting an application electronically through the site, as well as the hours of operation.
- Applications received by Grants.gov are date and time stamped. Your application must be fully uploaded and submitted and must be date and time stamped by the Grants.gov system no later than 4:30:00 p.m., Washington, DC time, on the application deadline date. Except as otherwise noted in this section, we will not accept your application if it is received--that is, date and time stamped by the Grants.gov system--after 4:30:00 p.m., Washington, DC time, on the application deadline date. We do not consider an application that does not comply with the

deadline requirements. When we retrieve your application from Grants.gov, we will notify you if we are rejecting your application because it was date and time stamped by the Grants.gov system after 4:30:00 p.m., Washington, DC time, on the application deadline date.

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

- You should review and follow the Education Submission Procedures for submitting an application through Grants.gov that are included in the application package for this program to ensure that you submit your application in a timely manner to the Grants.gov system. You can also find the Education Submission Procedures pertaining to Grants.gov under News and Events on the Department's G5 system home page at [www.G5.gov](http://www.G5.gov).

- You will not receive additional point value because you submit your application in electronic format, nor will we penalize you if you qualify for an exception to the electronic submission requirement, as described elsewhere in this section, and submit your application in paper format.

- You must submit all documents electronically, including all information you typically provide on the following forms: the 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.

- You must upload any narrative sections and all other attachments to your application as files in a PDF (Portable Document) read-only, non-modifiable format. Do not upload an interactive or fillable PDF file. If you upload a file type other than a read-only, non-modifiable PDF or submit a password-protected file, we will not review that material.

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

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

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

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

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

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

ability to submit your application by 4:30:00 p.m., Washington, DC time, on the application deadline date. The Department will contact you after a determination is made on whether your application will be accepted.

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

Exception to Electronic Submission Requirement: You qualify for an exception to the electronic submission requirement, and may submit your application in paper format, if you are unable to submit an application through the Grants.gov system because--

- You do not have access to the Internet; or
- You do not have the capacity to upload large documents to the Grants.gov system;

and

- No later than two weeks before the application deadline date (14 calendar days or, if the fourteenth calendar day before the application deadline date falls on a Federal holiday, the next business day following the Federal holiday), you mail or fax a written statement to the Department, explaining which of

the two grounds for an exception prevent you from using the Internet to submit your application.

If you mail your written statement to the Department, it must be postmarked no later than two weeks before the application deadline date. If you fax your written statement to the Department, we must receive the faxed statement no later than two weeks before the application deadline date.

Address and mail or fax your statement to: Lisa Harrison, U.S. Department of Education, 550 12th Street, SW. room 10070, Potomac Center Plaza (PCP), Washington, DC 20202-6450. FAX: (202) 245-7166 or Loretta McDaniel, U.S. Department of Education, 550 12th Street, SW. room 10080, Potomac Center Plaza (PCP), Washington, DC 20202-6450. FAX: (202) 245-7166.

Your paper application must be submitted in accordance with the mail or hand delivery instructions described in this notice.

b. Submission of Paper Applications by Mail.

If you qualify for an exception to the electronic submission requirement, you may mail (through the U.S. Postal Service or a commercial carrier) your application to the Department. You must mail the original and two copies of your application, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.215E)



LBJ Basement Level 1  
400 Maryland Avenue, SW.  
Washington, DC 20202-4260

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

(1) A legibly dated U.S. Postal Service postmark.

(2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.

(3) A dated shipping label, invoice, or receipt from a commercial carrier.

(4) Any other proof of mailing acceptable to the Secretary of the U.S. Department of Education.

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

(1) A private metered postmark.

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

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

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

c. Submission of Paper Applications by Hand Delivery.

If you qualify for an exception to the electronic submission requirement, you (or a courier service) may deliver

your paper application to the Department by hand. You 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: We remind potential applicants that in reviewing applications in any discretionary grant competition, the Secretary may consider, under 34 CFR 75.217(d) (3), the past performance of the applicant in carrying out a previous award, such as the applicant's use of funds, achievement of project objectives, and compliance with grant conditions. The Secretary may also consider whether the applicant failed to submit a timely performance report or submitted a report of unacceptable quality.

In addition, in making a competitive grant award, the Secretary also requires various assurances including those applicable to Federal civil rights laws that prohibit discrimination in programs or activities receiving Federal financial assistance from the Department of Education (34 CFR 100.4, 104.5, 106.4, 108.8, and 110.23).

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

3. Special Conditions: Under 34 CFR 74.14 and 80.12, the Secretary may impose special conditions on a grant if the applicant or grantee is not financially stable; has a history of unsatisfactory performance; has a financial or other management system that does not meet the standards in 34 CFR parts 74 or 80, as applicable; has not fulfilled the conditions of a prior grant; or is otherwise not responsible.

#### 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: (a) If you apply for a grant under this competition, you must ensure that you have in place the

necessary processes and systems to comply with the reporting requirements in 2 CFR part 170 should you receive funding under the competition. This does not apply if you have an exception under 2 CFR 170.110(b).

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

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

(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.

5. Continuation Awards: In making a continuation award, the Secretary may consider, under 34 CFR 75.253, the extent to which a grantee has made "substantial progress toward meeting the objectives in its approved application." This consideration includes the review of a grantee's progress in meeting the targets and projected outcomes in its approved application, and whether the grantee has expended funds in a manner that is consistent with its approved application and budget. In making a continuation grant, the Secretary also considers whether the grantee is operating in compliance with the assurances in its approved application, including those applicable to Federal civil rights laws that prohibit discrimination in programs or activities receiving Federal financial assistance from the Department (34 CFR 100.4, 104.5, 106.4, 108.8, and 110.23).

#### VII. Agency Contacts

For Further Information Contact: Lisa Harrison, U.S. Department of Education, 550 12<sup>th</sup> Street, SW., room 10070, Potomac Center Plaza (PCP), Washington, DC 20202-6450. Telephone: 202-245-

7873 or by email: Lisa.Harrison@ed.gov or Loretta McDaniel,  
U.S. Department of Education, 550 12<sup>th</sup> Street, SW., room 10080,  
Potomac Center Plaza (PCP), Washington, DC 20202-6450.

Telephone: 202-245-7870 or by email: Loretta.McDaniel@ed.gov.

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

#### VIII. Other Information

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

Electronic Access to This Document: 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 via  
the Federal Digital System at:  
[www.gpo.gov/fdsys](http://www.gpo.gov/fdsys). At this site 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). To use PDF you must have Adobe Acrobat Reader, which is  
available free at the site.

You may also access documents of the Department published in the Federal Register by using the article search feature at: [www.federalregister.gov](http://www.federalregister.gov). Specifically, through the advanced search feature at this site, you can limit your search to documents published by the Department.

Dated:

\_\_\_\_\_  
Michael Yudin,  
Acting Assistant Secretary for  
Elementary and Secondary  
Education.



***Program Statute***

Elementary and Secondary Education Act of 1965, as amended, Title V, Part D, Subpart 2, Sec. 5421; 20 U.S.C. 7245.

**Subpart 2 — Elementary and Secondary School Counseling Programs**

**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 one school counselor to 250 students, one school social worker to 800 students, and one 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.