

California Safe and Drug-Free Schools and Communities Grant

**Request for Application
Application Deadline: July 13, 2007**



**California Department of Alcohol and Drug Programs
Program Services Division
1700 K Street
Sacramento, California 95814**

Round 3 of Funding

Table of Contents

I. Introduction	3
Background	3
Prior Grant Funding	3
Overall Purpose of Grant Program	3
Specific Goals of this Request for Application	4
Grant Requirements and Applicable Regulations	6
Other Grant Requirements	7
Expectations of County Grant Recipients	9
II. General RFA Information	10
Estimated Time Schedule	10
Eligibility.....	10
Project Period.....	10
Source of Funds and Timeframes for Expending Grant Funds.....	10
Grant Award Information.....	11
Use of Funds	11
Reporting Requirements.....	11
Submission Dates and Times	11
Where to Send Application.....	11
Selection Criteria	12
Questions/Assistance.....	12
Award Finalization.....	13
Post Award.....	13
III. Preparing the Application.....	14
Format Review	14
Technical Proposal	15
Budget Estimate and Justification Narrative.....	21
IV. Assurances	22
V. Certifications	26
Appendix A: Grant Project Budget Instructions.....	29
General Instructions	29
Additional Information.....	32
Appendix B: Forms.....	34
Application Signature Sheet.....	34
Sample Budget Format	35
Sample Logic Model Format.....	36
Evaluation Plan Template	37
Work Plan Format	38
Appendix C: Resource Guide	39
Definitions and Prevention Concepts	39
Web Sites and Reference Areas	46
Appendix D: Subgranting/Subcontracting.....	48
Appendix E: Restricted Indirect Cost Rate.....	49
Appendix F: SDFSC Terms and Conditions.....	51

I. Introduction

Background

On January 8, 2002, President Bush signed the No Child Left Behind (NCLB) Act of 2001 reauthorizing the Elementary and Secondary Education Act of 1965. The Safe and Drug-Free Schools and Communities Act (SDFSCA) was reauthorized as part of this legislative effort. The purpose of the Act is to foster a safe and drug-free learning environment that supports student academic achievement for the nation's youth. Significant changes were incorporated into the statute as it applies to Safe and Drug-Free Schools and Communities (SDFSC) funds distributed by the California Department of Education (CDE) and funds directed by the Governor to the Department of Alcohol and Drug Programs (ADP). The SDFSC Program is the federal government's primary vehicle for reducing drug, alcohol, tobacco use and violence through education and prevention activities in the nation's schools and communities they serve. Through a formula allocation, funds are provided to state and local educational agencies (LEA), as well as to governor's offices, for a wide range of school and community-based education and prevention activities in order to create a safe and drug-free learning environment that supports student academic achievement.

In California, 80 percent of the SDFSC funds are directed to the CDE, and 20 percent are directed through the Governor to ADP. Programs funded through ADP's SDFSC program are meant to complement and support the programs funded through CDE, and serve children and youth who are not normally served through state and local educational agencies, or who need special / additional services (such as runaway and homeless youth, pregnant and parenting teenagers, and dropouts). Funds are received annually via a notification of grant award from the U.S. Department of Education (USDOE). Funds are effective July 1 of each federal fiscal year.

Prior Grant Funding

In November, 2002, ADP announced grant awards of up to \$200,000 to 33 programs in 28 counties (Round 1). In the Spring of 2003, ADP awarded funds to 10 programs (Round 2), bringing the total number of SDFSC grants to 43 grantees in 35 counties statewide. Round 1 grantees began their fifth and final year of funding in January, 2007, and will conclude their grant programs on December 31, 2007. Round 2 grantees began Year 4 on September 1, 2006 and will conclude their grant programs on August 31, 2008.

Overall Purpose of Grant Program

Among the criteria considered by ADP in awarding funds is the emphasis placed on serving children and youth who are not normally served by state and local educational agencies and populations that need special services or additional resources. This grant program focuses on the needs of at-risk and under-served youth and their environments by creating and supporting programs that:

- Prevent the illegal use of alcohol, tobacco, and other drugs (ATOD/AOD);
- Prevent violence in and around schools;
- Involve parents and communities; and
- Coordinate with related federal, state, school, and community efforts and resources.

Specific Goals of This Request For Application

The intent of the Round 3 SDFSC grant program is to address the unique ATOD service needs of specific under-served populations of school-aged (kindergarten through twelfth grade) children and youth up to eighteen years of age. To do this, grantees must establish interventions that fall within the “selective” and “indicated” approaches as defined in the Institute of Medicine (IOM) prevention categories to target identified subsets and individuals. (See Appendix C). To ensure that the priority population is appropriately identified and receives adequate services to meet the comprehensive needs of the youth, necessitates collaboration across multiple disciplines and service delivery systems including, but not limited to, mental health, AOD treatment, health and/or social services.

The programs and strategies proposed in the grant application must support the overall goals and purpose of the SDFSC Governor’s Program. In addition, the project must address the specific ATOD prevention needs of one of three priority populations of children and youth:

1. Who exhibit high rate/binge drinking behavior;
2. Who are in foster care; or
3. Whose parents/guardians/caregivers are in substance abuse treatment.

High Rate Users/Binge Drinking—High rate users are defined as youth who report weekly or more frequent marijuana use; any use of cocaine in the last 6 months; three or more occasions of the use of two or more different drugs (including alcohol) at the same time in the last six months (polydrug use); or a pattern of multiple or high frequency of any illicit drug(s) other than marijuana or cocaine. Binge drinking is defined as five or more drinks at a single setting (within a few hours) for boys and four or more drinks for girls.

Children/Youth in Foster Care—This population is defined as children and youth involved in child welfare supervised out-of-home care in foster family homes, group homes, with relatives (kinship care), and those recently reunited with their families but still in the foster care system.

Children/Youth of Substance-Abusing Parents/Guardians/Caregivers in Treatment—These youth have a substance-abusing parent, guardian, or caregiver who has been identified as being in need of treatment, is currently in treatment, has received treatment or is currently in recovery.

The selection of these priority populations is based on the following:

Children/Youth Exhibiting High Rate and Binge Drinking

The 2004 National Survey on Drug Use and Health reports that 1,273,000 California youth were alcohol users or binge drinkers. Of these, 204,000 met the criteria for alcohol dependence or abuse in the past year, and 188,000 needed but did not receive treatment for alcohol use in the past year.¹

According to the 2005-2006 California Student Survey (CSS), a biannual survey of 7th, 9th, and 11th graders, frequent alcohol use and binge drinking remain the issues of most concern among California’s youth. Although overall use measures are stable between the 2003-2004 and 2005-2006 surveys, weekly drinkers constituted 14 percent of 9th grade drinkers, but 25 percent of 11th grade drinkers, indicating that the risk of heavy drinking increases with age. Binge

¹ OAS/SAMHSA National Study on Drug Use and Health 2003-2004, <http://www.oas.samhsa.gov/2k4State/Vars.htm>

drinking – consuming five drinks in a row in the past 30 days for boys and four drinks in a row in the past 30 days for girls – changed little between the two surveys. However, students who binged constitute almost 50 percent of the current drinking population in 9th grade and 66 percent of the drinking population in 11th grade. This makes binge drinking the predominant pattern of alcohol use for older youth. About half of 11th grade binge drinkers binged on three or more occasions in the past 30 days, suggesting a weekly pattern. Moreover, four percent of 9th graders and nine percent of 11th graders may already be dependent and in need of substance abuse treatment or counseling. Therefore, in an average 11th grade classroom of 35 students, 5-6 students may be in need of some kind of intervention for substance abuse, and 3 may need treatment or counseling for substance dependence.²

Children/Youth in Foster Care

According to the Department of Social Services there are approximately 84,737 foster children in California³, representing nearly 20 percent of the nation's entire foster child population. Youth in foster care are a vulnerable population removed from their families for a myriad of reasons. There are few comprehensive AOD services for youth who grow up in foster care and they often leave it unprepared to function outside the system when they turn 18. Studies show that youth who "age out" of the foster care system face daunting odds:

- 46 percent do not complete high school
- 51 percent are unemployed
- 10 to 25 percent are homeless⁴

According to the *Reexamination of the Role of Group Care in a Family-Based System of Care, Report to the Legislature*, it is estimated that 61 percent of youth in foster group homes have a substance abuse problem.⁵ Youth who have ever been in foster care had higher rates of past year use of any illicit drug than youth who have never been in foster care (33.6 vs. 21.7 percent).⁶ As many as 80 percent of youth involved with child welfare agencies have emotional or behavioral disorders, developmental delays, or other issues requiring mental health intervention, in addition to substance use and abuse.^{7 8 9}

Children/Youth of Substance-Abusing Parents/Guardians/Caregivers in Treatment

It is well documented that youth who live with substance-abusing parents are at high risk of alcohol and drug abuse or dependence, delinquency, and depression. In addition, they are almost three times more likely to be physically or sexually assaulted and four times more likely

² Office of the Attorney General, Crime and Violence Prevention Center, California Student Survey Brief #4, www.safestate.org/CSS.

³ <http://www.dss.cahwnet.gov/research/res/pdf/CWS/2007/cws1jan07.htm>

⁴ CHILD WELFARE SYSTEM IMPROVEMENTS IN CALIFORNIA, 2003–2005: Early Implementation of Key Reforms" California Department of Social Services, December, 2005

⁵ <http://www.childsworld.ca.gov/res/PDF/statusreport.pdf>

⁶ The National Survey on Drug Use and Health Substance "Use and Need for Treatment among Youths Who Have Been in Foster Care" February 2005 <http://www.oas.samhsa.gov/2k5/FosterCare/FosterCare.pdf>

⁷ Farmer EMZ, Burns BH, Chapman MV, Phillips SD, Angold A, Costello EJ. 2001. "Use of Mental Health Services by Youth in Contact with Social Services." *Social Service Review* 75(2):605-24

⁸ Landsverk J, Garland AF, Leslie LK. 2002. "Mental Health Services for Children Reported to Child Protective Services." In *APSAC Handbook on Child Maltreatment*, 2nd ed., edited by Myers JDB, Hendrix CT, Berliner L, Jenny C, Briere J, Reid T. pp. 487-507. Thousand Oaks, CA: Sage Publications.

⁹ Taussig HN. 2002. "Risk Behaviors in Maltreated Youth Placed in Foster Care: A Longitudinal Study of Protective and Vulnerability Factors." *Child Abuse and Neglect* 26 (11): 1179-99.

to be neglected as children of non-substance abusing parents. Neglected and abused children are more likely to use drugs (43 percent vs. 32 percent) than non-neglected and abused children.¹⁰

The National Household Survey on Drug Abuse (NHSDA) report *Children Living with Substance-Abusing or Substance Dependent Parents* indicated that nationally 6 million children under 18 years of age live with at least one parent who abused or was dependent upon alcohol or an illicit drug in the last year. In California, it is estimated that 9.8 percent of children 6 years of age and under (estimated 309,621 children) and 8.3 percent of children ages 6- 17 (estimated 530,507) are living with a substance-abusing or dependent parent.¹¹ In calendar year 2006, men and women in the California public treatment system had a total of 140,422 children.¹²

Children of substance-abusing parents are disproportionately represented in special education, child welfare, juvenile corrections, mental health, developmental disabilities, and other service systems.

Grant Requirements and Applicable Regulations

This request for grant application is based on the requirements of the SDFSC program under the NCLB Act, and the most recent information available from the USDOE, including the Guidance for State and Local Implementation of Programs, released in December, 2002, (available at <http://www.adp.ca.gov/Prevention/sdfsc.shtml>). This request for grant application also reflects practical experience and insights gained from the development and implementation of the grant award and implementation process in past rounds of funding for SDFSC, as well as input from current grantees and technical assistance staff and consultants.

ADP reserves the right to amend the terms and conditions of this grant program based on future clarification by USDOE, and future information and policy decisions created to guide grantees in program compliance.

Applicable Regulations

This grant is made subject to the provisions of all applicable acts and regulations and the approved SDFSC state plan. This grant is subject to the provisions of the Elementary and Secondary Education Act as amended and codified in 20 USC Section 7111 et seq., 20 USC Sections 7161-7165, and 20 USC Section 7801 et seq. This grant is also subject to the Education Department General Administrative Regulations (EDGAR) in 34 CFR Parts 74, 76, 77, 79, 80, 81, 82, 85, 97, 98, 99, and 299.

Principles of Effectiveness

All applications must demonstrate how programs or services will meet the Principles of Effectiveness (POE).

¹⁰ National Center on Addiction and Substance Abuse at Columbia University October 2004. "Criminal Neglect: Substance Abuse, Juvenile Justice and the Children Left Behind".

¹¹ Extrapolated from: Substance Abuse and Mental Health Services Administration (2003), the NHSDA Report: Children Living With Substance-Abusing or Substance Dependent Parents. June 2, 2003.

¹² California Outcomes Measurement System for Treatment 2006

1. IN GENERAL- For a program or activity developed pursuant to this subpart to meet the principles of effectiveness, such program or activity shall:
 - a. be based on an assessment of objective data regarding the incidence of violence and illegal drug use in the elementary schools and secondary schools and communities to be served, including an objective analysis of the current conditions and consequences regarding violence and illegal drug use, including delinquency and serious discipline problems, among students who attend such schools (including private school students who participate in the drug and violence prevention program) that is based on ongoing local assessment or evaluation activities;
 - b. be based on an established set of performance measures aimed at ensuring that the elementary schools and secondary schools and communities to be served by the program have a safe, orderly, and drug-free learning environment;
 - c. be based on scientifically based research¹³ that provides evidence that the program to be used will reduce violence and illegal drug use;
 - d. be based on an analysis of the data reasonably available at the time, of the prevalence of risk factors, including high or increasing rates of reported cases of child abuse and domestic violence; protective factors, buffers, assets; or other variables in schools and communities in the state identified through scientifically based research; and
 - e. include meaningful and ongoing consultation with and input from parents in the development of the application and administration of the program or activity.
2. Periodic Evaluation:
 - a. REQUIREMENT- The program or activity shall undergo a periodic evaluation to assess its progress toward reducing violence and illegal drug use in schools to be served based on performance measures described in 20 USC Section 7114 (d)(2)(B);
 - b. USE OF RESULTS- The results shall be used to refine, improve, and strengthen the program, and to refine the performance measures, and shall also be made available to the public upon request, with public notice of such availability provided.

Other Grant Requirements

In addition to the federal grant requirements, all applications must meet the following requirements:

- As part of the California Outcomes Measurement Service (CalOMS) for Prevention, counties are required to submit their Strategic Prevention Framework (SPF) plans to ADP by July 1, 2007. In coordination with this requirement, counties must ensure that the proposed SDFSC grant program is in alignment with the county AOD office's problem statements, goals and objectives under the SPF county plan. Please see ADP's SDFSC website (www.adp.ca.gov/prevention/sdfsc.shtml) for a link to *Finding Alignment between the Principles of Effectiveness (POE) and the Strategic Prevention Framework (SPF)*.
- Applicants must demonstrate collaboration with their LEA by including a letter of support describing how the LEA will be involved in planning and implementing the SDFSC program.
- Programs funded will be required to demonstrate progress in achieving measurable results and outcomes, and implementing the goals and objectives identified in the grant application and work plan.

¹³ The term scientifically based research means research that involves the application of rigorous, systematic, and objective procedures to obtain reliable and valid knowledge relevant to education activities and programs. For USDOE's full definition, see Appendix C.

Substantive Involvement

Consistent with the intent and requirements of the Governor's Program SDFSC funds, the county, as the grantee, must be substantively involved with the program that receives funds through this grant and must be able to demonstrate this involvement throughout the grant period. Substantive involvement can be characterized as "the primary project activities for which grant support is provided and/or a significant portion of the activities to be conducted under the grant."¹⁴ Pass-through grants are not allowed. However, elements or activities of program implementation may be subgranted/subcontracted (see Appendix D). Substantive involvement must be demonstrated through responses to applicable questions in the Technical Proposal.

If the county AOD office is not directly involved in the delivery of services, activities that would meet the requirement of substantive program involvement include, but are not limited to:

- analysis and monitoring of project progress, submission of timely progress reports, taking any necessary action to ensure the terms of the contract are carried out;
- participation in community planning process and/or the development of an acceptable strategic plan;
- participation in the evaluation process, which will include analysis, reporting and dissemination of programmatic data and not merely collecting program information; and
- providing training, technical assistance and support services.

Subgranting/Subcontracting

Subgranting and subcontracting are allowed under this grant program.

Subgranting—the grantee must have legal authority to subaward. Legal authority can be in the form of a county ordinance or a resolution from the relevant governing body, such as the county board of supervisors.

- If the grantee has such authority, it can use a subgrant to award federal financial assistance to carry out elements of the SDFSC grant program. Entities receiving federal financial assistance under a grant are defined as "subrecipients."
- Without the authority to subaward, the grantee must use a procurement contract.
- Subgrants may not be used to purchase goods and services (see subcontracting, below).

Subcontracting—under this program subcontracting may be used for two purposes:

- For federal financial assistance to carry out elements of the SDFSC program if the grantee does not have the authority to subgrant. Entities receiving federal assistance to carry out elements of the SDFSC program via a contract are defined as "subrecipients."
- To procure goods and services that are ancillary to the SDFSC program. Entities receiving payment for providing goods and services ancillary to the program are defined as "vendors."¹⁵ Please note that even though evaluation is a requirement of this grant, the evaluator is not responsible for implementing an element of the SDFSC grant program. Therefore, the evaluator would be providing services ancillary to the program, and would therefore be defined as a "vendor."

¹⁴ It is the intent of USDOE that recipients implement programs and are substantively involved in program implementation, rather than act as pass-through entities. To do that, we have adopted the Public Health Services definition of substantive involvement.

¹⁵ As defined in Office of Management and Budget Circular A-133.

Grantees may enter into subgrants/subcontracts with more than one entity (subrecipient) as necessary for elements of program implementation. Subrecipients may not subgrant/subcontract to another entity for elements of program implementation. In other words, program implementation must not be more than one level removed from the grantee. Subrecipients may, however, enter into contracts with vendors to provide goods and services necessary to carry out the program.

Evaluation

Grantees will be required to evaluate their programs. Grantees must budget a minimum of 10 percent of their grant total for evaluation purposes, but no more than 15 percent of the total. A preliminary evaluation plan will be described in the technical proposal with the anticipation of a final plan completed after a local evaluator is identified.

Expectations of County Grant Recipients

In addition to the requirements outlined above, grant recipients will be held to the following additional expectations during the entire grant period. Applicants should take the administrative expectations into consideration before applying for this funding.

Administration

The applicant must have adequate staff capacity to manage the grant, including meeting all administrative, monitoring and oversight requirements. Grant administration, monitoring and oversight will include:

- Compliance with the Administrative Requirements in 34 CFR Part 80;
- Compliance with the Terms and Conditions of the grant award and adherence to the Certifications and Assurances;
- Compliance with all subgranting/subcontracting requirements;
- Designation of a project director to be responsible for grant administration and oversight;
- Collaboration with state staff in project planning, design, organization, selection, implementation, modification, adaptation, evaluation, and monitoring;
- Ensuring that any and all program implementation or work conducted by subrecipients and/or vendors is completed and accepted before grant period expiration. Any work performed after the grant period has expired will not be reimbursed; and,
- Ensuring that the evaluator selected for the grant:
 - a. Develops a local evaluation plan;
 - b. Collects complete local process and outcome evaluation data using standardized evaluation tools.

II. General RFA Information

Estimated Time Schedule

Request For Application released	May 29, 2007
Questions from applicants due	June 8, 2007
Responses to questions from applicants posted on website on or before	June 15, 2007
Applications due	July 13, 2007
Grant awards announced	August 31, 2007
Work plan and budget negotiation	September 14, 2007
Program implementation	October 1, 2007
Assessment and reporting of years 1-5 progress	Quarterly

Eligibility

The eligible applicant is the **County Alcohol and Drug Program Administrator**. California county offices authorized by the county board of supervisors to administer alcohol and drug programs are eligible for funding under this grant. They must implement, develop and operate ATOD prevention and violence prevention programs meeting the requirements of the SDFSC program under 20 USC Section 7111 et seq. The applicant must maintain on file and make available on request the resolution, order, motion, or ordinance that authorizes and approves execution of this grant.

All California counties are eligible to compete for grant funding, including those counties that received funding in the prior two rounds of SDFSC grants.

Project Period

The proposed start date of the grant project is October 1, 2007. Awards will be made for a project period of five years.

Source of Funds and Timeframes for Expending Grant Funds

The source of funds is SDFSC (Title IV) of the NCLB Act of 2001, 20 USC Section 7111 et seq. The expenditure of SDFSC funds is subject to the availability period of each Federal Fiscal Year (FFY) award. The funds for the first project year are from the FFY 2007 award. Funding levels and duration of project funding in subsequent years will be dependent upon funds made available from the United States Government for the purposes of this program.

Grant Award Information

- There are \$4.5 million available per year to fund grants in this round of funding.
- The maximum amount allowable for each grant is \$220,000 per year. This includes funding for all grant related costs, including evaluation and administration. ADP reserves the right to renegotiate grant budgets to ensure appropriate funding to support proposed activities.
- Awards will be provided to the highest ranked applications that have a final score of 80 percent or above, up to the available amount of \$4.5 million per year (approximately 20-30 grants). Geographic distribution and population size may be a consideration.
- Only one grant will be awarded per county.

Use of Funds

Although SDFSC authorizes a broad range of activities, the statutory provisions are not the only requirements governing expenditures of funds. For information on the use of SDFSC funds, potential applicants should review the following:

- The *Education Department General Administrative Regulations*, particularly Parts 74 and 80 (<http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html>)
- Office of Management and Budget (OMB) Circular A-87, Cost Principles for State, Local, and Indian Tribal Governments (www.whitehouse.gov/omb/circulars/a087/a087-all.html)
- OMB Circular A-122, Cost Principles for Non-Profit Organizations (www.whitehouse.gov/omb/circulars/a122/a122.html)

Additional information on allowable activities and expenses is included in the Terms and Conditions (Appendix F).

Reporting Requirements

Quarterly progress reports and claim forms are due 30 days after the close of each calendar quarter. In addition, a comprehensive annual report at the end of each project year is due 60 days after the end of the project year. A final performance report will be due 90 days after the end of the grant period (end of Year 5). Additional information about the progress report and claim forms and requirements is included in the Terms and Conditions.

Submission Dates and Times

Only one application may be submitted per county. Applications must be received at ADP on or before July 13, 2007. Applications delivered by hand must be received no later than 5:00 p.m. on July 13, 2007. **LATE APPLICATIONS WILL NOT BE ACCEPTED.**

Where to Send the Application

Applications can be mailed or hand delivered. Due to the requirement for original signatures, applications submitted through facsimile, electronic transfer, or on diskette will not be accepted.

Mail the signed original and two (2) additional copies of the signed application to:

California Department of Alcohol and Drug Programs
PSD—Prevention Services
SDFSC County Grant RFA
1700 K Street, 4th Floor
Sacramento, CA 95814

ADP will not provide a receipt of delivery. If you would like documentation of receipt, send the application certified/registered U.S. mail or utilize an overnight service that provides tracking.

Hand delivered applications should be brought directly to ADP Business Services Section, 1700 K Street, Room #100, Sacramento, CA. The envelope containing the application should clearly state ADP, PSD—Prevention Services, SDFSC County Grant RFA, 1700 K Street, 4th Floor, as the addressee. For tracking purposes, request that the person receiving the application in ADP's Business Services sign and date stamp the application, as well as your copy of the application.

Selection Criteria

The following criteria will guide grant selection.

Passing Score

The maximum score for the Technical Proposal and Grant Project Budget is 130 points (110 points for the Technical Proposal, 20 points for the Grant Project Budget). **The minimum passing score is 80 percent (104 points).**

Additional Consideration

If more applications that meet the 80 percent passing score are received than can be funded, selections may be made on the basis of geographic distribution and population size.

Qualifying Interview

If multiple applications have similar scores and all selection criteria have been met, qualifying interviews may be conducted or additional written information may be required. The interview or additional information will enable ADP to further assess the applicant's readiness to fulfill county SDFSC grant program requirements.

NOTE: No protest will be allowed. Award decisions are final.

Questions/Assistance

All questions regarding this Request for Application (RFA) must be submitted in writing and contain a contact name and address. The final date to submit questions is June 8, 2007. All questions and responses will be distributed to the county AOD administrators and posted on <http://www.adp.ca.gov/Prevention/sdfsc.shtm> before the application due date. ADP will provide answers to questions within a reasonable timeframe before the application due date.

No telephone consultation will be provided.

Submit questions in writing to:

California Department of Alcohol and Drug Programs
PSD—Prevention Services
SDFSC County Grant RFA
1700 K Street, 4th Floor
Sacramento, CA 95814
Fax: (916) 323-0633
E-mail: SDFSC@adp.ca.gov

Award Finalization

After the applicant has been notified that the application has been selected for funding, all grant award documents will be finalized in preparation of the Notice of Grant Agreement (NOGA). Finalization of documents may include clarification/refinement of budget items and descriptions, goals and objectives, work plan and evaluation plan.

During the finalization period, grant recipients are expected to be responsive and to provide timely and accurate information. Failure to respond to requests for information or failure to submit accurate information may cause delays in the award. Failure to resolve these problems within the agreed upon timeframe may result in a termination of the grant award.

A NOGA will constitute a binding agreement setting forth the general conditions governing a collaborative effort between ADP and the SDFSC grant recipient. The application submitted and selected through this RFA will be incorporated by reference into a final NOGA as will the work plan and associated planning documents.

Post Award

After the NOGA has been formally signed by all parties, grantees must ensure compliance with SDFSC requirements and performance expectations. ADP provides free technical assistance services to grantees to assist them in meeting these requirements.

Compliance Review

The Program Services Division (PSD) county analysts will monitor grantees and programs for compliance with the requirements of the grant agreement and will review work plans, budgets, invoices, claim forms, and performance progress reports. Analysts may conduct periodic program reviews through county office and program site visits, and through attendance at program activities and training events to determine possible technical assistance needs. Analysts will also assess information gathered from audits. Each grant will be monitored to ensure quality programs, coordination of efforts, and compliance with SDFSC requirements. If it is determined that programs are not meeting the SDFSC requirements, mutually agreed upon steps will be developed to resolve issues regarding compliance. If a resolution of issues or compliance is not reached, the grant may be terminated at the discretion of ADP with 30 days notice to the grantee.

Grant Payments

This is a cost reimbursement grant program. Applicants must be financially capable of incurring all program costs until reimbursed by ADP.

Payments are made to the county quarterly in arrears, after the progress reports showing completion of the work plan tasks and the corresponding claim forms have been submitted. Claim forms will be reviewed for accuracy and completeness by the ADP county analyst who will approve payment to the grantee.

III. Preparing the Application

The application will be reviewed on three levels. The levels are each covered in detail in each of the following sections:

- Format Review (Pass/Fail)
- Technical Proposal (110 Points)
- Grant Project Budget (20 Points)

Format Review (Pass/Fail)

An initial format review determines whether or not an application will be scored. **Carefully review the information below, to ensure that the application meets all formatting and technical requirements. Applications missing or containing incorrect information, or fail to conform to all of the technical review requirements (including failure to submit a Technical Proposal that corresponds to the outline), will be disqualified.** Do not attach anything to the application that cannot be photocopied using an automatic process, e.g. anything stapled, folded, pasted, or anything other than 8.5" x 11" text-weight paper.

Application Format

- a) The Project Narrative is limited to twenty-five (25) standard (8.5"x 11") pages with 1" top, bottom and side margins. The narrative page number limitation does not include the cover letter, table of contents, application signature sheet, abstract, budget and budget narrative, or attachments. If the Project Narrative contains more than 25 pages, only the first 25 pages will be scored.
- b) The Project Narrative must be double-spaced, single-sided, 12-point Times New Roman font. Tables that are included in the Project Narrative may be single spaced. Exceptions to the font and spacing restrictions include the organizational chart, work plan, budget and attachments.
- c) Applicants must use Section and Sub-section headings and numbers identified in the Technical Proposal Outline so that each section can be easily identified for technical review and scoring purposes. Failure to do this will adversely affect the score.
- d) All pages must be consecutively numbered, beginning with the cover page as page 1, table of contents page 2, application signature sheet page 3, program abstract page 4, Project Narrative begins on page 5.
- e) All pages have a header identifying the document as a SDFSC Grant application and specifying the county of the applicant; this may be in 9-point font to save space.
- f) Applications must be bound using an appropriate size binder clip. Do not staple or submit applications in three-ring binders.

- g) All attachments must be referenced and placed in the Appendix; attachments must also be on 8.5" x 11" pages with single-side print. Only use paper that can be copied in automatic copy machines, not heavy or light weight paper, or attached, folded, pasted, or stapled material.
- h) Applicants must submit one signed original and two copies of the signed application.

Non-responsive Applications

Additionally, applications will be disqualified from funding if any of the following conditions exist:

- a) Failure to comply with all required application components and instructions;
- b) Failure to meet the applicable deadlines;
- c) Incomplete submissions; or,
- d) Submission of false or misleading information.

Technical Proposal (110 Points)

Each section in the application must correspond to and follow the Technical Proposal Outline below. Use the same order and naming conventions specified in the Technical Proposal Outline in your response.

Technical Proposal Outline

Follow the outline below in the order specified in generating the technical proposal:

- I Transmittal and Administrative Documents (Required)
 - A. Cover Letter (0 points)
 - B. Table of Contents (0 points)
 - C. Application Signature Sheet (0 points)
 - D. Program Abstract (0 points)

- II Project Narrative (25 pages or less)
 - A. Needs Assessment and Analysis of Objective Data (10 Points)
 - B. Capacity Building and Partnerships (25 points)
 - C. Planning (30 points)
 - D. Implementation (30 points)
 - E. Evaluation (15 points)

- III Budget Estimate and Justification Narrative (20 Points)

- IV Assurances Form – (Required, 0 points)
Forms must be signed by the County Alcohol and Drug Program Administrator.

- V Certifications Form – (Required, 0 points)
Form must be signed by the County Alcohol and Drug Program Administrator.

- VI Attachments
 - Attachment A. Organizational Chart
 - Attachment B. Logic Model
 - Attachment C. Work Plan
 - Attachment D. Evaluation Plan
 - Attachment E. Letters of Collaboration (LEAs and partner agencies)

Technical Proposal Components

Applicants must comply with each of the following required technical proposal components: Identify each response using the same Section and Sub-section titles and numbers used here. Each section will be scored based on its content; readers will not interpret or transpose content to fill in for misplaced information. Carefully follow the instructions below.

I Transmittal and Administrative Documents (Required)

A. Cover Letter (Required, 0 Points)

Must identify a single point of contact for communications following the grant award. The contact person should have the authority to make and approve changes to grant documents, or to secure approval in a timely manner. The contact person should also be familiar with the program and budget and be able to answer questions and provide accurate information to the ADP Program Services Division county analyst on a timely basis. The cover letter must be signed by the County Alcohol and Drug Program Administrator.

B. Table of Contents (Required, 0 Points)

Use section titles and numbering that directly correspond to the Technical Proposal Outline and clearly reference the applicant's responses to these sections.

C. Application Signature Sheet (Required, 0 points)

Include in your RFA submission. Must be signed by the authorized official of the applicant agency. (Appendix B)

D. Program Abstract (Required, 0 points)

The abstract is the only application component that must be one page or less in length. Provide an abstract addressing the following items:

- 1) Briefly describe the ATOD/violence prevention program you will be implementing with grant funds. Include the following elements in your program description:
 - a) the ATOD/violence need you will be addressing with the program;
 - b) the IOM category of the interventions selected;
 - c) the target population(s) that will be served by this program based on the options provided above; and
 - d) an estimated number of individuals to whom you expect to provide services.
- 2) Summarize the overall goal(s) of the program.
 - a) Summarize the program strategies for each goal.
 - b) Explain the linkages between the need described in D.1 above, the goals, and program strategies.
 - c) Summarize the intended impact of your program on the target populations you will serve, and how you will measure the impact.

II Project Narrative

The Project Narrative section follows the SPF five steps and incorporates the SDFSC POEs (See page 6). To further assist applicants in understanding how the SDFSC POEs are aligned with the SPF process, please see Web Sites and Reference Areas in Appendix C.

A. Needs Assessment and Analysis of Objective Data (POE#1a) (Total Points: 10)

1. Needs Assessment: Methodology and Data Sources

- a) Briefly describe the general methodology for conducting the needs assessment for the purposes of this RFA. Please note the extent to which the current needs assessment ties back to the overall county SPF needs assessment process.
- b) Identify the sources from which objective data was collected as well as any supplemental data sources included.
- c) Please note any challenges that you encountered in accessing the data.

2. Needs Assessment: Key Findings

- a) Briefly describe key findings as they relate to ATOD/violence risk and protective factors relative to the schools, communities, families, and/or youth being targeted. **(POE#1d)**
- b) Based on your needs assessment findings, briefly describe the rationale for providing services to the selected priority population (i.e. children/youth exhibiting high rate/binge drinking behaviors, children/youth in foster care, children/youth of substance-abusing parents/guardians/caregivers in treatment).

3. Needs Assessment: Problem Statement and Service Justification

- a) Based on the needs assessment findings, articulate a clear problem statement(s) which the proposed services address including the defined priority population.
- b) Provide a justification for the services and priority population you are proposing based on current service gaps in the targeted community.
 - Identify other programs in your county that are working with your selected population.
 - How do these programs differ from your proposed program?
 - How will the proposed program complement existing service efforts?

B. Capacity Building and Partnerships (Total Points: 25)

1. Organizational and Staffing Capacity

- a) Describe the capacity and experience of the county AOD office to oversee (e.g., contracting, accounting, project monitoring), implement, and obtain evaluation of the grant.

- b) Include an organizational chart as Attachment A in your application showing partners and relationships that will be involved.
- c) Provide a brief description of how the organizations identified in the organizational chart will work together under the AOD office.
 - Outline the roles and responsibilities of all key staff.
 - Provide evidence of the skills and capabilities of all key staff.
- d) Describe how the SDFSC prevention program will be incorporated into the county prevention delivery system as a sustainable business practice.

2. Partnerships with other agencies and/or programs

- a) Identify agencies (including potential subgrantees/subcontractors if possible) that you will partner with to identify and serve the targeted participants. For example, LEAs, family and children's health services, social services, independent living, student assistance programs (SAP) and mental health agencies/programs.
- b) Describe the level of proposed collaboration with the partners identified above.
 - Describe the process by which the county AOD office will collaborate with the identified partners in a continuous planning, implementation, and evaluation relationship. Include the extent to which these partners have already agreed to participate.
 - Include letters of collaboration from relevant LEA executive representative(s) and other partners in Attachment E of your application.
- c) Describe the current level of commitment and any relevant history of partnering with the agencies identified above.
 - Describe any pre-existing collaborative efforts between your proposed program and partner agencies.
 - If the parties listed above are not currently involved in your planning process, describe how you intend to involve them in the future.
 - What potential barriers do you anticipate in collaborating with these parties and how do you propose to overcome these barriers?

3. Parental and Other Key Stakeholder Involvement

- a) Describe the mechanisms by which you will solicit the input of and provide feedback to parents, guardians, and/or caregivers of the youth receiving services. **(POE #1e)**
 - Describe any proposed efforts to involve parents/guardians/caregivers in the planning, implementation, and/or evaluation of the program.
 - What potential barriers do you anticipate in involving the parents/guardians/caregivers of the youth receiving services and how do you propose to overcome these barriers?
- b) Describe the mechanisms by which you will solicit the input of and provide feedback to other key stakeholders in the community.
 - Describe any proposed efforts to involve other key community stakeholders in program planning, implementation, and/or evaluation.

- Will you establish or utilize a community coalition or advisory board for this project? If so, describe the proposed level of involvement in project planning, implementation, and evaluation.

C. Planning (Total Points: 30)

1. Logic Model - Include a logic model as Attachment B in your application.

- a) Using the worksheet in Appendix B and resources listed in Appendix C, create a logic model graphic that links the program strategies to the stated ATOD/violence need in your selected service population based on your needs assessment.
- b) Provide a narrative that explains the logic model theory of change.
 - What is the overall program goal? What do you want to change? How do your program goals link to the SPF county plan?
 - Why do you believe this prevention program or strategy will have the desired effect in the service population? If there is a theoretical basis for selection of program or strategies, please include this in your description.

2. Service Population

- a) Describe your selected service population. In your description include:
 - How will you identify, recruit, and outreach to program participants from this service population? What referral sources have you identified? How will you track participants across service delivery components?
 - How will you retain participants who live in a transient environment (if applicable)?
 - What services will you provide to address multiple disorders or conditions in your population?
 - Describe how your program includes screening and referrals to mental health, social services or other service providers. (Please note that medical, drug treatment, mental health and rehabilitation services cannot be funded with SDFSC grant funds.)

3. Program Design

- a) What scientifically-based ATOD/violence prevention program or strategies will you employ to accomplish your program goals? Note how this program fits within the Indicated or Selective approaches as defined in the IOM prevention categories. **(POE #1c)**
- b) What specific individual, family, school, and/or community risk and protective factors do the proposed services address? **(POE #1d)**
- c) Describe any case management or cross-system referral procedures to ensure that other service needs are being met (e.g., mental health, social services, health services).
- d) Will the proposed scientifically-based program or strategies be adapted to meet the needs of the priority population? If yes, please describe modifications and methods for ensuring and monitoring fidelity.

D. Implementation (Total Points: 30)

1. Work Plan

- a) Using the work plan form in Appendix B, provide a **five-year** work plan that summarizes the program preparation, implementation, data gathering/analysis and evaluation activities and steps taken to achieve them. Include this work plan as Attachment C of your application.

2. Measurement Indicators (**POE #1b**)

- a) Understanding that the service population sizes vary in the priority populations, create a concise, realistic goal statement. Describe the indicators of success (performance measures) for your program outcomes, the number of youth you anticipate reaching, and the extent/amount of anticipated change. (How will you know whether your program is meeting its stated goals and objectives?)
- b) Describe how this program will help create a safe and drug-free learning environment and support academic achievement.

3. Research (**POE #1c**)

- a) Describe the science or research that demonstrates the effectiveness of your chosen program or strategies. (See Appendix C for definition of scientifically-based research.)
- b) Identify the source of the science or research.

E. Evaluation (**POE #2a and #2b**) (Total Points: 15)

1. Briefly describe your current data management capability and that of your partner agencies.

- a) What data is available?
- b) How is data obtained, tracked, warehoused and shared?
- c) What data sources will you be using for baseline measures?

2. Using the Evaluation Plan template (Appendix B) develop a preliminary evaluation plan. Include the evaluation plan as Attachment D in your application.

- Describe the data collection tools and measures for each measurement indicator that will be used in evaluating your program (archival data, surveys, community focus groups, etc).

3. Describe how information from the evaluation will be regularly analyzed, used to improve the program, and provided as feedback to participants, community members, parents or guardians, and target population groups.

III Budget Estimate and Justification Narrative (20 Points)

The grant project budget includes a **Detailed Budget Estimate and Budget Justification Narrative**, each worth 10 points. Both must be prepared according to the instructions and examples given in **Appendix A**. Failure to supply budget information will disqualify the application. The Detailed Budget Estimate form is also available online at <http://www.adp.ca.gov/Prevention/sdfsc.shtml>. Applicants may reproduce a computer version of the Detailed Budget Estimate provided that the reproduced copy captures all of the categories shown on the original form.

In completing your response to this section, please include separate budgets for the county AOD office and each subrecipient. Applicants must plan and budget for sufficient project director time to ensure program accountability, oversight, and compliance with the grant agreements. All positions involved with the grant should include their percentage of time allocated to the grant. The budget must provide for two trips per year to technical assistance and training workshops in Sacramento, California.

Indirect costs are allowable for direct service line items only (not contractual services) and cannot exceed 8 percent, consistent with EDGAR requirements.¹⁶ (See Appendix E)

In completing the budget form and the accompanying budget narrative, the following will be considered in scoring:

- The completeness, appropriateness, relevance, and cost effectiveness of the budget relative to the information provided in the Technical Proposal.
- Whether the program services and costs are allowable under EDGAR, the statute, the non-regulatory guidance, and applicable OMB Circulars.
- Whether the accompanying narrative adequately explains and justifies the expenses provided in the budget.

ADP reserves the right to negotiate modifications to any requests that are deemed excessive, including individual budget line item requests.

¹⁶ EDGAR 76.563 through 76.569.

IV Assurances (Required, 0 points)

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

1. Applicant has the legal authority to apply for federal assistance, and the institutional, managerial, and financial capability to ensure proper planning, management, and completion of the project described in this application.
2. Programs/activities will foster safe and drug-free learning environments.
3. Programs/activities will help individuals choose to forego or quit the use of alcohol, tobacco, and other drugs.
4. Drug and violence prevention programs supported under this grant will convey a clear and consistent message that acts of violence and the illegal use of alcohol, tobacco, and other drugs are wrong and harmful.
5. Programs/activities, as implemented, will meet Principles of Effectiveness.
Programs/activities are:
 - a) Based on an assessment of objective data regarding the incidence of violence and illegal drug use in the communities to be served, including an objective analysis of the current conditions and consequences regarding violence and illegal drug use that is based on ongoing local assessment or evaluation activities;
 - b) Based on an established set of performance measures aimed at ensuring that the communities to be served by the program have a safe, orderly, and drug-free environment;
 - c) Based on scientifically based research that provides evidence that the program to be used will reduce violence and illegal drug use;
 - d) Based on an analysis of the data reasonably available at the time, of the prevalence of risk factors, protective factors, buffers, assets, or other variables in communities in the state identified through scientifically based research; and
 - e) Include meaningful and ongoing consultation with and input from parents in the development of the application and administration of the program or activity.
6. Programs/activities will undergo periodic evaluations to assess their progress toward reducing violence and illegal drug use. The results will be used to refine, improve, and strengthen the program, and to refine the performance measures, and will also be made available to the public.
7. Control of funds provided under this program and title to property acquired with program funds will be in a public agency, a nonprofit private agency, institution, or organization, or an Indian tribe.
8. A public agency, nonprofit private agency, institution, organization, or Indian tribe will administer those funds and property to the extent required by authorizing law.

9. Applicant will adopt and use proper methods of administering the programs/activities including:
 - a) The enforcement of any obligations imposed by law on agencies, institutions, organizations, and other recipients responsible for carrying out each program;
 - b) The correction of deficiencies in program operations that are identified through audits, monitoring, or evaluation; and
 - c) The adoption of written procedures for the receipt and resolution of complaints alleging violations of law in the administration of programs.
10. Funds received under this grant program will be used to supplement, not supplant, non-federal funds.
11. Funds will not duplicate the efforts of the California Department of Education and local educational agencies with regard to provision of school-based drug and violence prevention activities.
12. Applicant will comply with all requirements imposed by the Department of Alcohol and Drug Programs concerning special requirements of law, program requirements, and other administrative requirements.
13. The program will be administered in accordance with all applicable statutes, regulations, program plans, and applications (20 USC § 7846 (a)(4) and 34 CFR §76.700). The applicant will comply with all applicable requirements of all other federal laws, executive orders, regulations, and policies governing this program.
14. Applicant will cooperate in carrying out evaluations of the program by or for the Secretary of the Department of Education or other federal officials (20 USC §7846 (a)(4) and 34 CFR §76.591).
15. Applicant will use such fiscal control and fund accounting procedures as will ensure proper disbursement of, and accounting for, funds paid to the applicant under the program (34 CFR 76.702).
16. Applicant will submit such reports and will maintain such records as the Department of Alcohol and Drug Programs may require, including the amount of funds under the grant, how the funds are used, the total cost of the project, the share of that cost provided from other sources, and any other records that demonstrate compliance with the program requirements (34 CFR Section 76.730.)
17. Applicant afforded a reasonable opportunity for public comment on the application and considered such comments (20 USC Section 7846 (a)(7)).
18. Applicant will give the United States Department of Education, the Comptroller General of the United States, the Department of Alcohol and Drug Programs, and if appropriate, the State Auditor, through any authorized representative, access to and right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directive.

19. Applicant will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
20. Applicant will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
21. Applicant will comply with all state requirements relating to nondiscrimination: During the performance of this agreement, grantee and any subawardees shall not unlawfully discriminate, harass, or allow harassment against any employee or applicant for employment because of sex, race, color, ancestry, religious creed, national origin, physical disability (including HIV and AIDS), mental disability, medical condition (cancer), age (over 40), marital status, and denial of family care leave. Grantee and subawardees shall ensure that the evaluation and treatment of their employees and applicants for employment are free from such discrimination and harassment. Grantee and subawardees shall comply with the provisions of the Fair Employment and Housing Act (Government Code Section 12990 (a-f) et seq.) and the applicable regulations promulgated thereunder (California Code of Regulations, Title 1, Section 7285 et seq.). The applicable regulations of the Fair Employment Housing Commission implementing Government Code Section 12990 (a-f), set forth in Chapter 5 of Division 4 of Title 2 of the California Code of Regulations, are incorporated into this Agreement by reference and made a part hereof, as if set forth in full. Grantee and its subawardees shall give written notice of their obligations under this clause to labor organizations with which they have a collective bargaining or other agreement.

Applicant will comply with all federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title IV of the Civil Rights Act of 1964 (P.L. 88-352), which prohibits discrimination on the basis of race, color or national origin; (b) Title (X) of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age, (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) title VIII of the Civil Rights Act of 1968 (42 U.S.C. §3601 et seq.), as amended, relating to non-discrimination in the sale, rental, or financing of housing; (i) any other nondiscrimination provision in the specific statute(s) under which application for federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to this application.

Applicant shall include the nondiscrimination and compliance provisions of this clause in all subawards to provide services or perform work under this Agreement.

Applicant will post, and further will require its subawardees to post, in conspicuous places, notices available to all employees and applicants for employment setting forth the provisions of the Equal Opportunity Act [42 USC 2000(e)] in conformance with Federal Executive Order No. 11246.

Under the laws of the State of California that Applicant and its subawardees shall not unlawfully discriminate in the provision of services because of race, color, creed, national

origin, sex, age, or physical or mental disability as provided by state and federal law and in accordance with Title VI of the Civil Rights Act of 1964 [42 USC 2000(d)]; Age Discrimination Act of 1975 (42 USC 6101); Rehabilitation Act of 1973 (29 USC 794); Education Amendments of 1972 (20 USC 1681); Americans with Disabilities Act of 1990 (42 USC 12132); Title 45, CFR, Part 84; provisions of the Fair Employment and Housing Act (Government Code Section 12900 et seq.); and regulations promulgated thereunder (Title 2, CCR, Section 7285.0 et seq.); Title 2, Division 3, Article 9.5 of the Government Code, commencing with Section 11135; and Title 9, Division 4, Chapter 6 of the CCR, commencing with Section 10800.

Applicant shall include nondiscrimination and compliance provisions in all subawards. Applicant shall establish written procedures under which service participants are informed of their rights including their right to file a complaint alleging discrimination or a violation of their civil rights. Participants in programs funded hereunder shall be provided a copy of their rights that shall include the right of appeal and the right to be free from sexual harassment and sexual contact by members of the treatment, recovery, advisory, or consultant staff.

22. Applicant will comply with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328), which limit the political activities of employees whose principal employment activities are funded in whole or in part with federal funds.
23. Applicant will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO11738; (c) protection to wetland pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.) (f) conformity of Federal action to State (Clean Air) Implementation Plans under Section 176 (c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
24. Applicant will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
25. Applicant will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE	
APPLICANT ORGANIZATION		DATE SUBMITTED

V Certifications (Required, 0 points)

Certification —Debarment, Suspension, and Other Responsibility Matters

The applicant and subrecipients must not make any award or permit any award (subgrant or contract) at any tier to any party which is debarred or suspended or is otherwise excluded from or ineligible for participation in federal assistance programs (34 CFR §85, App. B).

- A. As the duly authorized representative of the applicant, I certify, to the best of my knowledge and belief, that neither the applicant nor its principals:
- is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency.
 - has, within a three-year period preceding this application, been convicted of, or had an adverse civil judgment entered in connection with, fraud or other criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property.
 - is presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state or local) with commission of any of the offenses enumerated above, and
 - has, within a three-year period preceding this application, had one or more public transactions (federal, state or local) terminated for cause or default;
- B. If you are unable to certify to any of the statements in this certification, you must attach an explanation to this application.
- C. The applicant agrees by submitting this proposal that it will include, without modification, the clause titled “Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion—Lower Tier Covered Transactions” in all lower tier covered transaction (i.e., subcontracts for financial assistance and subcontracts for goods and services) in accordance with 34 CFR §85 App. B. That clause reads: “(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency. (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.”

Certification –Drug-Free Workplace

This certification is required under the laws of the State of California implementing the Drug-Free Workplace Act of 1990 (California Government Code Section 8350 et seq.). The regulations require certification by grantees, prior to award, that they will maintain a drug-free workplace.

As the duly authorized representative of the applicant, I certify, to the best of my knowledge and belief, that the applicant will provide a drug-free workplace by:

- A. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- B. Establishing a drug-free awareness program to inform employees about—
 - the dangers of drug abuse in the workplace,
 - the grantee's policy of maintaining a drug-free workplace,
 - any available drug counseling, rehabilitation, and employee assistance programs, and
 - the penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- C. Making it a requirement that each employee to be engaged in the performance of the grant will—
 - receive a copy of the agency's drug-free workplace policy statement; and
 - agree to abide by the terms of the statement as a condition of employment under the grant.

Failure to comply with these requirements may result in the suspension of payments under the agreement or termination of the agreement, or both, and grantee, subcontractor, or subcontractor may be ineligible for award of any future state agreements if the Department of Alcohol and Drug Programs determines that the grantee or subawardee has made a false certification, or violated the certification by failing to carry out the requirements as noted above.

Certification –Lobbying Activities

As required by 34 CFR Part 83, as the duly authorized representative of the applicant, I certify, to the best of my knowledge and belief, that:

- A. No federal appropriated funds have been paid or will be paid, by or on behalf of the applicant, to any person for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress in connection with the awarding of any federal contract, the making of any federal loan, the entering into of any cooperative agreement, or modification of any federal contract, grant, loan, or cooperative agreement;

- B. If any funds other than federally appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with this federal contract, grant, loan, or cooperative agreement, the applicant will submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;
- C. The applicant will require that the language of this certification be included in the award documents for all subcontracts at all tiers (including subcontracts, subgrants, and contracts under grants, loans and cooperative agreements) and that all subrecipients will certify and disclose accordingly.

Certification –General Terms and Conditions

It is understood and agreed by the Project Director and the Authorizing Official that any grant received as a result of this application is subject to the Safe and Drug Free Schools and Communities County Grant Program General Terms and Conditions, incorporated here by reference, and available on-line at <http://www.adp.ca.gov/Prevention/sdfsc.shtml>.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE	
APPLICANT ORGANIZATION		DATE SUBMITTED

Appendix A: Grant Project Budget Instructions

General Instructions

In completing the Detailed Budget Estimate and the accompanying Budget Justification Narrative, the following will be considered in scoring:

- The completeness, appropriateness, relevance, and cost effectiveness of the budget relative to the information provided in the Technical Proposal. Mathematical or typographical errors could result in a lower score.
- Whether the program services and costs are allowable under EDGAR and applicable OMB Circulars as outlined in Determining Allowable Costs (Appendix A-3).
- Whether the accompanying narrative adequately explains and justifies the expenses provided in the budget.

Applicants **must submit a detailed**, five-year line item budget. Failure to supply budget information **will** result in rejection of application.

- These SDFSC prevention funds may NOT be used for substance abuse or mental health treatment services.
- The budget must provide for two, two-day trips per year to technical assistance and training workshops in Sacramento, California.
- Construction and renovation costs are **not allowable** under this grant program.
- Indirect costs are allowable for direct service line items only (not contractual services) and cannot exceed 8 percent (see Appendix E).
- Applicants must budget at least 10 percent but no more than 15 percent of the total grant award for an evaluation set-aside for program evaluation activities. Include these costs under “Contractual Services” in your budget estimate if you will be subcontracting for this service. If evaluation services will be provided by county staff, include this in Personnel Costs.
- Because subgrants/subcontracts must be approved by ADP before they are authorized, please do not provide the name of the subrecipient or vendor in the budget. Rather than the vendor name, use descriptive titles such as “Evaluation Services” and the estimated cost of the agreement. In the budget narrative, use the descriptive titles listed in the budget and provide a brief description of the work the subrecipient or vendor will perform. Include estimated subrecipient budgets.

Detailed Budget Estimate

1. Complete the Detailed Budget Estimate for **five years** using the Budget Preparation Instructions.
2. Provide the name and contact information for the person completing the budget on the Detailed Budget Estimate.
3. Use the budget form provided, or an electronic copy available at <http://www.adp.ca.gov/Prevention/sdfsc.shtml>. Costs are divided into five categories. List costs in only those categories that pertain to your project.

PLEASE USE WHOLE DOLLAR AMOUNTS. ROUND TO THE NEAREST DOLLAR. ROUND UP FOR AMOUNTS \$.50 AND ABOVE, AND DOWN FOR AMOUNTS \$.49 AND BELOW.

Cost categories and suggestions for applicable costs are:

- a) Personnel Costs—Enter titles of positions to be used, monthly or hourly salary and percentage applicable to the project. The budget narrative should include the yearly salary upon which this percentage is based. Reasonable cost of living increases or merit increases should be estimated and included on the form and explained in the budget narrative. Extend computations to project year columns. Subtotal the salaries and add the amounts required to cover related employee benefits.
- b) Travel Expense—Enter estimated cost of employee travel related to the proposal. Cost items include transportation and per diem and must be segregated into “in-state” and “out-of-state” travel. All out-of-state travel must have the approval of the ADP county analyst to be considered allowable.
- c) Other Direct Costs—These costs include all other direct expenditures. They include, but are not limited to, office supplies, printing, computers, public education and awareness materials, meeting room rental, training, registration fees, etc. Include a separate line item for each item of cost. Equipment purchases must be under \$5,000 per item.
- d) Indirect Costs—Costs which, by their nature, cannot be charged directly to a project. Counties may use their approved Indirect Cost Rate or the restricted Indirect Cost rate of eight percent, whichever is less. The rate cannot exceed eight percent, and applies only to the “Personnel,” “Travel,” and “Other Direct Costs” budget categories (see Appendix E).
- e) Contractual Services—Procurement contracts for goods and services must be competitively bid (Title 45, Part 92 Uniform Administrative Requirements for Grants and Cooperative Agreements, Section 36(b)). Grants/contracts for program implementation must be awarded competitively (Title 42 USC 7112 (a) (1)). Enter the estimated cost for each grant/contract. Use descriptive titles such as “Community Consortium,” “Evaluation.”

A SEPARATE BUDGET FORM AND BUDGET JUSTIFICATION NARRATIVE MUST BE PROVIDED THE COUNTY AOD OFFICE AND FOR EACH SUBRECIPIENT OR VENDOR.

Note: Applicants should ensure that the budget totals add correctly on the Detailed Budget Estimate. The “Total Budget Estimate All Categories” line reported on the Detailed Budget Estimate must be the same as the “Funds Requested” section on Appendix B, Application Signature Sheet.

Budget Justification Narrative

1. All line item expenditures included in the Detailed Budget Estimate must be explained and justified in the budget narrative.
2. The budget narrative totals must correspond to the Total Budget Estimate All Categories line item using the Detailed Budget Estimate Form (see Appendix B Forms).
3. Narrative details should be easily mapped and matched to the budget summaries presented on the Detailed Budget Estimate.
4. Clearly explain how the cost estimates were arrived at and justify why the costs are needed.
5. Check calculations.

Cost categories and suggestions for applicable costs are:

- a) Personnel Costs—explain all personnel salaries that are identified in the budget, being sure to itemize employee fringe benefits and rates. Personnel requests must include the percentage of time to be charged to the grant for the requested position(s) (25%, 50%, etc.)

and the monthly or hourly rate of pay for the requested positions (see Appendix B Forms, Sample Budget Estimate). Provide the percentage, rate, fee, amount, etc., for each fringe benefit individually. If benefits or rates differ between personnel, each must be itemized and totaled separately.

- b) Travel expense—identify proposed major project-related trips for employees to be funded under this project. County employees may follow their agency travel and per diem guidelines. Subrecipient and contract staff will follow the grantee’s written travel and per diem policy. If the county does not have a written travel and per diem policy, then state travel and per diem rates and guidelines apply. Use the budget narrative to explain the guidelines/policies used to develop travel costs.
- c) Other Direct Costs—provide a brief description of each item identified in this budget category, its intended use, and how costs were determined. Do not list brand names. Do not lump together items of cost. For example, list supplies on one line item and explain what they are in the narrative. List public education and awareness materials in another line item, and use the narrative to explain what you anticipate the items will be, how they will be used, how you arrived at the cost, and so on.
- d) Indirect Costs—indicate the rate used and how it is applied in this project (see Appendix E).
- e) Contractual Services—provide a brief description of the effort of each subrecipient, or vendor will provide. Use the descriptive name(s) used on Detailed Budget form. Provide the hourly rate of pay for all requested consultant/contractual services positions. ADP reserves the right to limit the amount allowed for consultant/contractual services requests. Provide job descriptions for all contractual/consultant services positions that will be paid out of federal funds. If other than personnel costs are involved, include an itemized budget reflecting cost for each project year. A separate budget form and narrative must be provided for each subrecipient/vendor providing program implementation services. Subrecipients are limited to the 8 percent indirect cost rate.

Determining Allowable Costs

There are basic principles for determining allowable costs. The application of these principles is based on the fundamental premises that:

- a) Costs must be allowable, allocable, necessary, and reasonable.
- b) Costs must be consistent with the statute and the applicable federal requirements:
 - *Cost Principles for State, Local and Indian Tribal Governments* (OMB Circular A-87). If the subrecipient is a non-profit organization, OMB Circular A-122 applies to the subrecipient. If the subrecipient is an educational institution (i.e. college or university), OMB Circular A-21: *Cost Principles for Educational Institutions* applies to the subrecipient. OMB Circular A-133 “Audits of States, Local Governments, and Non-Profit Organizations,” applies to recipients and subrecipients.
- c) Applicants are responsible for the effective and efficient administration of the project through the application of sound management practices.
- d) Allowable costs and principles apply to this grant as well as subcontracts/subgrants to subrecipients.
- e) Only those budgeted costs included in the project agreement and supported by proper source documentation are eligible for reimbursement.
- f) Expenditures must be made within the period of availability of funds to be eligible for reimbursement.
- g) Costs incurred under one grant program shall not be shifted to another program.

Additional Information

The following information is intended only to provide assistance in preparing project budgets. All program expenditures should be closely correlated to program activities and outcomes.

Child Care

Child care costs are allowable to the extent that the program can provide a justification for these costs and identify that they are necessary and reasonable for proper and efficient performance of the program.

Computer Purchase and Expenses

The purchase of computers, software, and peripherals (such as printers) is allowable. Need for such purchases must be justified and reasonable, and follow procurement procedures in 34 CFR 80.36 or 74.40-48. The computers must be used directly for the program funded by this grant. If a computer will be shared by another program, that percentage of the cost must be charged to another source.

Conference and Other Training Expenses

The program must clearly identify the need for the conference or training and how it relates to the goals and objectives and outcomes of the program. Costs for speakers or other trainers are allowable for educational purposes.

Counseling/Intervention/Treatment

Counseling and intervention services are allowable to the point where a diagnosis occurs and a participant is referred to treatment. Prevention funds are not to be used for treatment.

Entertainment

Costs of entertainment, including amusement, diversion, and social activities (such as tickets to shows or sports events, meals, lodging, rental, transportation, and gratuities) are not allowable.

Food

Expenses for food are allowable as long as they are reasonable and used for programmatic purposes. Costs must be consistent with state per diem guidelines.

Grant Writing

Using grant funds to write applications for other grants is not an allowable cost.

Incentives

Incentives such as raffles, prizes, or gifts to participate in the program are not allowable expenses.

Office Space

Any applicant requesting federal funds to pay direct costs for shared office space must justify the cost and distribute the costs proportionately to the various funding sources.

Participant Support Costs

Participant support costs are direct costs for items such as stipends (for participants in a leadership role), travel allowances, and registration fees paid to or on behalf of participants or

trainees (but not employees) in connection with meetings, conferences, symposia, or training projects. These costs are allowable with prior approval of ADP.

Travel and per diem for non-county employees are listed as Participant Support Costs in the Other Direct Costs Category of the budget. Please justify purpose of training and how costs were determined. PSD county analysts will request information about the purpose and overall cost of travel that occurs within a given quarter through the quarterly report and claim form.

Prepaid Purchase Cards

Often referred to as “gift cards,” grantees may be allowed to purchase items in their approved budget with these pre-paid cards, such as grocery store pre-paid cards that are later used to purchase food for program activities or purchasing pre-paid cards to purchase supplies. *Note that the cards may **not** be used as gifts or incentives for program participants.* Grantees are required to keep all receipts and accurate records for the purchases made with the cards, and to liquidate all funds available on the card before the end of the project year.

Public Relations

Public relation items that are used to promote understanding and favorable relations with the community and are in keeping with the program goals and objectives (such as t-shirts that are imprinted with a message or logo identifiable to the program) are allowable.

Transportation Costs

Costs for transportation are allowable if considered a reasonable and necessary program expense. Purchasing vehicles such as vans or automobiles is not an allowable expense; however, leasing a vehicle may be allowable if an adequate justification is provided that clearly delineates the necessity for the program, the reasonableness of cost, and assures that the lease does not contain an option to buy. Fuel and maintenance costs are allowable only to the extent they relate to program use. If the vehicle will be shared by another program, that percentage of total costs (e.g. lease, fuel, maintenance, insurance) must be charged to another source. The cost of insurance is allowable with the following limitation pursuant to the appropriate OMB Cost Principles Circular.

Travel and Per Diem

Applicants must budget sufficient travel costs to attend all ADP required SDFSC programs and activities to be held in California. Grantee agency employees may follow their agency travel and per diem guidelines. Subrecipient and contract staff will follow the grantee’s travel and per diem policy. Travel must be necessary to the grant, reasonable, adequately documented, and consistent with the grantee’s policies, regulations, and procedures that apply to both federal awards and other activities of the grantee. If the grantee does not have a written travel and per diem policy, then state travel and per diem rates and guidelines apply. Travel and per diem expenses may not be paid in advance and must be claimed in the project year that the travel takes place. Out-of-state travel must have prior written ADP approval from the county analyst.

Appendix B: Forms

Application Signature Sheet (Blank form available at www.adp.ca.gov/prevention/sdfsc.shtml)

County Grant Application Signature Sheet	
Name of the County:	
Legal Applicant: Name of Agency Address City, Zip	Project Title: Working Title of Project
Federal Tax ID No.:	

Brief Project Description: <i>(In approximately 100 words, summarize the proposed project plan covering the objectives, method of procedure, evaluation and end product.)</i>

County AOD Administrator: Name of Administrator Address (if different than above) Phone: Fax: E-mail:	Project Director: Name of Project Director Address (if different than above) Phone: Fax: E-mail:
Fiscal or Accounting Official: Name of Official Address (if different than above) Phone: Fax:	Office Authorized to Receive Payments: Name of Official Address
If the County Administrator is not authorized to sign the Notice of Grant Award, list name and title of individual who will sign: Name of Official Title	

Funds Requested: Total grant period: \$xxx,xxx Year 1: \$xxx,xxx Year 2: \$xxx,xxx Year 3: \$xxx,xxx Year 4: \$xxx,xxx Year 5: \$xxx,xxx

Certifications

The applicant certifies to the best of his/her knowledge and belief that the data in this application is true and correct and that filing of the application has been duly authorized by the governing body of the applicant and that applicant will comply with the certifications, assurances, and terms and conditions required of applicants if the application is approved.

Signature _____ Date: _____
Name: _____
Title: _____

Sample Budget Format (Blank form available at www.adp.ca.gov/prevention/sdfsc.shtml)

County: xxx

COST CATEGORY	BUDGET YEAR ESTIMATES					TOTAL COST TO PROJECT
	YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5	
A. PERSONNEL COSTS						
Prevention Specialist 1 (1.5 FTE)						
3 months @ \$2,657 (1-1-03 to 3-31-03)	11,957					11,957
9 months @ \$2,790 (4-1-03 to 12-31-03)	37,665					37,665
12 months @ \$2,985 (1-1-04 to 12-30-04)		53,730				53,730
12 months @ \$3,194 (1-1-05 to 12-31-07)			57,492	57,492	57,492	172,476
Administrative Assistant 1 (0.5 FTE)						
3 months @ \$1,825 (1-1-03 to 3-31-03)	2,738					2,738
9 months @ \$1,953 (4-1-03 to 12-31-03)	8,789					8,789
12 months @ \$2,090 (1-1-04 to 12-30-04)		12,540				12,540
12 months @ \$2,236 (1-1-05 to 12-31-07)			13,416	13,416	13,416	40,248
Employee Benefits @ 40%	24,460	26,508	28,363			79,331
Total Personnel Costs	\$85,609	\$92,778	\$99,271	\$70,908	\$70,908	\$419,474
B. TRAVEL EXPENSES						
Travel to remote areas of county, 80 mi. rt. to Big Oak and 88 mi. rt. to Cottonwood twice a week @ 0.365/mi	6,263	6,263	6,263	6,263	6,263	31,315
Training conference, 2 people @ 700 ea.	1,400	1,400	1,400	1,400	1,400	7,000
Policy Council 2 times a year	1,050	1,050	1,050	1,050	1,050	5,250
Total Travel Expenses	\$8,713	\$8,713	\$8,713	\$8,713	\$8,713	\$43,565
C. OTHER DIRECT COSTS						
1personal computer with peripherals @ \$2,793, including shipping and taxes	2,793					2,793
Participant support costs-stipends	822	900	925	950	975	4,572
Participant support costs-training conferences	2,077	3,000	3,500	3,700	3,900	16,177
Public education and awareness - T-shirts	1,500	1,500	1,500	1,500	1,500	7,500
Public education and awareness - Video Message Pens	2,300	2,300	2,300	2,300	2,300	11,500
Printing for posters and advertising	500	500	500	500	500	2,500
Office supplies and materials	2,250	2,250	2,250	2,250	2,250	11,250
Total Other Direct Costs	\$12,242	\$10,450	\$10,975	\$10,975	\$10,975	\$56,292
E. INDIRECT COSTS						
Total Indirect Costs @ 8%	\$8,578	\$8,955	\$9,517	\$7,248	\$7,248	\$41,548
F. CONTRACTUAL SERVICES						
Evaluation -	11,514	12,089	25,000	9,784	9,784	244,291
Total Contractual Services	\$11,514	\$12,089	\$25,000	\$97,844	\$97,844	\$244,291
TOTAL BUDGET ESTIMATE ALL CATEGORIES	\$126,656	\$132,985	\$153,476	\$107,628	\$107,628	\$628,373

The Logic Model provides a visual representation of the overall theory of change and predicted short-term, intermediate, and long-term outcome measures.

Sample Logic Model Format (Blank form available at www.adp.ca.gov/prevention/sdfsc.shtml)

Identified Problem or Need (supported by data)	CONTRIBUTING FACTORS
	1. _____ 2. _____ 3. _____

GOAL (or Aim)	RESOURCES (What do we have to help meet our goal?)	STRATEGIES (What methods will we use?)	EXPECTED OUTCOMES (What do we think will happen as a result of our efforts?)			MEASUREMENT INDICATORS (Specifically, how will we know what happened?)
			SHORT-TERM	INTERMEDIATE	LONG-TERM	

Evaluation Plan Template

(Blank form available at www.adp.ca.gov/prevention/sdfsc.shtml)

County:

Project Name:

OBJECTIVE/ACTIVITY TO BE MEASURED	
MEASUREMENT INDICATORS How will we know if things have changed?	
SUCCESS CRITERIA How much must things change for the program to be considered a success?	
METHOD OF MEASUREMENT Data collection tools.	
DATA SOURCES Where will you get your data?	
REPORTING How will you analyze your data? How often will data analysis occur?	
DISSEMINATION How will information from the evaluation be provided as feedback and used to improve the program?	

Work Plan Format
 (Blank form available at www.adp.ca.gov/prevention/sdfsc.shtml)
 Years 1 through 5
 County Name:

The following general format can be used to outline specific goals, objectives and major tasks for years 1 through 5 of the project. This detailed task outline should coincide with your logic model.

Year 1

Goal 1:			
Objective 1.1:			
Activities to meet Objectives	Responsible Party	Start Date	End Date
Goal 2:			
Objective 2.1:			
Activities to meet Objectives	Responsible Party	Start Date	End Date
Goal 3:			
Objective 3.1:			
Activities to meet Objectives	Responsible Party	Start Date	End Date
Goal 4:			
Objective 4.1:			
Activities to meet Objectives	Responsible Party	Start Date	End Date

Appendix C: Resource Guide

Appendix C provides additional resources for applicants. It is not an exhaustive list, but simply a compilation of sources that offer further information that may be helpful in completing the SDFSC grant application.

Sections that follow are:

C:1 Definitions & Prevention Concepts

C:2 Web Sites and Reference Areas

Definitions & Prevention Concepts

This section is provided to reduce assumptions and misunderstanding. Although these are commonly accepted definitions, multiple definitions and imprecise usage has evolved for many ATOD prevention terms.

Adaptation: Deliberate or accidental modification of the program, including (a) deletions or additions (enhancements) of program components, (b) modifications in the nature of the components that are included, or (c) changes in the manner or intensity of administration of program components called for in the program manual or curriculum.

Alcohol and Other Drug Agencies: Alcohol and drug service providers, alcohol and drug advisory boards, community organizations that provide AOD services, county alcohol and drug administrators, ADP, and/or alcohol and other drug prevention, intervention, and treatment services under the purpose of this grant.

Annual Report: A formal accounting of activities and outcomes of a program for a project year.

AOD/ATOD: Acronym for “alcohol and other drugs”. Denotes any beverage containing alcohol (such as beer, wine, whiskey, and alcopops) and other drugs (licit and illicit). Also appears as “ATOD” when addressing tobacco.

(AOD) Prevention Field: Entities involved in AOD prevention programs or initiatives, which include community-based organizations or local groups, faith communities, school systems, AOD prevention service programs/providers, county alcohol and drug administrators, ADP, and other local, county and state government agencies.

Archival Data: Information stored or archived on a periodic basis, and it is generally the simplest kind of data to gather. All types of agencies keep records and collect data – school districts, police departments, hospitals, health departments, etc. Often these data can be used directly or indirectly to establish an overall picture of substance abuse (and risk and protective factors) within the geographic area served by an agency.

At-Risk Youth: A minor whose environment increases his/her chance of becoming a teen parent, school dropout, gang member, or user of alcohol and/or drugs.

Baseline Data: The initial information collected prior to the implementation of an intervention, against which outcomes can be compared at strategic points during and at program completion. (See definition of intervention)

Binge Drinking: Five drinks for males and four for females at one sitting. [Note: Does not assess variables such as duration of consuming the drinks, setting, body weight or responder's understanding of "a drink."]

Community-Based Organization: A public or private nonprofit organization of demonstrated effectiveness that:

- (A) is representative of a community or significant segments of a community; and
- (B) provides educational or related services to individuals in the community.

Cultural Competency: The understanding and appreciating the cultural differences and similarities within, among, and between groups. Prevention staff should work with community residents to develop culturally competent interventions and communications, to avoid stereotypes and biases, to focus on the positive characteristics of a particular group, to instill prevention activities that take into account cultural differences, and to use language and terminology that will best convey prevention messages to a particular group. Cultural competency includes the ability to interact with individuals and communities in ways that demonstrate understanding, caring, and value of the unique characteristics of those served, including the cultural differences and similarities within, among, and between groups.

Department: California State Department of Alcohol and Drug Programs.

Drug and Violence Prevention:

- (A) with respect to drugs: prevention, early intervention, rehabilitation referral, or education related to the illegal use of drugs;
- (B) with respect to violence: the promotion of school safety, such that students and school personnel are free from violent and disruptive acts, including sexual harassment and abuse, and victimization associated with prejudice and intolerance, on school premises, going to and from school, and at school-sponsored activities, through the creation and maintenance of a school environment that is free of weapons and fosters individual responsibility and respect for the rights of others.

Educational Service Agency: A regional public multiservice agency authorized by state statute to develop, manage, and provide services or programs to local educational agencies.

Elementary School: A nonprofit institutional day or residential school, including a public elementary charter school that provides elementary education, as determined under state law.

Fidelity: The rigor with which an intervention adheres to the developer's model. It is the degree of fit between a program developer's defined core components of a substance abuse prevention program and its actual implementation in an organizational or community setting. These core components are specified in a program manual or curriculum; the program's elements may also be presented in a logic model based on an underlying theory of change. The "fit" or precision of a program's implementation can be measured using a fidelity instrument. (See also Science Based Research)

Fidelity/Adaptation Balance: A dynamic process, often evolving over time, by which implementation of an evidence-based AOD prevention program addresses both the need for fidelity to the program and the need for local adaptation.

Fidelity Instrument: A written form that gathers information about fidelity/adaptation balance.

Final Report: A formal cumulative accounting of all the project years of a program.

Goal: The clearly stated, specific, measurable outcome(s) or change(s) that can be reasonably expected at the conclusion of a methodically selected intervention.

In-kind: Third party in-kind contributions mean property or services which benefit a federally assisted project or program and which are contributed by non-federal third parties without charge to the grantee, or a cost-type contractor under the grant agreement (see 34 Code of Federal Regulations Section 80.3).

Incidence: A measure of the number of people (often in an identified population) who have initiated a behavior (new cases of drug, alcohol, or tobacco use) during a specific period of time.

Indicator: A substitute measure for a concept that is not directly observable or measurable (e.g., prejudice, substance abuse). For example, an indicator of “substance abuse” could be “rate of emergency room admissions for drug overdose.” Because of the imperfect fit between indicators and concepts, it is better to rely on several indicators rather than just one when measuring this type of concept.

Indicated Prevention: Strategies designed to prevent the onset of substance abuse in individuals who do not meet Diagnostic and Statistical Manual (DSM-IV) criteria for addiction, but who are showing early danger signs, such as falling grades and consumption of alcohol and other gateway drugs. The mission of indicated prevention is to identify individuals who are exhibiting early signs of substance abuse and other problem behaviors associated with substance abuse and to target them with special programs. The individuals are exhibiting substance abuse-like behavior, but at a sub-clinical level. Indicated prevention approaches are used for individuals who may or may not be abusing substances, but exhibit risk factors that increase their chances of developing a drug abuse problem. Indicated prevention programs address risk factors associated with the individual, such as conduct disorders and alienation from their parents, school, and positive peer groups. Less emphasis is placed on assessing or addressing environmental influences, such as community values. The aim of indicated prevention programs is not only the reduction in first-time substance abuse, but also reduction in the length of time the signs continue, delay of onset of substance abuse, and/or reduction in the severity of substance abuse. Individuals can be referred to indicated prevention programs by parents, teachers, school counselors, school nurses, youth workers, friends, or the courts. Young people may volunteer to participate in indicated prevention programs.

- Targets individuals experiencing early signs of substance abuse and other related problem behaviors, but without a clinical diagnosis;
- Stems the progression of substance abuse and related disorders;
- Recipients are individually assessed and recruited into the program;
- Risk factors and problem behaviors are specifically addressed by the program;
- Programs can target multiple behaviors simultaneously;
- Programs are extensive and intensive;
- Programs require highly skilled staff;
- Indicated prevention strategies may generally be more expensive on a per-person basis than are universal and selective prevention.

Intermediate Outcome: In a sequence of changes expected to occur in an evidence-based program, the changes that are measured subsequent to immediate change, but prior to the final changes that are measured at program completion. (See Outcomes for further information)

Interventions: Synonym for various aspects of prevention activities, prevention strategies, or prevention programs. Like strategies, interventions are often used to refer to program components (e.g., an in-school intervention is one component of a larger family integration and management program) or program efforts as a whole (e.g., environmental intervention). However, interventions are usually less abstract, focusing much more on specific operational aspects of broader strategies. When used broadly, intervention describes what occurs in the field as service is delivered to populations in need. However, as used, an intervention can just as easily refer to an entire program effort, including environmental “strategies” or a piece of a program (e.g., class-room didactic presentation of drug education curriculum which is part of a larger mentoring and community service program).

Local Educational Agency (LEA): A public board of education or other public authority legally constituted within a state for either administrative control or direction of, or to perform a service function for, public elementary schools or secondary schools in a city, county, township, school district, or other political subdivision of a state, or for a combination of school districts or counties that is recognized in a state as an administrative agency for its public elementary schools or secondary schools.

Logic Model: An organized, graphical depiction of the logical connections (based on theory) that shows what a program is expected to achieve and the underlying rationale and steps by which it is to produce positive effects. It includes the approaches and activities that specifically address underlying needs and resources and specifies the expected short and intermediate-term outcomes, or objectives, and the expected long-term outcomes, or goals.

Long-term Outcomes: In a sequence of changes the final or lasting changes that are measured at program completion. (Also see Outcomes)

Nonprofit: As applied to a school, agency, organization, or institution means a school, agency, organization, or institution owned and operated by one or more nonprofit corporations or associations, no part of the net earnings of which inures, or may lawfully inure, to the benefit of any private shareholder or individual.

Objectives: Measurable statements of expected change in risk and protective factors, or other underlying conditions, as expressed in the program’s guiding theory or pathway to change.

Outcomes: The extent of change in attitudes, values, behaviors, or conditions between baseline measurement and subsequent points of measurement. Depending on the nature of the intervention and the theory of change guiding it, changes can be short, intermediate, and longer-term outcomes.

Parent: Includes a legal guardian or other person standing in loco (such as a grandparent or stepparent with whom the child lives, or a person who is legally responsible for a child’s welfare.)

Parental Involvement: The participation of parents in regular, two-way, and meaningful communication involving student academic learning and other school activities, including ensuring—

- that parents play an integral role in assisting their child's learning;

- that parents are encouraged to be actively involved in their child's education at school;
- that parents are full partners in their child's education and are included, as appropriate, in decision making and on advisory committees to assist in the education of their child; and,
- the carrying out of other activities.

Performance Measures [Title 20, United States Code (USC), Section 7114 (d)(2)(B)]: The local educational agency's performance measures for drug and violence prevention programs and activities, shall consist of performance indicators for drug and violence prevention programs and activities; including—

- specific reductions in the prevalence of identified risk factors; and
- specific increases in the prevalence of protective factors, buffers, or assets if any have been identified; and,
- levels of performance for each performance indicator.

Prevalence: The number of all new and old cases of a disease or occurrences of an event counted during a specific period of time, usually expressed as a rate. Prevalence rates are often presented in standard terms, such as the number of cases per 100,000 in population.

Prevention: Strategies, programs and initiatives which reduce both direct and indirect adverse personal, social, health, and economic consequences resulting from problematic ATOD availability, manufacture, distribution, promotion, sales, and use. The desired result is to promote safe and healthy behaviors and environments for individuals, families, and communities.

Program: The sum of structured interventions, including environmental initiatives, designed to change social, physical, fiscal or policy conditions within a definable geographic area or for a defined population. The term is used broadly to refer to any intervention or set of interventions implemented to affect the behavior of a specifiable population.

Program Services Division: An organizational unit housed within the Department of Alcohol and Drug Programs, which serves as the lead in providing coordination, guidance and assistance in California's statewide prevention efforts.

Project Year: Twelve months of the grant year.

Protective Factor or Asset: The terms “protective factor,” “buffer,” and “asset” mean any one of a number of the community, school, family, or peer-individual domains that are known, through prospective, longitudinal research efforts, or which are grounded in a well-established theoretical model of prevention, and have been shown to prevent alcohol, tobacco, or illegal drug use, as well as violent behavior, by youth in the community, and which promote positive youth development.

Research-based: A method of observation/research which was used to evaluate the process and/or outcomes of the intervention or program. The term “research-based” requires we make two assumptions. The first is that the quality of the research is good (e.g., adheres to the criteria for acceptable scientific rigor). The second assumption required is that the quality of the data is positive (and strong).

Risk Factor: Any one of a number of characteristics of the community, school, family, or peer-individual domains that are known, through prospective, longitudinal research efforts, to be predictive of alcohol, tobacco, and illegal drug use, as well as violent behavior, by youth in the school and community.

Scientifically Based Research: The term—

- means research that involves the application of rigorous, systematic, and objective procedures to obtain reliable and valid knowledge relevant to education activities and programs; and
- includes research that —
 - (i) employs systematic, empirical methods that draw on observation or experiment;
 - (ii) involves rigorous data analyses that are adequate to test the stated hypotheses and justify the general conclusions drawn;
 - (iii) relies on measurements or observational methods that provide reliable and valid data across evaluators and observers, across multiple measurements and observations, and across studies by the same or different investigators;
 - (iv) is evaluated using experimental or quasi-experimental designs in which individuals, entities, programs, or activities are assigned to different conditions and with appropriate controls to evaluate the effects of the condition of interest, with a preference for random-assignment experiments, or other designs to the extent that those designs contain within-condition or across-condition controls;
 - (v) ensures that experimental studies are presented in sufficient detail and clarity to allow for replication or, at a minimum, offer the opportunity to build systematically on their findings; and
 - (vi) has been accepted by a peer-reviewed journal or approved by a panel of independent experts through a comparably rigorous, objective, and scientific review.

Secondary School: A nonprofit institutional day or residential school, including a public secondary charter school that provides secondary education, as determined under state law, except that the term does not include any education beyond grade 12.

Selective Prevention: Prevention strategies that target subsets of the total population that are deemed to be at-risk for substance abuse by virtue of their membership in a particular population segment – for example, children of adult alcoholics, dropouts, or students who are failing academically. Risk groups may be identified on the basis of biological, psychological, social, or environmental risk factors known to be associated with substance abuse, and targeted subgroups may be defined by age, gender, family history, place of residence (such as high drug-use or low-income neighborhoods), and victimization by physical and/or sexual abuse. Selective prevention targets the entire subgroup regardless of the degree of risk of any individual within the group. One individual in the subgroup may not be at personal risk for substance abuse, while another person in the same subgroup may be at risk because the subgroup as a whole is at higher risk for substance abuse than the general population. An individual's personal risk is not specifically assessed or identified and is based solely on a presumption given his or her membership in the at-risk subgroup.

- Delay or prevent substance abuse;
- Selective prevention targets the entire subgroup regardless of their individual risk;
- The subgroup can be determined by a number of characteristics that significantly increase their risk of substance abuse;
- Recipients are recruited to participate;

- Programs address specific subgroup risk factors;
- Programs run for longer periods of time and usually require more participant time and effort than do universal programs;
- Programs require skilled staff;
- Costs of selective prevention programs are usually greater per person than those of universal prevention programs.

Short-term Outcome: The initial change in a sequence of changes expected to occur as a result of implementation of an evidence-based program. (Also see Outcomes)

State Educational Agency: The agency primarily responsible for the state supervision of public elementary and secondary schools – the California Department of Education.

Strategy: A method for doing or accomplishing something. It could include method for mobilizing a community or coalition, or a method for creating community awareness of the down-side of substance abuse through media offerings. As the term is used in its application to prevention, it encompasses broad-based approaches or generalized activities to be used in attempts to delay the onset, reduce, or cause the cessation of the use of tobacco or alcohol among minors and/or the use and abuse of legal and illegal drugs and substances by all members of a given population.

Survey Data: Information gathered from specially designed survey instruments that provide data about the feelings, attitudes, and/or behaviors of individuals within specific populations. Collection of these data can yield valuable and detailed evidence about the substance use/abuse behavior(s) and risk and protective factors for groups of people, and, therefore, what they may be for your identified population.

Theory of Change: The behavioral science concepts used to explain how a program's interventions are linked to the outcomes it produces. This involves a set of related assumptions (also called hypotheses) about how and why desired change is most likely to occur as a result of a program (overall strategy and specific components). Typically, it is based on past research or existing theories of human behavior and development. Alternatively, a theory of change can be described as a pathway to change that systematically links actions to expectations or intended results.

Web Sites and Reference Areas

Legislation

<http://www.ed.gov/legislation/ESEA02/pg51.html>
<http://uscode.house.gov/search/criteria.shtml>

California Department of Alcohol and Drug Programs
<http://www.adp.ca.gov>

ADP Program Services Division SDFSC website
<http://www.adp.ca.gov/prevention/sdfsc.shtml>

California Department of Education
<http://www.cde.ca.gov/>
<http://www.cde.ca.gov/nclb/>

No Child Left Behind Website
<http://www.nochildleftbehind.gov/>

Administrative, Financial Information

The Education Department General Administrative Regulations
<http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html>
<http://www.ed.gov/about/offices/list/osdfs/index.html?src=mr>

OMB Circular A-87, Cost Principles for State, Local, and Indian Tribal Governments
<http://www.whitehouse.gov/omb/circulars/a087/a087-all.html>

OMB Circular A-122, Cost Principles for Non-Profit Organizations
<http://www.whitehouse.gov/omb/circulars/a122/a122.html>

Logic Models and Evaluation (Websites for references including evaluation information and logic models)

Logic Models
<http://www.insites.org/documents/logmod.htm>

Evaluation

http://www.mapnp.org/library/evaluatn/fnl_eval.htm#anchor1575679
<http://www.emt.org>
http://nationalservicerresources.org/resources/online_pubs/perf_meas/eval_resources.php?search_term=Evaluation%20Plan
<http://www.oerl.sri.com/>
<http://www.eval.org/>

Science-Based Programs

WesternCAPT <http://captus.samhsa.gov/western/western.cfm>
California Healthy Kids Resource Center <http://www.hkresources.org>
SAMHSA Model Programs <http://modelprograms.samhsa.gov>
U.S. Department of Education
<http://www.ed.gov/about/offices/list/osdfs/index.html?src=mr>

Strategic Prevention Framework

Finding Alignment between the Principles of Effectiveness (POE) and the Strategic Prevention Framework (SPF) by the Center for Applied Research Solutions

<http://www.adp.ca.gov/Prevention/sdfsc.shtml>

Student Assistance Programs

Introduction to Student Assistance Programs <http://www.adp.ca.gov/Prevention/sdfsc.shtml>

Measurable Goals and Objectives

Atkinson, A. (2003) *Planning for Results. The Complete Guide for Planning and Evaluating Safe and Drug-Free Schools and Communities Act Programs*. Virginia: Greystone Publishers, Inc. Pages 65-75

Other Resources

Western CAPT: <http://captus.samhsa.gov/western/western.cfm>

Decision Support System - Community-Based DSS: <http://www.preventiondss.org/>

HHS Center for Faith-Based and Community Initiatives: <http://www.hhs.gov/faith/>

SAMHSA Web Center for Substance Abuse Prevention: <http://prevention.samhsa.gov/>

CSPV Center for Study and Prevention of Violence, information on violence prevention: <http://www.colorado.edu/cspv/>

Centers for Disease Control and Prevention: <http://www.cdc.gov/>

CADCA - Community Anti-Drug Coalitions of America: <http://cadca.org/>

Join Together Online - Take Action Against Substance Abuse and Gun Violence:

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

Leadership To Keep Children Alcohol Free: <http://www.alcoholfreechildren.org/>

National Asian Pacific American Families Against Substance Abuse:

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

National Association of State Alcohol and Drug Abuse Directors, Inc.:

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

PREVLINe Prevention Online, National Clearinghouse for Alcohol and Drug Information:

NCADI <http://ncadi.samhsa.gov/>

Center on Addiction and Substance Abuse: <http://casacolumbia.org/>

National Institute on Drug Abuse: <http://www.nida.nih.gov/>

National Institute on Alcohol Abuse and Alcoholism: <http://www.niaaa.nih.gov/>

Office of National Drug Control Policy – ONDCP: <http://www.whitehousedrugpolicy.gov/>

Office of Juvenile Justice and Delinquency Prevention: <http://ojjdp.ncjrs.org/>

Partnership for a Drug-Free America: <http://www.drugfree.org/>

ED-OESE - Safe and Drug-Free Schools Program:

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

SALIS Resource: <http://www.salis.org/resources/resources.html>

Appendix D: Subgranting/Subcontracting

Subrecipients are held to the same programmatic and fiscal requirements as the grantee in carrying out the SDFSC program. Subgrants/subcontracts for federal financial assistance to carry out elements of the SDFSC program must be awarded competitively¹⁷ and include the term, scope, and anticipated outcome, and all applicable federal and state requirements.

The grantee is responsible for evaluating the institutional capabilities of the subrecipient for evidence that its business management systems:

- Are adequate to record, identify, and evaluate costs, and
- Satisfy the needs of an adequate management system to ensure that funds and property are properly safeguarded and used only for appropriate purposes under the subcontract.

If the subrecipient is a non-profit organization, the grantee must also review and maintain evidence of the subrecipients' non-profit status, that it is financially responsible, and that it has the business management resources available to carry out the proposed project.

The applicant must be aware of the cost principles and administrative requirements that govern each subrecipient. For example, the administrative requirements for state and local governments are found in 34 CFR Part 80, and the administrative requirements for non-profit entities are found in 34 CFR Part 74. The cost principles for state and local governments are found in OMB Circular A-87; and the cost principles for non-profit entities are found in OMB Circular A-122. The type of recipient determines the applicable requirements.

The grantee must be aware of and apply the standards for subgrants contained in 34 CFR 80.37 if the grantee is using a grant to award federal financial assistance.

The grantee must be aware of and apply the procurement standards contained in 34 CFR 80.36 (b) through (i) for procurement contracts and for contracts used to award federal financial assistance to carry out elements of the SDFSC program.

Because subgrants/subcontracts with subrecipients and vendors must be awarded competitively, the applicant is not expected to provide the name of the contractor in the application. Grantees must receive ADP approval before executing contracts, and interagency or standard agreements. In the budget, use descriptive names, such as "Evaluation Services" and the estimated cost of the contract. In the budget narrative, use the descriptive names listed in the budget and provide a brief description of what the subgrantee/subcontractor will do.

¹⁷ Title 20, United States Code, Section 7112(a)(1) requires these funds to be awarded competitively.

Appendix E: Restricted Indirect Cost Rate

The Safe and Drug Free Schools, Governor's Program, is administered under the restricted indirect cost rate (34 CFR part 76.563 through 76.569).

The restricted indirect cost rate is the lesser of the following two options:

- The rate determined by using the restricted indirect cost rate formula, or
- Eight percent.

If the applicant uses the eight-percent indirect cost rate, direct costs charged to the program must be consistent with the following guidelines from the OMB Circular A-87 C. 1. They must:

- Be consistent with policies, regulations, and procedures that apply uniformly to both federal awards and other activities of the governmental unit.
- Be accorded consistent treatment. A cost may not be assigned to a federal award as a direct cost if any other cost incurred for the same purpose in like circumstances has been allocated to the federal award as an indirect cost.

Records that show how the restricted indirect cost rate was established must be available for audit purposes (see 34 CFR Section 80.42).

Calculation of the restricted indirect cost rate =
(General management costs + Fixed costs) ÷ (Other expenditures)

1. **“General Management Costs” – Restricted Rate**

- (a) “General management costs” are the costs of activities that are for the direction and control of the grantee’s affairs that are organization-wide. An activity is not organization-wide if it is limited to one activity, one component of the grantee, one subject, one phase of operations, or other single responsibility.
- (b) “General management costs” include the costs of performing a service function, such as accounting, payroll preparation, or personnel management, that is normally at the grantee’s level, even if the function is physically located elsewhere for convenience or better management.
- (c) “General management costs” include certain occupancy and space maintenance costs:
 1. Building costs, whether owned or rented;
 2. Janitorial services and supplies;
 3. Building, grounds, and parking lot maintenance;
 4. Guard services;
 5. Light, heat, and power;
 6. Depreciation, use allowances, and amortization, and
 7. All other related space costs.
 - Occupancy and space maintenance costs associated with organization-wide service functions (accounting, payroll, personnel) may be included as general management costs if a space allocation or use study supports the allocation.
 - Occupancy and space maintenance costs associated with functions that are not organization-wide must be included with “other expenditures” in the indirect cost formula.
- (d) “General management costs” does not include expenditures for:
 1. Divisional administration that is limited to one component of the grantee;

2. Governing body of the grantee;
 3. Compensation of the chief executive officer of the grantee;
 4. Compensation of the chief executive officer of any component of the grantee;
 5. Operation of the immediate offices of these officers.
- (e) For the purposes of determining the restricted indirect cost rate:
1. The chief executive officer of the grantee is the individual who is the head of the executive office of the grantee and exercises overall responsibility for the operation and management of the organization. The chief executive officer's immediate office includes any deputy chief executive officer or similar officer along with immediate support staff of these individuals. The term does not include the governing body of the grantee, such as a board or a similar elected or appointed governing body, and
 2. Components of the grantee are those organization units supervised directly or indirectly by the chief executive officer. These organizational units generally exist one management level below the executive office of the grantee. The term does not include the office of the chief executive officer or a deputy chief executive officer or similar position.

2. “Fixed Costs” – Restricted Rate

“Fixed costs” are contributions of the grantee to fringe benefits and similar costs, but only those associated with salaries and wages that are charged as indirect costs, including:

1. Retirement, including state, county, or local retirement funds, Social Security, and pension payments;
2. Unemployment compensation payments, and
3. Property, employee, health, and liability insurance.

3. “Other Expenditures” – Restricted Rate

(a) “Other expenditures” are the grantee’s total expenditures for its federally- and non-federally-funded activities in the most recent year for which data are available. This also includes direct occupancy and space maintenance costs as determined under “General Management Costs,” and costs related to the grantee’s chief executive officer and components of the grantee and their offices [“General Management Costs,” (d) and (e).]

(b) The term does not include:

1. General management costs determined under number 1, above;
2. Fixed costs determined under number 2, above;
3. Subcontracts;
4. Capital outlay;
5. Debt service;
6. Fines and penalties;
7. Contingencies; and,
8. Election expenses.

4. Using the Restricted Indirect Cost Rate

The maximum amount of indirect costs under a grant is determined by the following formula:

- Indirect costs = (restricted indirect cost rate^{*18}) x (Total direct costs of the grant minus capital outlays, subcontracts, and other distorting or unallowable expenses).

The general management and fixed costs covered by the indirect cost rate must be excluded by the grantee from the direct costs it charges to the grant.

¹⁸ The restricted indirect cost rate is the rate determined using the restricted indirect cost rate formula, or eight percent, whichever is less.

Appendix F: Terms and Conditions

Safe and Drug Free Schools and Communities County Grant Program

GENERAL TERMS AND CONDITIONS

These terms and conditions, when applicable, are to be incorporated by reference and made a part of, but not necessarily limited to, the following documents: grant project agreements, subgrants, contracts, subcontracts, interagency agreements, invitations for bid, and requests for proposal for goods and services for which Safe and Drug Free Schools grant funding reimbursement is requested through the California Department of Alcohol and Drug Programs.

I Grant Project Agreement Exhibits

- A. This Grant Project Agreement (Agreement) between the Department of Alcohol and Drug Programs (State) and the county named in the Notice of Grant Agreement attached hereto (Grantee) consists of the Notice of Grant Agreement (ADP 100169); the approved application, which includes, but is not limited to the Project Budget, the Budget Justification, and the Work Plan; Assurance and Certifications; Terms and Conditions; and the Request for Application and the Grantee's response, which is incorporated by reference. If there is any conflict between provisions in the various documents, the Terms and Conditions will control over other incorporated documents, e.g., the request for application or the application,
- B. This grant is governed by the No Child Left Behind Act of 2001(NCLB), implementing regulations, and the most recent information available from the U.S. Department of Education (USDOE). The State reserves the right to amend the terms and conditions of this grant program based on future clarification by the USDOE.
- C. The Grantee will follow the program goals and objectives, tasks and time frames as agreed upon through its application, which are incorporated by reference.
- D. This Agreement is of no force or effect until signed by both parties. Grantee may not commence performance until such approval has been obtained.

II Grant Term and Authority

- A. The term of this Agreement is shown on page one of the Notice of Grant Agreement. However, this Agreement will be valid and enforceable for subsequent years past the first year of the Agreement only if sufficient funds are made available to the State by the United States Government for the purposes of the program, and the Grantee satisfactorily complies with all requirements of the Agreement.
- B. The source of funds is Safe and Drug Free Schools and Communities Act (SDFSC), (20 USC §7111 et seq.) The federal funds identified in this Agreement are time limited. In order for the Grantee to receive payment from the federal funds identified in this Agreement, the Grantee must expend funds in the timeframes identified in the project budget estimate and submit financial claims and progress reports within the timeframes specified in this Agreement . Failure to submit Grant Award Quarterly

Claim Form (ADP 100170), and reports within the specified timeframes will result in such claims not being paid if the time for which such funds are available has expired.

- C. The Agreement will be subject to any additional restrictions, limitations, or conditions enacted by Congress or conditions that may affect the provision, terms, or funding of the Agreement in any manner. If funds are not appropriated for this program, the Agreement will be terminated and have no further force and effect.
- D. It is mutually understood between the parties that this Agreement was written for the mutual benefit of both parties before ascertaining the availability of congressional appropriation of funds, to avoid program and fiscal delays that would occur if the Agreement were executed after that determination was made.
- E. The parties mutually agree that if the Congress does not appropriate sufficient funds for the program, the State has the option to void the Agreement or to amend the Agreement to reflect any reduction in funds.

III Use of Funds

- A. Grantee is legally and financially responsible for all aspects of this grant, including subawards.
- B. Grant funds provided cannot be used for construction, or to provide medical services, drug treatment, or rehabilitation.
- C. Grant funds may not be used for religious worship, instruction, proselytization, or for equipment and supplies to be used for any of these activities.
- D. Grant funds must be used to supplement the level of state, local, and other non-Federal funds and not to replace funds that would have been available to conduct activities if SDFSC funds had not been available.
- E. Grantee or subawardees who apply or bid for an award of \$100,000 or more shall file the required anti-lobbying certification. Each tier certifies to the tier above it that it will not and has not used federal appropriated funds to pay any person or organization for influencing or attempting to influence an officer or employee of an agency or any officer, employee or member of Congress in connection with the awarding, modifying, renewing or extending of any federal contract, grant, loan, cooperative agreement, or any other award covered by 31 USC 1352. Each tier shall also disclose any lobbying with non-federal funds that takes place in connection with obtaining any federal award. Such disclosures are forwarded from tier to tier.
- F. Grantee is responsible for assuring that the use of funds from this grant will comply with the relevant portions of the No Child Left Behind Act of 2001 and the Education Department General Administrative Regulations (EDGAR). Further, the funds will only be used for allowable costs under the appropriate Office of Management and Budget Circular, "General Principles for Determining Allowable Costs" (OMB Circular A-87, A-122, or A-21).
- G. Grantee agrees that it has no ongoing or completed projects under agreement with other federal funding sources that duplicate or overlap any work contemplated or

described in this project. It is further agreed that any pending or proposed request for other federal grant funds that would duplicate or overlap work under this project will be revised to exclude any such duplication of grant fund expenditures. It is understood that any such duplication of federal fund expenditures subsequently determined by audit will be subject to recovery.

IV Program Implementation

Grantee must implement the program or be substantively involved in the grant program. Substantive involvement means “the primary project activities for which grant support is provided and/or a significant portion of the activities to be conducted under the grant.” In no instance may the Grantee act solely as a pass-through entity for SDFSC funding.

V Program and Agreement Revisions

- A. Both Grantee and the State must agree in order to revise the project. Grantee shall contact the PSD County Analyst before making any changes to the budget, goals, objectives, or design of the project plan to determine if changes 1) can be made without written approval of the State, 2) require written approval of the State, or 3) require a formal grant revision. Changes requiring written approval will not be valid unless such approval is given. Changes requiring a formal grant revision shall not be valid unless made in writing, signed by the parties, and approved as required. Project modifications made prior to obtaining written approval as required are subject to denial from the PSD County Analyst, and may result in denial of payment for all charges related to the modification(s) made.
- B. The proposed revisions that affect the program budget shall include a revised Budget Estimate and Budget Justification, and a statement of the reason and basis for the proposed change.
- C. In the event of changes in law that affect provisions of this Agreement, the parties agree to revise the affected provisions to conform to the changes in law retroactive to the effective date of such changes in law. The parties further agree that the terms of this Agreement are severable and in the event of changes in law as described above, the unaffected provisions and obligations of this Agreement will remain in full force and effect.
- D. This Agreement is not assignable by the Grantee, either in whole or in part, without the consent of the State. If the State approves the assignment, the assignee and the State must enter into a formal written revision of the Agreement.

VI Reimbursement Claims

- A. The Grantee will be reimbursed in arrears for actual allowable costs incurred under this grant program.
- B. The Grantee must seek reimbursement from the State by submitting a complete Grant Award Quarterly Claim Form (ADP 100170), which is incorporated by this reference. The claim shall include all grant-related costs for the billing period, and be submitted no more and no less frequently than once each quarter of the project year. Claims are to be received by the PSD County Analyst no later than 30 days after the

close of each calendar quarter (i.e., receipt not later than January 31, April 30, July 31, and October 31).

- C. Claims are to be submitted to the PSD County Analyst, SDFSC County Grant Program, California Department of Alcohol and Drug Programs, Prevention Services Division, 1700 K Street, Sacramento, CA 95814. Grantee is responsible for assuring that the Analyst receives claims.
- D. The PSD County Analyst will review the claim for allowability of costs. If costs are disallowed, State will recover those costs. Approval by the PSD County Analyst does not preclude denial or recovery on further review or audit.
- D. Claims will be submitted by the PSD County Analyst to the Alcohol and Drug Programs Accounting Section for payment only after the Analyst has reviewed and approved the quarterly/annual progress report for the billing period covered by the claim.
- E. The State may withhold or disallow grant payments, reduce or terminate grant funds, and/or deny future grant funding anytime a Grantee fails to comply with any term or condition of the Agreement or program guidelines. Failure to comply may include, but is not limited to, the failure to submit acceptable and timely reimbursement claims, quarterly, or annual comprehensive reports.

VII Reporting Requirements

- A. Grantee is required to submit quarterly progress reports and claims for each calendar quarter, or portion thereof, during which the grant is in effect. Reports and claims are to be received by the State no later than 30 days after the close of each calendar quarter, i.e., receipt required by January 31, April 30, July 31, and October 31.
- B. Quarterly reports must include the following: a comparison of the actual accomplishments to the goals and objectives established for the period; the reasons for any variance if objectives were not met and the plans to address the variance; a fiscal report of expended grant funds; and additional pertinent information including, when appropriate, analysis and explanation of costing problems.
- C. Grantee is required to submit a comprehensive report at the end of each 12-month project year. Annual reports are due 60 days after the end of the project year.
- D. Grantee is required to submit a final performance report. The final report is due 90 days after the end of the project period.

VIII Subcontracts/Subgrants

Grantee may subgrant/subcontract for elements of program implementation. Nothing contained in this Agreement or otherwise, shall create any contractual relation between the State and any subawardees, and no subagreements shall relieve the Grantee of its responsibilities and obligations hereunder. The Grantee agrees to pass down to subawardees all applicable federal and state requirements. The Grantee agrees to be as fully responsible to the State for the acts and omissions of its subawardees and of

persons either directly or indirectly employed by any of them as it is for the acts and omissions of persons directly employed by the Grantee. The Grantee's obligation to pay its subawardees is an independent obligation from the State's obligation to make payments to the Grantee. As a result, the State shall have no obligation to pay or to enforce the payment of any moneys to any subawardee.

IX Audits

- A. Grantee shall comply, and shall require that subawardees comply, with all terms and conditions of this Agreement and all pertinent state and federal statutes and regulations. The State, the Comptroller General of the United States, or other authorized federal and state agencies and representatives, will be allowed to evaluate the quality, appropriateness, and timeliness of services performed under this grant.
- B. By accepting these grant funds, Grantee is agreeing to participate in audits as requested by the State, or authorized federal agencies and representatives, and as required by Office of Management and Budget (OMB) Circular A-133. Audits may be requested for the purpose of programmatic and/or fiscal review. Grantee will assure that entities expending subawards under this Agreement participate in audits, as required by OMB Circular A-133.

X Retention and Access Requirements for Records

- A. Any and all financial and programmatic records, supporting documents, statistical records of the Grantee or subawardees shall be maintained by the Grantee and subawardees as required by 34 CFR 74.53 or 34 CFR 80.42, as applicable. The U.S. Department of Education, the Comptroller General of the United States, the State, or any of their authorized representatives, shall have the right to timely and unrestricted access to any pertinent books, documents, papers, or other record of Grantee or subawardees which are pertinent to the grant, in order to make audits, examinations, excerpts, transcripts, and copies of such documents. These records may be inspected and copied at any time during normal business hours. Unannounced visits may be made at the discretion of the State. Employees who might reasonably have information related to such records may be interviewed. Further, Grantee agrees to include a similar right of access to records of the State and authorized federal agencies and representatives, in any subawards related to performance of this Agreement.
- B. If this Agreement is terminated for convenience or for cause, the records will be retained by the State, or by the Grantee upon approval of a written plan submitted by the Grantee that assures appropriate retention periods as specified in 34 CFR 80.42, and assures access by the State or authorized federal agencies and representatives as stated in clause X.A.

XI Compliance Review

- A. The State will monitor counties and programs for compliance with the requirements of the Agreement and will review strategic plans and performance reports. The Agreement will be monitored to ensure quality programs, coordination of efforts, and compliance with the statutes, regulations, and the Principles of Effectiveness. If programs are not meeting the requirements of the Agreement, a plan for corrective

action will be required and the State may provide technical assistance to achieve compliance or reduce or terminate the funding under the Agreement.

- B. Site visits to the Grantee and/or subawardee may be as frequent as deemed necessary by the State, but shall be at least once during the grant period. Site visits may be requested for the purpose of programmatic and/or fiscal review. Appointments will usually be made in advance of site visits.

XII Disadvantaged business enterprise/small business affirmative steps

Grantee will take all necessary affirmative steps to assure that disadvantaged business enterprises (DBE), as defined in 49 Code of Federal Regulations 26.5, are used as vendors when possible. Affirmative steps shall include:

- Placing qualified DBEs and small businesses on solicitation lists.
- Assuring that DBEs and small businesses are solicited whenever they are potential sources.
- Dividing total requirements, when economically feasible, into smaller tasks or quantities to permit maximum participation by small businesses and DBEs.
- Establishing delivery schedules, where the requirement permits, which encourage the participation by DBEs and small businesses.
- Using the services and assistance of the Small Business Administration, and the Minority Business Development Agency of the Department of Commerce.
- Requiring the prime recipient, if subagreements are to be let, to take the affirmative steps listed above.

XIII Child Support Compliance Act

For any agreement in excess of \$100,000, the Grantee and subawardees must acknowledge that they:

- 1) Recognize the importance of child and family support obligations and shall fully comply with all applicable state and federal laws relating to child and family support enforcement, including but not limited to, disclosure of information and compliance with earnings assignment orders, as provided in Chapter 8 (commencing with Section 5200) of Part 5 of Division 9 of the California Family Code; and
- 2) To the best of their knowledge, are fully complying with the earnings assignment orders of all employees and is providing the names of all new employees to the New Hire Registry maintained by the California Employment Development Department.

XIV Confidentiality of Information

- A. Grantee and its subawardees that provide services covered by this Agreement shall comply with all applicable state and federal statutes and regulations regarding confidentiality, including, but not limited to, the confidentiality of information requirements in 42 USC Section 290 dd-z; Part 2, Title 42, CFR; Section 11845.5 of the Health and Safety Code; and the Health Insurance Portability and Accountability Act of 1996, as applicable.

- B. Grantee and its subawardees shall ensure that the identity of persons receiving services under this Agreement is not published, disclosed, or used for any purpose except for the direct administration of this program or other uses authorized by law.
- C. Grantee shall monitor compliance with the above provisions and shall include them in all subawardees.

XV Nondiscrimination in Services

- A. For the purpose of this Agreement, discriminations on the basis of race, color, creed, national origin, sex, age, or physical or mental disability include, but are not limited to, the following: denying an otherwise eligible individual any service or providing a benefit which is different, or is provided in a different manner or at a different time, from that provided to others under this Agreement; subjecting any individual to segregation or separate treatment in any matter related to the receipt of any service; restricting an otherwise eligible individual in any way in the enjoyment of any advantage or privilege enjoyed by others receiving any service or benefit; and/or treating any individual differently from others in determining whether such individual satisfied any admission, enrollment, eligibility, membership or other requirement or condition which individuals must meet in order to be provided any service or benefit.
- B. Grantee shall, on a cycle of at least every three years, assess, monitor, and document each subawardee's compliance with the Rehabilitation Act of 1973 and Americans with Disabilities Act of 1990 to ensure that recipients/beneficiaries and intended recipients/beneficiaries of services are provided services without regard to physical or mental disability. Grantee shall also monitor to ensure that beneficiaries and intended beneficiaries of service are provided services without regard to race, color, creed, national origin, sex, or age.
- C. Noncompliance shall constitute grounds for the State to withhold payments under this Agreement or terminate all, or any type, of funding provided hereunder.

XVI Conflict of Interest

Grantee agrees it is aware of the following provisions regarding current or former state employees. If Grantee has any questions on the status of any person rendering services or involved with the Agreement, the awarding agency must be contacted immediately for clarification. Other conflict of interest rules may also apply.

Current State Employees (California Public Contracts Code Section 10410)

- 1) No officer or employee shall engage in any employment, activity, or enterprise from which the officer or employee receives compensation or has a financial interest and which is sponsored or funded by any state agency, unless the employment, activity, or enterprise is required as a condition of regular state employment.
- 2) No officer or employee shall contract on his or her own behalf as an independent contractor with any state agency to provide goods or services.

Former State Employees (California Public Contracts Code Section 10411)

- 1) For the two-year period from the date he or she left state employment, no former state officer or employee may enter into a contract in which he or she engaged in any of the negotiations, transactions, planning, arrangements, or any part of the decision-making process relevant to the contract while employed in any capacity by any state agency.
- 2) For the twelve-month period from the date he or she left state employment, no former state officer or employee may enter into a contract with any state agency if he or she was employed by that state agency in a policy-making position in the same general subject area as the proposed contract within the twelve-month period prior to his or her leaving state service.

If Grantee violates any provisions of above paragraphs, such action by Grantee, contractor, or subcontractor shall render this Agreement void. (California Public Contracts Code Section 10420)

Members of boards or commissions are exempt from this section if they do not receive payment other than payment of each meeting of the board or commission, payment for preparatory time and payment for per diem. [California Public Contracts Code Section 10430(e)]

XVII Resolution

Upon request, Grantee must provide the State with a copy of the resolution, order, motion, or ordinance of the local governing body that by law has authority to enter into an Agreement, authorizing execution of the Agreement.

XVIII No Unlawful Use, or Unlawful Use Messages, Regarding Drugs and/or Alcohol

Grantee agrees that information produced through these funds, and which pertains to drug- and alcohol-related programs, shall contain a clearly written statement that there shall be no unlawful use of drugs or alcohol associated with the program. Additionally, no aspect of a drug- or alcohol-related program shall include any message on the responsible use, if the use is unlawful, of drugs or alcohol (Health and Safety Code Section 11999). By signing this Agreement, Grantee agrees that it and its subawardees will enforce these requirements.

XIX Smoking Prohibition Requirements

Grantee shall comply, and require that subawardees comply, with Public Law 103-227, also known as the Pro-Children Act of 1994, which requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by an entity and used routinely or regularly for the provision of health, day care, early childhood development services, education, or library services to children under the age of 18 if the services are funded by federal programs either directly or through state or local governments, by federal grant, contract, loan, or loan guarantee. The law also applies to children's services that are provided in indoor facilities that are constructed,

operated, or maintained with such federal funds. The law does not apply to children's services provided in private residences; portions of facilities used for inpatient drug or alcohol treatment; service providers whose sole source of applicable federal funds is Medicare or Medicaid; or facilities where Women, Infants, and Children (WIC) coupons are redeemed.

XIX Hazardous Activities

Grantee shall have liability insurance sufficient to cover hazardous activities pursuant to Section 7.40 of the *State Contracting Manual* (Document 1S), incorporated by this reference. To the extent Grantee contracts or subcontracts for the provision of transportation services, Grantee is liable to determine that the contractor or subcontractor has sufficient liability insurance to meet the requirements of Section 7.40 of the *State Contracting Manual*.

XX Disputes

If the Grantee believes that there is a dispute or grievance between the Grantee and the State arising out of or relating to this Agreement, the Grantee shall first discuss and attempt to resolve the issue informally with the State's representative. If the issue cannot be resolved at this level, the Grantee shall follow the following procedures:

If the issue cannot be resolved informally with the State's representative, the Grantee may submit, in writing, a grievance report together with any evidence to the California Department of Alcohol and Drug Programs, Program Services Division Deputy Director. The grievance report must state the issues in the dispute and the legal authority, or other basis for the Grantee's position and the remedy sought. Within ten (10) working days of receipt of the written grievance report from the Grantee, the Program Services Division Deputy Director shall make a determination on the problem, and shall respond in writing to the Grantee indicating the decisions and the reasons therefore. Should the Grantee disagree with the Division Deputy Director's decision, the Grantee may appeal to the next level as provided in the following paragraph.

The Grantee must submit a letter of appeal to the California Department of Alcohol and Drug Programs (ADP) Chief Deputy Director explaining why the Deputy Director's decision is erroneous. The letter must include, as an attachment, copies of the Grantee's original grievance report, evidence originally submitted, and the response from ADP's representative. Grantee's letter of appeal must be submitted within ten (10) working days of the receipt of the Division Deputy Director's written decision. The Chief Deputy Director shall, within twenty (20) working days of receipt of the Grantee's letter of appeal, review the issues raised and shall render a written decision to the Grantee. The decision of the Chief Deputy Director shall be final.

Grantee shall continue with all duties and responsibilities under this Agreement during any dispute.

XXI Indemnification

Grantee agrees to indemnify, defend and save harmless the State, its officers, agents and employees from any and all claims and losses accruing or resulting to any and all

contractors, subgrantees, subcontractors, suppliers, laborers, and any other person, firm or corporation furnishing or supplying work services, materials, or supplies in connection with the performance of this Agreement and from any and all claims and losses accruing or resulting to any person, firm or corporation who may be injured or damaged by Grantee in the performance of this grant.

XXII Independent Contractor

Grantee, and the agents and employees of Grantee, in the performance of this Agreement, shall act in an independent capacity and not as officers or employees or agents of the State.

XXIII Right to Terminate

- A. The State reserves the right to terminate this Agreement subject to 30 days written notice to the Grantee.
- B. However, the State can terminate the Agreement immediately for cause. The term "for cause" shall mean that the Grantee fails to meet the terms, conditions, and/or responsibilities of the Agreement. In this instance, the termination of the Agreement shall be effective as of the date indicated on the State's notification to the Grantee. The notice shall state the effective date of and reason for the termination.
- C. This Agreement may be suspended or cancelled without notice, at the option of the Grantee, if the Grantee or the State's premises or equipment are destroyed by fire or other catastrophe, or so substantially damaged that it is impractical to continue service, or in the event the Grantee is unable to render service as a result of any action by any governmental entity.

XXIV Governing Law

This Agreement is governed by and shall be interpreted in accordance with the laws of the State of California.