

U.S. DEPARTMENT OF EDUCATION  
OFFICE OF SPECIAL EDUCATION & REHABILITATIVE SERVICES  
OFFICE OF SPECIAL EDUCATION PROGRAMS  
WASHINGTON, D.C. 20202

**FISCAL YEAR 2008**  
**APPLICATION FOR NEW GRANTS UNDER THE**  
**INDIVIDUALS WITH DISABILITIES EDUCATION ACT (IDEA)**

**TECHNICAL ASSISTANCE AND DISSEMINATION TO**  
**IMPROVE SERVICES AND RESULTS FOR CHILDREN**  
**WITH DISABILITIES**

**CENTER ON POSITIVE BEHAVIORAL SUPPORTS**  
**(CFDA 84.326S)**



**DATED MATERIAL - OPEN IMMEDIATELY**

**CLOSING DATE: August 29, 2008**

*FORM APPROVED - OMB No. 1820-0028, EXP. DATE: 01/31/09*

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## **PAPERWORK BURDEN STATEMENT**

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According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1820-0028. The time required to complete this information collection is estimated to average 45 hours and 40 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Office of Special Education Programs, U.S. Department of Education, 400 Maryland Avenue, S.W., PCP 4106, Washington, D.C. 20202-2600.

Dear Applicant:

This application packet contains information and the required forms for you to use in submitting a new application for funding under one program authorized by the Individuals with Disabilities Education Act (IDEA). This packet covers one competition under the Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities (CFDA 84.326) program--Center on Positive Behavioral Supports (CFDA No. 84.326S).

An application for an award must be: (1) hand-delivered, submitted electronically, or mailed by the closing date; and, (2) for paper applications, have an original signature on at least one copy of the assurances and certifications (Part IV of the application form). It is also important to include the appropriate Catalog of Federal Domestic Assistance (CFDA) numeric and alpha in Item #11 on SF Form 424 (e.g., CFDA No. 84.326S) for paper applications.

Please note the following:

- **APPLICATION SUBMISSION**. Based on the precautionary procedures the U.S. Postal Service is using to process mail, we are experiencing delays in the delivery of mail to the Department. Therefore, you may want to consider sending your application by overnight courier or submitting your application electronically.
- **GRANTS.GOV APPLICATION SUBMISSION**. Applications for grants under this competition may be submitted electronically using the Grants.gov Apply site ([www.Grants.gov](http://www.Grants.gov)). Please read carefully the document that we have included following this letter (see page A-28), which includes helpful tips about submitting electronically using the Grants.gov Apply site. Please note that you must follow the Application Procedures as described in the Federal Register notice announcing this grant competition. Information (including dates and times) about how to submit your application electronically, or by mail or hand delivery, can also be found in the Application Transmittal Instructions and Requirements for Intergovernmental Review section of this application package.
- **MAXIMUM AWARD AMOUNT**. In addition to providing detailed budget information for the total grant period requested, the competition included in this package has a maximum award amount (See Page B-8 of this package). Please be advised that for the priority in this package, the maximum award amount covers all project costs including indirect costs.
- **STRICT PAGE LIMITS**. The competition included in this package limits the Part III Application Narrative to a specified number of double-spaced pages. This page limitation applies to all material presented in the application narrative -- including, for example, any charts, tables, figures, and graphs. (Please refer to the specific requirements on page limits for the priority/competition to which you are submitting an application - i.e., Section B-9 of this package). The Department will reject, and will NOT consider an application that does not adhere to the page limit requirements for the competition.

- **FORMAT FOR APPLICATIONS.** Please note that additional information regarding formatting applications has been included on Pages C-3 and 4 of the “General Information on Completing An Application” section of this package.
- **PROTECTION OF HUMAN SUBJECTS IN RESEARCH.** The discretionary grant Application Form 424 (ED supplement to the SF 424 on Grants.gov) requires applicants to indicate whether they plan to conduct research involving human subjects at any time during the proposed project period. The Protection of Human Subjects in Research Attachment is an integral part of the SF 424 form (ED supplement to the SF 424 on Grants.gov). It includes information that applicants need to complete the protection of human subjects item and, as appropriate, to provide additional information to the Department regarding human subjects research projects. Additional information on completing the protection of human subjects item is also available and can be accessed on the INTERNET at:

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

- **RESPONSE TO GPRA.** As required by the Government Performance and Results Act (GPRA) of 1993 OSEP has developed a strategic plan for measuring GPRA performance. The program included in this announcement is authorized under Part D - National Activities to Improve Education of Children with Disabilities of the Individuals with Disabilities Education Act. The Office of Special Education Programs (OSEP) will collect information to assess progress and performance. See Performance Measures included in the Priority Description section of this application package. Applicants are encouraged to consider this information, as applications are prepared.
- **COPIES OF THE APPLICATION.** Current Government-wide policy requires that an original and two copies need to be submitted. OSEP would appreciate receiving three additional copies to facilitate the peer review process. This means an original and two copies are required but we would appreciate your voluntarily submitting an additional three copies (six applications in all). If you are submitting your application electronically, you do not need to submit paper copies of the application. Please note: If an application is recommended for funding and a grant award is issued, we will contact the applicant to request a copy of the application on a diskette or CD. The Department is moving toward an electronic grant filing system and an electronic copy of all applications that are being funded will facilitate this effort.

A program officer is available to provide information to you regarding this competition. Please refer to the name of the program contact at the end of the priority description. For information about other U.S. Department of Education grant and contract opportunities, we encourage you to use the Department's grant information web page which can be accessed on the INTERNET at:

<http://www.ed.gov/about/offices/list/ocfo/gcsindex.html>

We appreciate your efforts to improve the provision of services for individuals with disabilities.

Sincerely,

Bill Wolf  
Acting Director  
Research to Practice Division  
Office of Special Education Programs

4000-01-U

DEPARTMENT OF EDUCATION

Office of Special Education and Rehabilitative Services

Overview Information

Technical Assistance and Dissemination to Improve Services and Results for Children With Disabilities--Center on Positive Behavioral Supports

Notice inviting applications for new awards for fiscal year (FY) 2008.

Catalog of Federal Domestic Assistance (CFDA) Number: 84.326S.

Dates:

Applications Available: July 30, 2008.

Deadline for Transmittal of Applications: August 29, 2008.

Deadline for Intergovernmental Review: September 8, 2008.

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program: The purpose of the Technical Assistance and Dissemination to Improve Services and Results for Children With Disabilities program is to promote academic achievement and to improve results for children with disabilities by providing technical assistance (TA), supporting model demonstration projects, disseminating useful information, and implementing activities that are supported by scientifically based research.

Priority: In accordance with 34 CFR 75.105(b)(2)(v), this priority is from allowable activities specified in the statute or otherwise authorized in the statute (see sections 663 and 681(d) of the Individuals with Disabilities Education Act (IDEA), 20 U.S.C. 1400 et seq.).

Absolute Priority: For FY 2008 and any subsequent year in which we make awards based on the list of unfunded applicants from this competition, this priority is an absolute priority. Under 34 CFR 75.105(c)(3), we consider only applications that meet this priority.

This priority is:

Technical Assistance and Dissemination to Improve Services and Results  
for Children With Disabilities--Center on Positive Behavioral Supports.

Background:

The 1997 amendments to IDEA introduced the requirement that individualized education program (IEP) teams consider the use of positive behavioral interventions and supports, and other strategies, to address the behavior of a child with disabilities whose behavior impedes the child's learning or that of others. In response, the Office of Special Education Programs (OSEP) funded the Technical Assistance Center on Positive Behavioral Interventions and Supports (PBIS Center I) in 1998 to assist State educational agencies (SEAs) and local educational agencies (LEAs) address this new statutory requirement.

PBIS Center I adapted and built upon a mental health prevention model to address behavioral problems in schools and programs (e.g., early childhood and juvenile justice programs), and developed a framework for implementing school-wide and program-wide positive behavioral supports (PBS). The framework consisted of the following three levels of interventions: primary, secondary, and tertiary. Primary interventions are system-wide strategies that support the appropriate behavior of all students in a school or program. Secondary interventions are targeted interventions for students at-risk for behavioral problems. Tertiary interventions are the most intensive and consist of individualized interventions for students exhibiting more serious behavioral problems. PBIS Center I studied the evidence base for implementing primary, secondary, and tertiary interventions in schools and programs, and began to identify the school and program components (e.g., training, coaching, and leadership) needed to support implementation of the three levels of interventions.



The second iteration of the PBIS Center (PBIS Center II), funded in 2003, continued the work of PBIS Center I and strengthened the evidence base for implementing primary, secondary, and tertiary interventions in schools and programs by evaluating, documenting, and disseminating information on the implementation of PBS components, identified during PBIS Center I, in a variety of demonstration sites. PBIS Center II also continued to identify and further develop school and program components needed for successful implementation of PBS, including among others, systems that support training and coaching for staff supporting the implementation of PBS, and collecting and using data to scale up and sustain PBS. In addition, PBIS Center II provided TA to SEAs and LEAs to develop their capacity to implement and sustain these components in schools or programs. (For additional information on the work of PBIS Center II, go to [www.pbis.org](http://www.pbis.org)).

PBIS Center II focused primarily on implementing, scaling up, and sustaining primary interventions needed to support positive behaviors and prevent problem behaviors in all students in a school or program, and identifying secondary interventions for students at risk for behavior problems.

The Department seeks to fund another PBS center to continue to assist SEAs and LEAs with implementing, scaling up, and sustaining secondary interventions for students at-risk for developing behavioral problems and tertiary interventions for students with more serious behavioral problems.

Priority:

The purpose of this priority is to fund a cooperative agreement to support the establishment and operation of a Center for Positive Behavioral Supports (Center) that will (1) assist SEAs and LEAs in developing the school and program components necessary to support the implementation, scaling up, and sustainability of school-wide and program-wide PBS at the school, program, LEA, and SEA levels and (2) identify and disseminate evidence-based

practices on implementing, scaling up, and sustaining PBS, with a focus on secondary and tertiary level behavior interventions.

To be considered for funding under this absolute priority, applicants must meet the application requirements contained in this priority. The project funded under this absolute priority also must meet the programmatic and administrative requirements specified in the priority.

Application Requirements. An applicant must include in its application--

(a) A logic model that depicts, at a minimum, the goals, activities, outputs, and outcomes of the proposed project. A logic model communicates how a project will achieve its outcomes and provides a framework for both the formative and summative evaluations of the project;

Note: The following Web site provides more information on logic models and lists multiple online resources: <http://www.cdc.gov/eval/resources.htm>

(b) A plan to implement the activities described in the Project Activities section of this priority;

(c) A plan, linked to the proposed project's logic model, for a formative evaluation of the proposed project's activities. The plan must describe how the formative evaluation will use clear performance objectives to ensure continuous improvement in the operation of the proposed project, including objective measures of progress in implementing the project and ensuring the quality of products and services;

(d) A budget for a summative evaluation to be conducted by an independent third party;

(e) A budget to support two full-time doctoral students to serve as project assistants during each year of the project period. The doctoral students' studies and research must have a concentration in special education, behavioral disorders, or a related area;

(f) A budget for attendance at the following:

(1) A one and one half day kick-off meeting to be held in Washington, DC within four weeks after receipt of the award, and at least two annual planning meetings held in Washington, DC with the OSEP Project Officer during the project period.

(2) A three-day Project Directors' Conference in Washington, DC during each year of the project period.

(3) A four-day Technical Assistance and Dissemination Conference in Washington, DC during each year of the project period.

(4) Two, two-day trips annually to attend Department briefings, Department-sponsored conferences, and other meetings, as requested by OSEP; and

(g) A line item in the proposed budget for an annual set-aside of five percent of the grant amount to support emerging needs that are consistent with the proposed project's activities, as those needs are identified in consultation with OSEP.

Note: With approval from the OSEP Project Officer, the Center must reallocate any remaining funds from this annual set-aside no later than the end of the third quarter of each budget period.

Project Activities. To meet the requirements of this priority, the Center, at a minimum, must conduct the following activities:

Knowledge Development Activities.

(a) Conduct an annual survey of SEAs to assess their capacity to support PBS at the State level and in schools, programs, and LEAs, and identify any policies and practices that facilitate or hinder implementing, scaling up, and sustaining PBS.

(b) Identify existing or develop new model demonstration sites implementing school-wide PBS with a focus on secondary interventions for students at risk for behavioral problems, and tertiary interventions for students with significant behavioral problems. The Center must evaluate these

new model demonstrations at the individual school or program level, in a minimum of eight sites, which must include high schools and schools in urban areas. Through these model demonstrations, the Center must identify and describe the components of the models (e.g., training, and use of data) that lead to improved student outcomes, including academic achievement, and the sustainability of the model. The Center must analyze the information from these sites and incorporate the information as appropriate, into the evidence base for PBS.

(c) Review and synthesize the growing research and practice on PBS and prepare three state of knowledge papers on: primary interventions, to be completed in the first year of the project period; secondary interventions, to be completed in the second year of the project period; and tertiary interventions, to be completed in the fourth year of the project period.

Technical Assistance and Dissemination Activities.

(a) Provide TA to SEAs and LEAs to assist them in developing the components to support the implementation, scaling up, and sustainability of PBS at the school, program, LEA, and SEA levels. The Center must use the knowledge gained from the research syntheses and the model demonstrations to inform its TA.

(b) Develop and expand, as appropriate, an evaluation protocol that schools, programs, LEAs, and SEAs can use to evaluate their implementation of school-wide and program-wide PBS.

(c) Develop, maintain, and expand, as appropriate, an Internet-based database that schools, programs, LEAs, and SEAs can use to input and analyze data on behavioral measures, such as office discipline referrals, so that they can track their progress and make data-based decisions on their implementation of PBS. The Center must develop training materials for schools, programs, LEAs, and SEAs on how to use the database. The Center also must aggregate and

analyze the data in the database to discern trends and patterns related to the implementation of PBS, as requested by OSEP.

(d) Develop and coordinate a national TA network comprised of a cadre of experts that the Center will use to provide TA to SEAs and LEAs to assist them in developing school and program components necessary to support PBS and in implementing, scaling-up, and sustaining PBS.

(e) Conduct national and regional meetings, including large-scale dissemination conferences on PBS, focused forums for those who train or coach school and program personnel on implementing PBS, topical symposia, and other meetings on related issues, as requested by OSEP. At a minimum, the Center must hold a national forum for those who train or coach school personnel on implementing, scaling up and sustaining PBS every year of the project period. The purpose of these meetings is to increase the knowledge and skills of State level PBS implementers through presentations on the critical components of PBS, and to provide networking opportunities and skill-building workshops related to training and coaching techniques.

(f) Develop partnerships with relevant local, State, and national organizations, such as teacher, school administrator, teacher trainer, and parent organizations, to increase their awareness and understanding of PBS so that they can support schools, programs, LEAS, and SEAs in implementing, scaling-up, and sustaining PBS.

(g) Maintain a Web site that meets a government or industry-recognized standard for accessibility and that links to the Web site operated by the Technical Assistance Coordination Center (TACC), which OSEP intends to fund in FY 2008.

(h) Prepare and disseminate products, reports, documents, and other materials on evidence-based practices and interventions that promote the implementation, scaling up, and sustainability of school-wide and program-wide PBS and related topics, as requested by OSEP, for specific audiences

including families, educators, administrators, policymakers, and researchers. In consultation with the OSEP Project Officer, make selected reports, documents, products, and other materials publicly available in both English and Spanish.

(i) Develop materials and guidance for SEAs and provide targeted TA related to the performance and compliance indicator(s) on their IDEA Annual Performance Reports (APRs) and IDEA State Performance Plans (SPPs), as requested by OSEP.

Leadership and Coordination Activities.

(a) Compile and share data on States' APRs and updated SPPs for IDEA Part B indicator 4 (Suspension and Expulsion) by--

(1) Reviewing relevant sections of each State's APR and updated SPP and summarizing the data on this indicator;

(2) Developing a summary report for this indicator that includes information about States' progress in meeting targets for the indicator, as well as any revisions made to States' monitoring and data systems, measurement systems, or improvement strategies; and

(3) Providing this summary report to OSEP in a timely manner and participating in OSEP-requested teleconferences to discuss the findings of the summary report.

Note: (For further information on Indicator 4, go to <http://www.rrfcnetwork.org/content/view/248/358/>).

(b) Communicate and collaborate, on an ongoing basis, with OSEP-funded projects, including the Center on State Implementation and Scaling-up of Evidence-based Practices, the Response to Intervention Center, the Progress Monitoring Center, the IDEA Partnership Project, the Regional Resource Centers, and the National Parent Technical Assistance Center. This collaboration could include the joint development of products, the

coordination of TA services, and the planning and carrying out of TA meetings and events.

(c) Participate in, organize, or facilitate, as appropriate, OSEP communities of practice (<http://www.tacomunities.org/>) that are aligned with the Center's objectives as a way to support discussions and collaboration among key stakeholders.

(d) Prior to developing any new product, whether paper or electronic, submit to the OSEP Project Officer and the Proposed Product Advisory Board at OSEP's TACC for approval, a proposal describing the content and purpose of the product.

(e) Coordinate with the Dissemination Center, which OSEP intends to fund in FY 2008, to develop an efficient and high-quality dissemination strategy that reaches target audiences. The Center must report to the OSEP Project Officer the outcomes of these coordination efforts.

(f) Contribute, on an ongoing basis, updated information on the Center's services to OSEP's Technical Assistance and Dissemination Matrix (<http://matrix.rrfcnetwork.org/>), which provides current information on Department-funded TA services to a range of stakeholders.

(g) Maintain ongoing communication with the OSEP Project Officer through monthly phone conversations and e-mail communication.

#### Fourth and Fifth Years of the Project:

In deciding whether to continue funding the Center for the fourth and fifth years, the Secretary will consider the requirements of 34 CFR 75.253(a), and in addition--

(a) The recommendation of a review team consisting of experts selected by the Secretary. This review will be conducted during a one-day intensive meeting in Washington, DC that will be held during the last half of the second year of the project period. The Center must budget for travel expenses associated with this one-day intensive review;

(b) The timeliness and effectiveness with which all requirements of the negotiated cooperative agreement have been or are being met by the Center; and

(c) The quality, relevance, and usefulness of the Center's activities and products and the degree to which the Center's activities and products have contributed to changed practice and improved implementation of PBS.

References:

- Coie, J. D., & Dodge, K. A. (1983). Continuities and changes in children's social status: A five-year longitudinal study. Merrill-Palmer Quarterly, 29, 261-282.
- Gresham, F. M. (2002). Teaching social skills to high risk children and youth: Preventive and remedial strategies. In M. Shinn, H. Walker, & G. Stoner (Eds.), Interventions for academic and behavior problems II: Preventive and remedial strategies (pp. 403-432). Bethesda, MD: National Association of School Psychologists.
- Wagner, M., Cameto, R. (2004). The Characteristics, Experiences, and Outcomes of Youth with Emotional Disturbances. A Report from the National Longitudinal Transition Study-2. Volume 3, Issue 2. National Center on Secondary Education and Transition, University of Minnesota (NCSET). (ED484283)
- Wagner, M., Cameto, R., & Newman, L. (2003). Youth with disabilities: A changing population. A report of findings from the National Longitudinal Transition Study (NLTS) and the National Longitudinal Transition Study-2 (NLTS2). Menlo Park, CA: SRI International.
- Wagner, M., Newman, L., Cameto, R. (2005). Changes over Time in the Secondary School Experiences of Students with Disabilities. A Report of Findings from the National Longitudinal Transition Study (NLTS) and the National Longitudinal Transition Study-2 (NLTS2). Menlo Park, CA: SRI International.
- Wagner, M., Newman, L., Cameto, R., & Levine, P. (2005). Changes over time in the early postschool outcomes of youth with disabilities. A report



of findings from the National Longitudinal Transition Study (NLTS) and the National Longitudinal Transition Study-2 (NLTS2). Menlo Park, CA: SRI International.

Waiver of Proposed Rulemaking: Under the Administrative Procedure Act (APA) (5 U.S.C. 553), the Department generally offers interested parties the opportunity to comment on proposed priorities and requirements. Section 681(d) of IDEA, however, makes the public comment requirements of the APA inapplicable to the priority in this notice.

Program Authority: 20 U.S.C. 1463 and 1481.

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

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

Note: The regulations in 34 CFR part 86 apply to institutions of higher education (IHEs) only.

## II. Award Information

Type of Award: Cooperative Agreement.

Estimated Available Funds: \$1,700,000.

Estimated Average Size of Awards: \$1,700,000.

Maximum Awards: We will reject any application that proposes a budget exceeding \$1,700,000 for a single budget period of 12 months. The Assistant Secretary for Special Education and Rehabilitative Services may change the maximum amount through a notice published in the Federal Register.

Number of Awards: 1.

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

Project Period: Up to 60 months.

### III. Eligibility Information

1. Eligible Applicants: SEAs; LEAs, including public charter schools that are considered LEAs under State law; IHEs; other public agencies; private nonprofit organizations; outlying areas; freely associated States; Indian tribes or tribal organizations; and for-profit organizations.

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

3. Other: General Requirements--(a) The projects funded under this competition must make positive efforts to employ and advance in employment qualified individuals with disabilities (see section 606 of IDEA).

(b) Applicants and grant recipients funded under this competition must involve individuals with disabilities or parents of individuals with disabilities ages birth through 26 in planning, implementing, and evaluating the projects (see section 682(a)(1)(A) of IDEA).

### IV. Application and Submission Information

1. Address to Request Application Package: Education Publications Center (ED Pubs), P.O. Box 1398, Jessup, MD 20794-1398. Telephone, toll free: 1-877-433-7827. FAX: (301) 470-1244. If you use a telecommunications device for the deaf (TDD), call, toll free: 1-877-576-7734.

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

If you request an application package from ED Pubs, be sure to identify this program or competition as follows: CFDA Number 84.326S.

Individuals with disabilities can obtain a copy of the application package in an alternative format (e.g., Braille, large print, audiotape, or computer diskette) by contacting the person or team listed under Alternative Format in section VIII of this notice.

2. Content and Form of Application Submission: Requirements

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

Page Limit: The application narrative (Part III of the application) is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. You must limit the application narrative to the equivalent of no more than 70 pages, using the following standards:

- A "page" is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.
- Double space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, footnotes, quotations, references, and captions, as well as all text in charts, tables, figures, and graphs.
- Use a font that is either 12 point or larger or no smaller than 10 pitch (characters per inch).

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

We will reject your application if you exceed the page limit or if you use other standards and exceed the equivalent of the page limit.

3. Submission Dates and Times:

Applications Available: July 30, 2008.

Deadline for Transmittal of Applications: August 29, 2008.

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

mail or hand delivery, please refer to section IV. 6. Other Submission Requirements in this notice.

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

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

Deadline for Intergovernmental Review: September 8, 2008.

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

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

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

a. Electronic Submission of Applications.

To comply with the President's Management Agenda, we are participating as a partner in the Governmentwide Grants.gov Apply site. The Center on Positive Behavioral Supports competition, CFDA Number 84.326S, is included in this project. We request your participation in Grants.gov

If you choose to submit your application electronically, you must use the Governmentwide Grants.gov Apply site at <http://www.Grants.gov> Through this site, you will be able to download a copy of the application package,

complete it offline, and then upload and submit your application. You may not e-mail an electronic copy of a grant application to us.

You may access the electronic grant application for the Center on Positive Behavioral Supports competition at <http://www.Grants.gov>. You must search for the downloadable application package for this competition by the CFDA number. Do not include the CFDA number's alpha suffix in your search (e.g., search for 84.326, not 84.326S).

Please note the following:

- Your participation in Grants.gov is voluntary.
- When you enter the Grants.gov site, you will find information about submitting an application electronically through the site, as well as the hours of operation.
- Applications received by Grants.gov are date and time stamped. Your application must be fully uploaded and submitted and must be date and time stamped by the Grants.gov system no later than 4:30:00 p.m., Washington, DC time, on the application deadline date. Except as otherwise noted in this section, we will not accept your application if it is received--that is, date and time stamped by the Grants.gov system--after 4:30:00 p.m., Washington, DC time, on the application deadline date. We do not consider an application that does not comply with the deadline requirements. When we retrieve your application from Grants.gov, we will notify you if we are rejecting your application because it was date and time stamped by the Grants.gov system after 4:30:00 p.m., Washington, DC time, on the application deadline date.
- The amount of time it can take to upload an application will vary depending on a variety of factors, including the size of the application and the speed of your Internet connection. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the submission process through Grants.gov.

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

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

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

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

and certifications. Please note that two of these forms--the SF 424 and the Department of Education Supplemental Information for SF 424--have replaced the ED 424 (Application for Federal Education Assistance).

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

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

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

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

Application Deadline Date Extension in Case of Technical Issues with the

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

If you are prevented from electronically submitting your application on the application deadline date because of technical problems with the Grants.gov system, we will grant you an extension until 4:30:00 p.m., Washington, DC time, the following business day to enable you to transmit

your application electronically or by hand delivery. You also may mail your application by following the mailing instructions described elsewhere in this notice.

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

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

b. Submission of Paper Applications by Mail.

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



By mail through the U.S. Postal Service:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.326S)  
400 Maryland Avenue, SW.  
Washington, DC 20202-4260

or

By mail through a commercial carrier:

U.S. Department of Education  
Application Control Center, Stop 4260  
Attention: (CFDA Number 84.326S)  
7100 Old Landover Road  
Landover, MD 20785-1506

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

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

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

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

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

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

c. Submission of Paper Applications by Hand Delivery.

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

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.326S)  
550 12th Street, SW.  
Room 7041, Potomac Center Plaza  
Washington, DC 20202-4260

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

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

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

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

## V. Application Review Information

1. Selection Criteria: The selection criteria for this competition are from 34 CFR 75.210 and are listed in the application package.

2. Peer Review: In the past, the Department has had difficulty finding peer reviewers for certain competitions because so many individuals who are eligible to serve as peer reviewers have conflicts of interest. The Standing Panel requirements under IDEA also have placed additional constraints on the availability of reviewers. Therefore, the Department has determined that, for some discretionary grant competitions, applications may be separated into two or more groups and ranked and selected for funding within the specific groups. This procedure will make it easier for the Department to find peer reviewers by ensuring that greater numbers of individuals who are eligible to serve as reviewers for any particular group of applicants will not have conflicts of interest. It also will increase the quality, independence, and fairness of the review process while permitting panel members to review applications under discretionary grant competitions for which they also have submitted applications. However, if the Department decides to select an equal number of applications in each group for funding, this may result in different cut-off points for fundable applications in each group.

## VI. Award Administration Information

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

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

2. Administrative and National Policy Requirements: We identify administrative and national policy requirements in the application package

and reference these and other requirements in the Applicable Regulations section in this notice.

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

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

4. Performance Measures: Under the Government Performance and Results Act of 1993 (GPRA), the Department has established a set of performance measures, including long-term measures, that are designed to yield information on various aspects of the effectiveness and quality of the Technical Assistance and Dissemination to Improve Services and Results for Children With Disabilities program. These measures focus on the extent to which projects provide high quality products and services, the relevance of project products and services to educational and early intervention policy and practice, and the use of products and services to improve educational and early intervention policy and practice.

Grantees will be required to provide information related to these measures.

Grantees also will be required to report information on their project's performance in annual reports to the Department (34 CFR 75.590).

VII. Agency Contact

For Further Information Contact: Renee Bradley, U.S. Department of Education, 400 Maryland Avenue, SW., room 4103, Potomac Center Plaza (PCP), Washington, DC 20202-2550. Telephone: (202) 245-7277.

If you use a TDD, call the Federal Relay Service (FRS), toll free, at 1-800-877-8339.

VIII. Other Information


Alternative Format: Individuals with disabilities can obtain this document and a copy of the application package in an alternative format (e.g., Braille, large print, audiotape, or computer diskette) by contacting the Grants and Contracts Services Team, U.S. Department of Education, 400 Maryland Avenue, SW., room 5075, PCP, Washington, DC 20202-2550. Telephone: (202) 245-7363. If you use a TDD, call the FRS, toll free, at 1-800-877-8339.

Electronic Access to This Document: You can view this document, as well as all other documents of this Department published in the Federal Register, in text or Adobe Portable Document Format (PDF) on the Internet at the following site:  
[www.ed.gov/news/fedregister](http://www.ed.gov/news/fedregister)

To use PDF you must have Adobe Acrobat Reader, which is available free at this site. If you have questions about using PDF, call the U.S. Government Printing Office (GPO), toll free, at 1-888-293-6498; or in the Washington, DC, area at (202) 512-1530.

Note: The official version of this document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and the Code of Federal Regulations is available on GPO Access at: [www.gpoaccess.gov/nara/index.html](http://www.gpoaccess.gov/nara/index.html)

Dated:

  
Tracy R. Justesen,  
Assistant Secretary  
for Special Education and  
Rehabilitative Services.

## IMPORTANT – PLEASE READ FIRST

### U.S. Department of Education Grants.gov Submission Procedures and Tips for Applicants

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

#### ATTENTION

Applications submitted to Grants.gov for the Department of Education will be posted using Adobe forms. Therefore, applicants will need to download the latest version of Adobe reader (at least Adobe Reader 8.1.2). Information on computer and operating system compatibility with Adobe and links to download the latest version is available on Grants.gov. We strongly recommend that you review these details on [www.Grants.gov](http://www.Grants.gov) before completing and submitting your application. In addition, applicants should submit their application a day or two in advance of the closing date as detailed below. Applicants will no longer need to use the PureEdge software to create or submit an application. If you have any questions regarding this matter please email the Grants.gov Contact Center at [support@grants.gov](mailto:support@grants.gov) or call 1-800-518-4726.

- 1) **REGISTER EARLY** – Grants.gov registration may take five or more business days to complete. You may begin working on your application while completing the registration process, but you cannot submit an application until all of the Registration steps are complete. For detailed information on the Registration Steps, please go to: [www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). [Note: Your organization will need to update its Central Contractor Registry (CCR) registration annually.]
- 2) **SUBMIT EARLY** – We strongly recommend that you do not wait until the last day to submit your application. Grants.gov will put a date/time stamp on your application and then process it after it is fully uploaded. The time it takes to upload an application will vary depending on a number of factors including the size of the application and the speed of your Internet connection, and the time it takes Grants.gov to process the application will vary as well. If Grants.gov rejects your application (see step three below), you will need to resubmit successfully before 4:30:00 p.m. Washington, D.C. time on the deadline date.

**Note: To submit successfully, you must provide the DUNS number on your application that was used when your organization registered with the CCR (Central Contractor Registry).**

- 3) **VERIFY SUBMISSION IS OK** – You will want to verify that Grants.gov and the Department of Education receive your Grants.gov submission timely and that it was validated successfully. To see the date/time your application was received, login to Grants.gov and click on the Track My Application link. For a successful submission, the date/time received should be earlier than 4:30:00 p.m. Washington, DC time, on the deadline

date, AND the application status should be: Validated, Received by Agency, or Agency Tracking Number Assigned.

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

[http://www.grants.gov/applicants/applicant\\_faqs.jsp#54](http://www.grants.gov/applicants/applicant_faqs.jsp#54). For more detailed information on why an application may be rejected, you can review Application Error Tips <http://www.grants.gov/section910/ApplicationErrorTips.pdf>. If you discover your application is late or has been rejected, please see the instructions below. Note: You will receive a series of confirmations both online and via e-mail about the status of your application. Please do not rely solely on e-mail to confirm whether your application has been received timely and validated successfully.

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

If you have problems submitting to Grants.gov before the closing date, please contact Grants.gov Customer Support at 1-800-518-4726 or [www.grants.gov/contactus/contactus.jsp](http://www.grants.gov/contactus/contactus.jsp), or use the customer support available on the Web site: [www.grants.gov/applicants/applicant\\_help.jsp](http://www.grants.gov/applicants/applicant_help.jsp).

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

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

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

Please note, once you download an application from Grants.gov, you will be working offline and saving data on your computer. Please be sure to note where you are saving the Grants.gov file on your computer. You will need to logon to Grants.gov to upload and submit the application. **You must provide on your application the DUNS number that was used when your organization registered with the CCR.**

Please go to [http://www.grants.gov/applicants/applicant\\_help.jsp](http://www.grants.gov/applicants/applicant_help.jsp) for help with Grants.gov. For additional tips related to submitting grant applications, please refer to the Grants.gov Submit Application FAQs found on the Grants.gov: [www.grants.gov/help/submit\\_application\\_faqs.jsp](http://www.grants.gov/help/submit_application_faqs.jsp).

## Dial-Up Internet Connections

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

## MAC Users

If you do not have a Windows operating System, you may need to use the Citrix solution discussed on Grants.gov to submit an application using Grants.gov. For additional information, review the FAQs for non-windows users [http://www.grants.gov/help/download\\_software.jsp](http://www.grants.gov/help/download_software.jsp). **If electronic submission is required and you are concerned about your ability to submit electronically as a non-windows user, please follow instructions in the Federal Register notice to obtain an exception to the electronic submission requirement no later than two weeks before the application deadline date.** (See the Federal Register notice for detailed instructions.)

## Attaching Files – Additional Tips

Please note the following tips related to attaching files to your application:

1. Ensure that you only attach the Education approved file types detailed in the Federal Register application notice (.doc, .pdf or .rtf). Also, do not upload any password protected files to your application.
2. Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission. Therefore, each file uploaded to your application package should have a unique file name.
3. When attaching files, applicants should limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We recommend you keep your file names to less than 50 characters. In addition, applicants should avoid including special characters in their file names (for example, %, \*, /, etc.) Both of these conditions (lengthy file names and/or special characters including in the file names) could result in difficulties opening and processing a submitted application.
4. Applicants should limit the size of their file attachments. Documents submitted that contain graphics and/or scanned material often greatly increase the size of the file attachments and can result in difficulties opening the files. For reference, the average discretionary grant application package totals 1 to 2 MB. Therefore, you may want to check the total size of your package before submission.



**PRIORITY DESCRIPTION**

**AND**

**SELECTION CRITERIA**

**FOR THE**

**TECHNICAL ASSISTANCE AND DISSEMINATION TO**

**IMPROVE SERVICES AND RESULTS FOR**

**CHILDREN WITH DISABILITIES**

**CENTER ON POSITIVE BEHAVIORAL SUPPORTS**  
**(CFDA 84.326S)**

**DEADLINE: 08/29/08**

**ABSOLUTE PRIORITY:**

**Background:**

The 1997 amendments to IDEA introduced the requirement that individualized education program (IEP) teams consider the use of positive behavioral interventions and supports, and other strategies, to address the behavior of a child with disabilities whose behavior impedes the child's learning or that of others. In response, the Office of Special Education Programs (OSEP) funded the Technical Assistance Center on Positive Behavioral Interventions and Supports (PBIS Center I) in 1998 to assist State educational agencies (SEAs) and local educational agencies (LEAs) address this new statutory requirement.

PBIS Center I adapted and built upon a mental health prevention model to address behavioral problems in schools and programs (e.g., early childhood and juvenile justice programs), and developed a framework for implementing school-wide and program-wide positive behavioral supports (PBS). The framework consisted of the following three levels of interventions: primary, secondary, and tertiary. Primary interventions are system-wide strategies that support the appropriate behavior of all students in a school or program. Secondary interventions are targeted interventions for students at-risk for behavioral problems. Tertiary interventions are the most intensive and consist of individualized interventions for students exhibiting more serious behavioral problems. PBIS Center I studied the evidence base for implementing primary, secondary, and tertiary interventions in schools and programs, and began to identify the school and program components (e.g., training, coaching, and leadership) needed to support implementation of the three levels of interventions.

The second iteration of the PBIS Center (PBIS Center II), funded in 2003, continued the work of PBIS Center I and strengthened the evidence base for implementing primary, secondary, and tertiary interventions in schools and programs by evaluating, documenting, and disseminating information on the implementation of PBS components, identified during PBIS Center I, in a variety of demonstration sites. PBIS Center II also continued to identify and further develop school and program components needed for successful implementation of PBS, including among others, systems that support training and coaching for staff supporting the implementation of PBS, and collecting and using data to scale up and sustain PBS. In addition, PBIS Center II provided TA to SEAs and LEAs to develop their capacity to implement and sustain these components in schools or programs. (For additional information on the work of PBIS Center II, go to [www.pbis.org](http://www.pbis.org)).

PBIS Center II focused primarily on implementing, scaling up, and sustaining primary interventions needed to support positive behaviors and prevent problem behaviors in all students in a school or program, and identifying secondary interventions for students at risk for behavior problems.

The Department seeks to fund another PBS center to continue to assist SEAs and LEAs with implementing, scaling up, and sustaining secondary interventions for students at-risk for developing behavioral problems and tertiary interventions for students with more serious behavioral problems.

Priority:

The purpose of this priority is to fund a cooperative agreement to support the establishment and operation of a Center for Positive Behavioral Supports (Center) that will (1) assist SEAs and LEAs in developing the school and program components necessary to support the implementation, scaling up, and sustainability of school-wide and program-wide PBS at the school, program, LEA, and SEA levels and (2) identify and disseminate evidence-based practices on implementing, scaling up, and sustaining PBS, with a focus on secondary and tertiary level behavior interventions.

To be considered for funding under this absolute priority, applicants must meet the application requirements contained in this priority. The project funded under this absolute priority also must meet the programmatic and administrative requirements specified in the priority.

Application Requirements. An applicant must include in its application--

(a) A logic model that depicts, at a minimum, the goals, activities, outputs, and outcomes of the proposed project. A logic model communicates how a project will achieve its outcomes and provides a framework for both the formative and summative evaluations of the project; Note: The following Web site provides more information on logic models and lists multiple online resources: <http://www.cdc.gov/eval/resources.htm>

(b) A plan to implement the activities described in the Project Activities section of this priority;

(c) A plan, linked to the proposed project's logic model, for a formative evaluation of the proposed project's activities. The plan must describe how the formative evaluation will use clear performance objectives to ensure continuous improvement in the operation of the proposed project, including objective measures of progress in implementing the project and ensuring the quality of products and services;

(d) A budget for a summative evaluation to be conducted by an independent third party;

(e) A budget to support two full-time doctoral students to serve as project assistants during each year of the project period. The doctoral students' studies and research must have a concentration in special education, behavioral disorders, or a related area;

(f) A budget for attendance at the following:

(1) A one and one half day kick-off meeting to be held in Washington, DC within four weeks after receipt of the award, and at least two annual planning meetings held in Washington, DC with the OSEP Project Officer during the project period.

(2) A three-day Project Directors' Conference in Washington, DC during each year of the project period.

(3) A four-day Technical Assistance and Dissemination Conference in Washington, DC during each year of the project period.

(4) Two, two-day trips annually to attend Department briefings, Department-sponsored conferences, and other meetings, as requested by OSEP; and

(g) A line item in the proposed budget for an annual set-aside of five percent of the grant amount to support emerging needs that are consistent with the proposed project's activities, as those needs are identified in consultation with OSEP.

Note: With approval from the OSEP Project Officer, the Center must reallocate any remaining funds from this annual set-aside no later than the end of the third quarter of each budget period.

Project Activities. To meet the requirements of this priority, the Center, at a minimum, must conduct the following activities:

Knowledge Development Activities.

(a) Conduct an annual survey of SEAs to assess their capacity to support PBS at the State level and in schools, programs, and LEAs, and identify any policies and practices that facilitate or hinder implementing, scaling up, and sustaining PBS.

(b) Identify existing or develop new model demonstration sites implementing school-wide PBS with a focus on secondary interventions for students at risk for behavioral problems, and tertiary interventions for students with significant behavioral problems. The Center must evaluate these new model demonstrations at the individual school or program level, in a minimum of eight sites, which must include high schools and schools in urban areas. Through these model demonstrations, the Center must identify and describe the components of the models (e.g., training, and use of data) that lead to improved student outcomes, including academic achievement, and the sustainability of the model. The Center must analyze the information from these sites and incorporate the information as appropriate, into the evidence base for PBS.

(c) Review and synthesize the growing research and practice on PBS and prepare three state of knowledge papers on: primary interventions, to be completed in the first year of the project period; secondary interventions, to be completed in the second year of the project period; and tertiary interventions, to be completed in the fourth year of the project period.

### Technical Assistance and Dissemination Activities.

(a) Provide TA to SEAs and LEAs to assist them in developing the components to support the implementation, scaling up, and sustainability of PBS at the school, program, LEA, and SEA levels. The Center must use the knowledge gained from the research syntheses and the model demonstrations to inform its TA.

(b) Develop and expand, as appropriate, an evaluation protocol that schools, programs, LEAs, and SEAs can use to evaluate their implementation of school-wide and program-wide PBS.

(c) Develop, maintain, and expand, as appropriate, an Internet-based database that schools, programs, LEAs, and SEAs can use to input and analyze data on behavioral measures, such as office discipline referrals, so that they can track their progress and make data-based decisions on their implementation of PBS. The Center must develop training materials for schools, programs, LEAs, and SEAs on how to use the database. The Center also must aggregate and analyze the data in the database to discern trends and patterns related to the implementation of PBS, as requested by OSEP.

(d) Develop and coordinate a national TA network comprised of a cadre of experts that the Center will use to provide TA to SEAs and LEAs to assist them in developing school and program components necessary to support PBS and in implementing, scaling-up, and sustaining PBS.

(e) Conduct national and regional meetings, including large-scale dissemination conferences on PBS, focused forums for those who train or coach school and program personnel on implementing PBS, topical symposia, and other meetings on related issues, as requested by OSEP. At a minimum, the Center must hold a national forum for those who train or coach school personnel on implementing, scaling up and sustaining PBS every year of the project period. The purpose of these meetings is to increase the knowledge and skills of State level PBS implementers through presentations on the critical components of PBS, and to provide networking opportunities and skill-building workshops related to training and coaching techniques.

(f) Develop partnerships with relevant local, State, and national organizations, such as teacher, school administrator, teacher trainer, and parent organizations, to increase their awareness and understanding of PBS so that they can support schools, programs, LEAS, and SEAs in implementing, scaling-up, and sustaining PBS.

(g) Maintain a Web site that meets a government or industry-recognized standard for accessibility and that links to the Web site operated by the Technical Assistance Coordination Center (TACC), which OSEP intends to fund in FY 2008.

(h) Prepare and disseminate products, reports, documents, and other materials on evidence-based practices and interventions that promote the implementation, scaling up, and sustainability of school-wide and program-wide PBS and related topics, as requested by OSEP,

for specific audiences including families, educators, administrators, policymakers, and researchers. In consultation with the OSEP Project Officer, make selected reports, documents, products, and other materials publicly available in both English and Spanish.

(i) Develop materials and guidance for SEAs and provide targeted TA related to the performance and compliance indicator(s) on their IDEA Annual Performance Reports (APRs) and IDEA State Performance Plans (SPPs), as requested by OSEP.

#### Leadership and Coordination Activities.

(a) Compile and share data on States' APRs and updated SPPs for IDEA Part B indicator 4 (Suspension and Expulsion) by--

(1) Reviewing relevant sections of each State's APR and updated SPP and summarizing the data on this indicator;

(2) Developing a summary report for this indicator that includes information about States' progress in meeting targets for the indicator, as well as any revisions made to States' monitoring and data systems, measurement systems, or improvement strategies; and

(3) Providing this summary report to OSEP in a timely manner and participating in OSEP-requested teleconferences to discuss the findings of the summary report.

Note: (For further information on Indicator 4, go to <http://www.rrfcnetwork.org/content/view/248/358/>).

(b) Communicate and collaborate, on an ongoing basis, with OSEP-funded projects, including the Center on State Implementation and Scaling-up of Evidence-based Practices, the Response to Intervention Center, the Progress Monitoring Center, the IDEA Partnership Project, the Regional Resource Centers, and the National Parent Technical Assistance Center. This collaboration could include the joint development of products, the coordination of TA services, and the planning and carrying out of TA meetings and events.

(c) Participate in, organize, or facilitate, as appropriate, OSEP communities of practice (<http://www.tacomunities.org/>) that are aligned with the Center's objectives as a way to support discussions and collaboration among key stakeholders.

(d) Prior to developing any new product, whether paper or electronic, submit to the OSEP Project Officer and the Proposed Product Advisory Board at OSEP's TACC for approval, a proposal describing the content and purpose of the product.

(e) Coordinate with the Dissemination Center, which OSEP intends to fund in FY 2008, to develop an efficient and high-quality dissemination strategy that reaches target audiences. The Center must report to the OSEP Project Officer the outcomes of these coordination efforts.

(f) Contribute, on an ongoing basis, updated information on the Center's services to OSEP's Technical Assistance and Dissemination Matrix (<http://matrix.rrfcnetwork.org/>), which provides current information on Department-funded TA services to a range of stakeholders.

(g) Maintain ongoing communication with the OSEP Project Officer through monthly phone conversations and e-mail communication.

#### Fourth and Fifth Years of the Project:

In deciding whether to continue funding the Center for the fourth and fifth years, the Secretary will consider the requirements of 34 CFR 75.253(a), and in addition--

(a) The recommendation of a review team consisting of experts selected by the Secretary. This review will be conducted during a one-day intensive meeting in Washington, DC that will be held during the last half of the second year of the project period. The Center must budget for travel expenses associated with this one-day intensive review;

(b) The timeliness and effectiveness with which all requirements of the negotiated cooperative agreement have been or are being met by the Center; and

(c) The quality, relevance, and usefulness of the Center's activities and products and the degree to which the Center's activities and products have contributed to changed practice and improved implementation of PBS.

#### References:

Coie, J. D., & Dodge, K. A. (1983). Continuities and changes in children's social status: A five-year longitudinal study. *Merrill-Palmer Quarterly*, *29*, 261–282.

Gresham, F. M. (2002). Teaching social skills to high risk children and youth: Preventive and remedial strategies. In M. Shinn, H. Walker, & G. Stoner (Eds.), *Interventions for academic and behavior problems II: Preventive and remedial strategies* (pp. 403–432). Bethesda, MD: National Association of School Psychologists.

Wagner, M., Cameto, R. (2004). *The Characteristics, Experiences, and Outcomes of Youth with Emotional Disturbances. A Report from the National Longitudinal Transition Study-2*. Volume 3, Issue 2. National Center on Secondary Education and Transition, University of Minnesota (NCSET). (ED484283)

Wagner, M., Cameto, R., & Newman, L. (2003). *Youth with disabilities: A changing population. A report of findings from the National Longitudinal Transition Study (NLTS) and the National Longitudinal Transition Study-2 (NLTS2)*. Menlo Park, CA: SRI International.

Wagner, M., Newman, L., Cameto, R. (2005). *Changes over Time in the Secondary School Experiences of Students with Disabilities. A Report of Findings from the National*

Longitudinal Transition Study (NLTS) and the National Longitudinal Transition Study-2 (NLTS2). Menlo Park, CA: SRI International.

Wagner, M., Newman, L., Cameto, R., & Levine, P. (2005). Changes over time in the early postschool outcomes of youth with disabilities. A report of findings from the National Longitudinal Transition Study (NLTS) and the National Longitudinal Transition Study-2 (NLTS2). Menlo Park, CA: SRI International.



**Program Authority:** 20 U.S.C. 1463 and 1481.

**PERFORMANCE MEASURES:** Under the Government Performance and Results Act of 1993 (GPRA), the Department has established a set of performance measures, including long-term measures, that are designed to yield information on various aspects of the effectiveness and quality of the Technical Assistance and Dissemination To Improve Services and Results for Children With Disabilities program. These measures focus on the extent to which projects provide high quality products and services, the relevance of project products and services to educational and early intervention policy and practice, and the use of products and services to improve educational and early intervention policy and practice.

Grantees will be required to provide information related to these measures.

Grantees also will be required to report information on their project's performance in annual reports to the Department (34 CFR 75.590).

**APPLICATIONS AVAILABLE:** July 30, 2008.

**DEADLINE FOR TRANSMITTAL OF APPLICATIONS:** August 29, 2008.

**DEADLINE FOR INTERGOVERNMENTAL REVIEW:** September 8, 2008.

**ESTIMATED AVAILABLE FUNDS:** \$1,700,000.

**MAXIMUM AWARDS:** We will reject any application that proposes a budget exceeding \$1,700,000 for a single budget period of 12 months. The Assistant Secretary for Special Education and Rehabilitative Services may change the maximum amount through a notice published in the Federal Register.

**NUMBER OF AWARDS:** 1.

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

**PROJECT PERIOD:** Up to 60 months.

**PAGE LIMITS:** If you are an applicant, Part III of an application submitted under this notice, the application narrative is where an applicant addresses the selection criteria that are used by reviewers to evaluate the application. You must limit Part III to the equivalent of no more than 70 pages, using the following standards:

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

- Use a font that is either 12-point or larger or no smaller than 10 pitch (characters per inch).

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

We will reject any application if --

- You apply these standards and exceed the page limit; or
- You apply other standards and exceed the equivalent of the page limit.

### **GENERAL REQUIREMENTS:**

(a) Projects funded under this notice must make positive efforts to employ and advance in employment qualified individuals with disabilities in project activities (see section 606 of IDEA); and

(b) Applicants and grant recipients funded under this notice must involve individuals with disabilities or parents of individuals with disabilities in planning, implementing, and evaluating the projects (see section 682(a)(1)(A) of IDEA).

### **APPLICABLE REGULATIONS:**

(a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 79, 80, 81, 82, 84, 85, 86, 97, 98, and 99; and (b) The selection criteria for this program are drawn from EDGAR in 34 CFR 75.210.

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

Note: The regulations in 34 CFR part 86 apply to institutions of higher education only.

**ELIGIBLE APPLICANTS:** State educational agencies (SEAs), local educational agencies (LEAs), including public charter schools that are considered LEAs under State law, institutions of higher education (IHEs), other public agencies, private nonprofit organizations, outlying areas, freely associated States, Indian tribes or tribal organizations, and for-profit organizations.

### **INTERGOVERNMENTAL REVIEW:**

The program in this notice is subject to the requirements of Executive Order 12372 and the regulations in 34 CFR part 79. One of the objectives of the Executive Order is to foster an intergovernmental partnership and a strengthened federalism. The Executive order relies on processes developed by State and local governments for coordination and review of proposed Federal financial assistance.

This document provides early notification of our specific plans and actions for this program.

***For further information about this priority contact:***

*Renee Bradley, Project Officer  
Research to Practice Division  
Office of Special Education Programs  
Telephone: (202) 245-7277  
FAX: (202) 245-7617  
Internet: [Renee.Bradley@ed.gov](mailto:Renee.Bradley@ed.gov)  
TTD: 1-800-877-8339*

## **SELECTION CRITERIA AND FORMAT FOR THE CENTER ON POSITIVE BEHAVIORAL SUPPORTS (CFDA 84.326S) COMPETITION**

Part III of the application form requires a narrative that addresses the selection criteria that will be used by reviewers in evaluating individual proposals. Applications are more likely to receive favorable reviews by panels when they are organized according to the format suggested below. This format was published in the FEDERAL REGISTER as an appendix to the program regulations, and it addresses all the selection criteria used to evaluate applications required by regulations. If you prefer to use a different format, you may wish to cross-reference the sections of your application to the selection criteria to be sure that reviewers are able to find all relevant information.

The selection criteria that will be used to evaluate applications submitted to the **Center on Positive Behavioral Supports (CFDA 84.326S)** competition are the selection criteria for new grants required by the EDGAR general selection criteria menu. The maximum score for all of the criteria is 100 points.

An **abstract**, not to exceed one page, should precede the application narrative of all applications and it would be helpful if it included the following information: Purpose of the project; disability addressed by the project; age group (e.g., 0-3, preschool, elementary school, middle school, high school, secondary transition, and postsecondary); geography (e.g., rural, suburban, urban); severity (e.g., mild, moderate, and severe); proposed products; proposed outcomes; names/affiliations of key collaborators. It would be helpful if the abstract includes: (a) the title of the program, (b) the name of the Absolute Priority, and (c) the CFDA Number (e.g., 84.326S).

For Technology and Technical Assistance and Dissemination applications, the abstract should include (a) design and (b) project evaluation, including measures.

The application narrative should include the following sections in this order:

### **(a) Significance (10)**

- (1) The Secretary considers the significance of the proposed project.
- (2) In determining the significance of the proposed project, the Secretary considers the following factors:
  - (i) The potential contribution of the proposed project to increased knowledge or understanding of educational problems, issues, or effective strategies;
  - (ii) The likelihood that the proposed project will result in system change or improvement;
  - (iii) The extent to which the proposed project is likely to build local capacity to provide, improve, or expand services that address the needs of the target population;

(iv) The likely utility of the products (such as information, materials, processes, or techniques) that will result from the proposed project, including the potential for their being used effectively in a variety of other settings; and

(v) The importance or magnitude of the results or outcomes likely to be attained by the proposed project.

**(b) Quality of project services (25)**

(1) The Secretary considers the quality of the services to be provided by the proposed project.

(2) In determining the quality of the services to be provided by the proposed project, the Secretary considers the quality and sufficiency of strategies for ensuring equal access and treatment for eligible project participants who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability.

(3) In addition, the Secretary considers the following factors:

(i) The extent to which the services to be provided by the proposed project are appropriate to the needs of the intended recipients or beneficiaries of those services;

(ii) The extent to which entities that are to be served by the proposed technical assistance project demonstrate support for the project;

(iii) The extent to which the services to be provided by the proposed project reflect up-to-date knowledge from research and effective practice;

(iv) The likely impact of the services to be provided by the proposed project on the intended recipients of those services;

(v) The extent to which the services to be provided by the proposed project involve the collaboration of appropriate partners for maximizing the effectiveness of project services; and

(vi) The extent to which the technical assistance services to be provided by the proposed project involve the use of efficient strategies, including the use of technology, as appropriate, and the leveraging of non-project resources.

**(c) Quality of project personnel (20)**

(1) The Secretary considers the quality of the personnel who will carry out the proposed project.

(2) In determining the quality of project personnel, the Secretary considers the extent to which the applicant encourages applications for employment from persons who are members of

groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability.

(3) In addition, the Secretary considers the following factors:

(i) The qualifications, including relevant training and experience, of key project personnel; and

(ii) The qualifications, including relevant training and experience, of project consultants or subcontractors.

**(d) Adequacy of resources (10)**

(1) The Secretary considers the adequacy of resources for the proposed project.

(2) In determining the adequacy of resources for the proposed project, the Secretary considers the following factors:

(i) The adequacy of support, including facilities, equipment, supplies, and other resources, from the applicant organization or the lead applicant organization;

(ii) The extent to which the budget is adequate to support the proposed project; and

(iii) The extent to which the costs are reasonable in relation to the number of persons to be served and to the anticipated results and benefits.

**(e) Quality of the management plan (15)**

(1) The Secretary considers the quality of the management plan for the proposed project.

(2) In determining the quality of the management plan for the proposed project, the Secretary considers the following factors:

(i) The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks;

(ii) The adequacy of procedures for ensuring feedback and continuous improvement in the operation of the proposed project;

(iii) The adequacy of mechanisms for ensuring high-quality products and services from the proposed project;

(iv) The extent to which the time commitments of the project director and principal investigator and other key project personnel are appropriate and adequate to meet the objectives of the proposed project; and

(v) How the applicant will ensure that a diversity of perspectives are brought to bear in the operation of the proposed project, including those of parents, teachers, the business community, a variety of disciplinary and professional fields, recipients or beneficiaries of services, or others, as appropriate.

**(f) Quality of project evaluation (20)**

(1) The Secretary considers the quality of the evaluation to be conducted of the proposed project.

(2) In determining the quality of the evaluation, the Secretary considers the following factors:

(i) The extent to which the methods of evaluation are thorough, feasible, and appropriate to the goals, objectives, and outcomes of the proposed project.

(ii) The extent to which the methods of evaluation will provide performance feedback and permit periodic assessment of progress toward achieving intended outcomes.

(iii) The extent to which the methods of evaluation will provide timely guidance for quality assurance.

(iv) The extent to which the evaluation will provide guidance about effective strategies suitable for replication or testing in other settings.

(v) The extent to which the methods of evaluation provide for examining the effectiveness of project implementation strategies.

(vi) The extent to which the methods of evaluation include the use of objective performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data to the extent possible.

**GENERAL INFORMATION**  
**ON COMPLETING**  
**AN APPLICATION**



## **GENERAL INFORMATION ON COMPLETING AN APPLICATION**

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Potential applicants frequently direct questions to officials of the Department regarding application notices and programmatic and administrative regulations governing various direct grant programs. To assist potential applicants, the Office of Special Education Programs staff have assembled the following most commonly raised issues. In general, this information applies to the grant competitions covered by this application package.

- **EXTENSION OF DEADLINES**

Waivers for individual applications are not granted, regardless of the circumstances. Under very extraordinary circumstances a closing date may be changed. Such changes are announced in the Federal Register.

- **COPIES OF THE APPLICATION**

Current Government-wide policy is that only an original and two copies need to be submitted. OSEP would appreciate receiving three additional copies to facilitate the peer review process. This would mean an original and two copies need to be submitted and we would appreciate your voluntarily submitting an additional three copies (six applications in all). Copies of the application may be bound, but it is not necessary or required. If bound, one copy should be left unbound to facilitate electronic scanning and any necessary reproduction. Applicants should not use colored paper, foldouts, photographs, or other materials that are hard to duplicate.

Please Note: If an application is recommended for funding and a grant award is issued, we will contact the applicant to request a copy of the application on a diskette or CD. The Department is moving toward an electronic grant filing system and an electronic copy of all applications that are being funded will facilitate this effort.

- **MAKING APPLICATIONS MORE ACCESSIBLE TO REVIEWERS WHO ARE BLIND OR HAVE LOW VISION**

The Department will accept one copy of the application in an accessible format (i.e., IBM PC compatible WordPerfect or ASCII code diskette) along with the original and two print copies of the application. The accessible format copy can be used with available software to convert the text of the application into Braille, or with text to voice applications. If there are any differences in the print original provided on the disk and in print, the print original is assumed to be the correct version. Please note that it is not a requirement that one copy of the application be in an accessible format.

- **MISSED DEADLINES AND SUBMISSION UNDER OTHER COMPETITIONS**

Should an application miss the deadline for a particular competition, it may be submitted to another competition. However, if an application is properly prepared to meet the

specifications of one competition, it is extremely unlikely that it would be favorably evaluated under a different competition.

- SUBMISSION TO MORE THAN ONE PROGRAM

Applications may be submitted to more than one Federal program if you are unsure of the most appropriate program. Each application should be prepared following the instructions for that particular program as closely as possible (which may require some reformulation). It is very helpful if each program is notified that an identical or similar application is being submitted to another program.

- HELP PREPARING APPLICATIONS

We are happy to provide general program information. Clearly it would not be appropriate for staff to participate in the actual writing of an application, but we can respond to specific questions about our application requirements and evaluation criteria, or about the announced priorities. Applicants should understand that such previous contact is not required, nor does it guarantee the success of an application.

- NOTIFICATION OF FUNDING

The time required to complete the evaluation of applications is variable. Once applications have been received staff must determine the areas of expertise needed to appropriately evaluate the applications, identify and contact potential reviewers, convene peer review panels, and summarize and review the recommendations of the review panels. You can expect to receive notification within 3 to 6 months of the application closing date, depending on the number of applications received and the number of competitions with closing dates at about the same time. The requested start date can be no later than January 1 of the year following the closing date of the competition.

- POSSIBILITY OF LEARNING THE OUTCOME OF REVIEW PANELS PRIOR TO OFFICIAL NOTIFICATION

Every year we are called by a number of applicants who have legitimate reasons for needing to know the outcome of the review prior to official notification. Some applicants need to make job decisions, some need to notify a local school district, etc. Regardless of the reason, we cannot share information about the review with anyone until the Assistant Secretary has approved a slate of projects recommended for funding. You will be notified as quickly as possible either by telephone (if your application is recommended for funding), or through a letter (if your application is not successful).

- FORMAT FOR APPLICATIONS

The application narrative (Part III of the application form) should be organized to follow the exact sequence of the components in the selection criteria used to evaluate applications. (The selection criteria for the competitions covered by this packet are listed following the

specific competition information in section “B” of this packet.) A table of contents, list of priority requirements, and an abstract (see page B-11) should precede the application narrative. If you prefer to use a different format, you may wish to cross-reference the sections of your application to the selection criteria to be sure that reviewers are able to find all relevant information.

To aid in screening and reviewing the application, applicants should list in Part II and prior to the abstract, all general, special, and other requirements for the priority and corresponding page number (s) where requirements are addressed within the application. Page limits do not apply to this list. (All requirements are found in each priority description included in this application package.) The format included below is an example of how you might provide this information in your application.

| <b>Page #</b> | <b>Requirements</b>   |
|---------------|---|
| _____         | (a) Projects funded under this notice must make positive efforts to employ and advance in employment qualified individuals with disabilities in project activities. (See Section 606 of IDEA)   |
| _____         | (b) Applicants and grant recipients funded under this notice must involve individuals with disabilities or parents of individuals with disabilities ages birth through 26 in planning, implementing, and evaluating the projects.<br>(See Section 682(a)(1)(A) of IDEA) |
| _____         | (c) Applicant must describe steps to ensure equitable access to, and participation in, its program for students, teachers, and other program beneficiaries with special needs. (See Section 427, GEPA)  |
| _____         | (d) Projects funded under these priorities must budget for a three-day Project’s Directors’ meeting in Washington, D.C. during each year of the project.  |

- **PAGE LIMITS**

Please note that all applications submitted under the competition in this application package must adhere to the Part III - Application Narrative page limit requirements that are specified under each priority/competition description. Your application should provide enough information to allow the review panel to evaluate the importance and impact of the project as well as to make knowledgeable judgments about the methods you propose to use (design, subjects, sampling procedures, measures, instruments, data analysis strategies, etc.). It is often helpful to have:

- (l) Staff Vitae--They should include each person's title and role in the proposed project and contain only information that is relevant to this proposed project's activities

and/or publications. Vitae for consultants and Advisory Council members should be similarly brief.

- (2) Instruments--except in the case of generally available and well known instruments.
- (3) Agreements--when the participation of an agency other than the applicant is critical to the project. This is particularly critical when an intervention will be implemented within an agency, or when subjects will be drawn from particular agencies. Letters of cooperation should be specific, indicating agreement to implement a particular intervention or to provide access to a particular group of students.

The items listed above are not included under page limits.

- **MAKING SURE APPLICATION IS ASSIGNED TO THE CORRECT COMPETITION**

Applicants should clearly indicate in Item 11 on the application (SF Form 424) the CFDA number of the program priority (e.g., 84.326S, etc.) representing the competition in which the application should be considered. If this information is not provided, your application may inadvertently be assigned and reviewed under a different competition from the one you intended.

- **RETURN OF NON-FUNDED APPLICATIONS**

We do not return original copies of applications. Thus, applicants should retain at least one copy of the application. Copies of reviewer comments will be mailed to all applicants.

- **PROPOSED STAFF AVAILABILITY TO PROJECT**

For each staff person named in the application, please provide documentation of all internal and external time commitments. In instances where a staff person is committed on a federally supported project, please provide the project name, Federal office, program title, the project Federal award number, and the amount of committed time by each project year. This information (e.g., Staff: Jane Doe; Project Name: Succeeding in the General Curriculum; Federal office: Office of Special Education Programs; Program title: Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities; Award number: H326A030002; Time commitments: Year 1—30%; Year 2—25% and Year 3—40%) can be provided as an Appendix to the application.

In general, we will not reduce time commitments on currently funded grants from the time proposed in the original application. Therefore, we will not consider for funding any application where key staff are bid above a time commitment level that staff have available to bid. Further, the time commitments stated in newly submitted applications will not be negotiated down to permit the applicant to receive a new grant award.

- **USE OF PERSON LOADING CHARTS**

It is important for applicants to include proposed time commitments for all project personnel. Also, program officials and applicants often find person loading charts useful

formats for showing project personnel and their time commitments to individual activities. A person loading chart is a tabular representation of major evaluation activities by number of days spent by each key person involved in each activity, as shown in the following example.

**Table  
Person Loading Chart - Time in Day(s) by Person\***

| Activity                                     | Time in Day(s) by Person |          |          |          |
|--|--------------------------|----------|----------|----------|
|  | Person A                 | Person B | Person C | Person D |
| <b>Library Research</b>                      | 15                       | 20       | 0        | 0        |
| <b>Hire Staff</b>                            | 0                        | 0        | 0        | 5        |
| <b>Prepare Materials</b>                     | 5                        | 25       | 0        | 0        |
| <b>Train Raters</b>                          | 0                        | 2        | 0        | 0        |
| <b>Data Collection</b>                       | 60                       | 60       | 0        | 0        |
| <b>Data Analysis</b>                         | 0                        | 0        | 25       | 5        |
| <b>Dissemination<br/>(manuscripts, etc.)</b> | 0                        | 1        | 0        | 10       |

\*Note: All figures represent FTE for the grant year.

- **DELIVERING/SENDING APPLICATIONS TO THE COMPETITION MANAGER**

Applications can be mailed or hand delivered, or submitted electronically but in either case must go to the Application Control Center at the address listed in the Application Transmittal Instructions. Delivering or sending the application to the competition manager in the program office may prevent it from being logged in on time to the appropriate competition and may result in the application not being reviewed.

- **ALLOWED TRAVEL UNDER THESE PROJECTS**

Travel is allowed if the travel specifically relates to the expressed goals of the project. Travel by students to further their education under the project's goals is also allowed. Travel to conferences is the travel item that is most likely to be questioned during negotiations. Such travel is sometimes allowed when it is for purposes of dissemination, when there will be results to be disseminated, and when it is clear that a conference presentation or workshop is an effective way of reaching a particular target group.

- **FUNDING OF APPROVED APPLICATIONS**

It is often the case that the number of applications recommended for approval by the reviewers exceeds the dollars available for funding projects under a particular competition. When the panel reviews are completed for a particular competition, the individual reviewer scores and applications are ranked. The higher ranked, approved applications are funded first, and there are often lower ranked, approved applications that do not receive funding. Sometimes, one or two applications that are approved and fall next in rank order (after

those projects selected for funding) are placed on hold. If dollars become available as a result of negotiations, or if a higher ranked applicant declines the award, the projects on hold may receive funding. If you receive a letter stating that you will not receive funding, then your project has neither been selected for funding nor placed on hold.

- **INDIRECT COST RATE**

There is no maximum indirect cost for the competitions in this application package. An organization's current effective indirect cost rate is the rate that should be reflected in your proposed budget. The Department of Education (ED) reimburses grantees for its portion of indirect costs that a grantee incurs in projects funded by the Center on Positive Behavioral Supports competition, 84.326S. Any grantee charging indirect costs to a grant from this program must use the indirect cost rate (**ICR**), negotiated with its *cognizant agency*, i.e., either the Federal agency from which it has received the most direct funding, subject to indirect cost support, the particular agency specifically assigned cognizance by the Office of Management and Budget or the State agency that provides the most subgrant funds to the grantee.

**Note:** Applicants should pay special attention to specific questions on the application budget form (ED 524) about their cognizant agency and the ICR they are using in their budget.

If an applicant selected for funding under this program has not already established a current ICR with its cognizant agency as a result of current or previous funding, ED will require it to do so within 90 days after the date the grant was issued by ED. Applicants should be aware that ED is very often *not* the cognizant agency for its own grantees. Rather, ED accepts, for the purpose of funding its awards, the current ICR established by the appropriate cognizant agency.

An applicant that has not previously established an indirect cost rate with the Federal government or a State agency under a Federal program and that is selected for funding will not be allowed to charge its grant for indirect costs until it has negotiated a current indirect cost rate agreement with its cognizant agency.

Applicants are encouraged to use their accountant (or CPA) to calculate an indirect cost rate using information in the IRS Form 990, audited financial statements, actual cost data or a *cost policy statement* that such applicants are urged to prepare (but NOT submit to ED) during the application process.

Applicants should use this proposed rate in their application materials and indicate which of the above methods was used to calculate the rate. Guidance for creating a cost policy statement can be obtained by sending an e-mail to [katrina.mcdonald@ed.gov](mailto:katrina.mcdonald@ed.gov). Applicants with questions about using indirect cost rates under this program should contact the program contact person shown elsewhere in this application package.

- **ISSUES RAISED DURING DISCUSSIONS PRIOR TO AWARD**

If your application is recommended for funding, discussions may be held prior to award to clarify technical or budget issues. These are issues that have been identified during panel and staff review. Generally, technical issues are minor issues that require clarification. Alternative approaches may be presented for your consideration, or you may be asked to provide additional information or rationale for something you have proposed to do. Sometimes, concerns are stated as "conditions". These are concerns that have been identified as so critical that the award cannot be made unless those conditions are met. Questions are also raised about the proposed budget during the discussion phase. Generally, budget issues are raised because there is inadequate justification or explanation of the particular budget item, or because the budget item does not seem critical to the successful completion of the project. A Federal project officer will present the issues to you and ask you to respond. If you do not understand the question, you should ask for clarification. In responding to discussion items you should provide any additional information or clarification requested. You may feel that an issue was addressed in the application. It may not, however, have been explained in enough detail to make it understood by reviewers, and more information should be provided. If you are asked to make changes that you feel could seriously affect the project's success, you may provide reasons for not making the changes, or provide alternative suggestions. Similarly, if proposed budget reductions will, in your opinion, seriously affect the proposed activities, you may want to explain why and provide additional justification for the proposed expenses. Your changes, explanations, and alternative suggestions will be carefully evaluated by staff. In some instances, an applicant may again be contacted for additional information. An award cannot be made until all issues have been resolved and conditions met.

- **TREATING A PRIORITY AS TWO SEPARATE COMPETITIONS.** In the past, there have been problems in finding peer reviewers without conflicts of interest where applications are made by many entities throughout the country. The Standing Panel requirements also place additional constraints on the availability of reviewers. Therefore, The Department has determined that, for some discretionary priorities, applications may be ranked and selected for funding in two or more groups, which will ensure the availability of a much larger group of reviewers without conflicts of interest. This procedure will increase the quality, independence and fairness of the review process and will permit panel members to review applications under discretionary priorities to which they have also submitted applications.

- **SUCCESSFUL APPLICATIONS AND ESTIMATED/PROJECTED BUDGET AMOUNTS IN SUBSEQUENT YEARS**

There is a maximum award amount specified for the priority/competitions included in this package. The Department rejects and does not consider an application that proposes a budget exceeding the maximum amount for any single budget period of 12 months for the priorities included in this package. Please refer to the priority description to determine the maximum award for any one particular competition. Since the yearly budgets for multi-

year projects will be negotiated at the time of the initial award, applicants must include detailed budgets for each year of their proposed project. Generally, out-year funding levels most likely will not exceed 1st year budgets. However, budget modifications during the negotiation process, the findings from the previous year, or needed changes in the study design can affect your budget requirements in subsequent years, but in no case will out-year budgets exceed the maximum award amount.

- **REQUIREMENT TO REPORT THE RESULTS OF GRANT ACTIVITIES**

The Department shall, where appropriate, require recipients of all grants, contracts and cooperative agreements under Part D of the Individuals with Disabilities Education Act to prepare reports describing their procedures, findings, and other relevant information. The Department shall require their delivery to the Department of Education and other networks as The Department may determine appropriate. (20 U.S.C. 1482)

- **DIFFERENCE BETWEEN A COOPERATIVE AGREEMENT AND A GRANT**

A cooperative agreement is similar to a grant in that its principal purpose is to accomplish a public purpose of support or stimulation as authorized by a Federal statute. It differs from a grant in the sense that in a cooperative agreement substantial involvement is anticipated between the executive agency (in this case the Department of Education) and the recipient during the performance of the contemplated activity.

- **DIFFERENCE BETWEEN AN ABSOLUTE PRIORITY, AN INVITATIONAL PRIORITY, AND A COMPETITIVE PRIORITY**

An absolute priority is a priority that an applicant must address in order to receive an award. If an applicant does not address an absolute priority, their application will be returned as being non-responsive to the priority.

An invitational priority is a priority that reflects a particular interest of the Department, and an applicant is encouraged to address the invitational priority along with the required absolute priority. However, an applicant choosing to address an invitational priority, will not receive any competitive preference over other applications.

A competitive priority is like an invitational priority in that it reflects a particular interest of the Department, and an applicant is encouraged to address the competitive priority along with the required absolute priority. A competitive priority may be handled in one of two ways: (1) an application may be awarded additional points depending on how effectively it addresses the competitive priority; or (2) an application that meets a competitive priority may be selected over an application of comparable merit that does not address the competitive priority. The type of competitive priority for a particular competition is always included in the FEDERAL REGISTER announcement.



- OBTAINING COPIES OF THE FEDERAL REGISTER, PROGRAM REGULATIONS AND FEDERAL STATUTES

Copies of these materials can usually be found at your local library. If not, they can be obtained by writing to:

Superintendent of Documents  
U.S. Government Printing Office  
Washington, DC 20402  
Telephone: 202-512-1800.

Information about the Department's funding opportunities, including copies of application notices for discretionary grant competitions, can be viewed on the Department's grant information web page which can be accessed on the INTERNET at:

[www.ed.gov/fund/grant/apply/grantapps](http://www.ed.gov/fund/grant/apply/grantapps)

However, the official application notice for a discretionary grant competition is the notice published in the FEDERAL REGISTER.

**APPLICATION TRANSMITTAL INSTRUCTIONS**  
**AND**  
**REQUIREMENTS FOR**  
**INTERGOVERNMENTAL REVIEW**

## **Application Transmittal Instructions**

### **ATTENTION ELECTRONIC APPLICANTS:**

Please note that you must follow the Application Procedures as described in the Federal Register notice announcing the grant competition. Some programs may require electronic submission of applications, and those programs will have specific requirements and waiver instructions in the Federal Register notice.

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

### **Applications Submitted Electronically**

You must submit your grant application through the Internet using the software provided on the Grants.gov Web site (<http://www.grants.gov>) by 4:30 p.m. (Washington, DC time) on the application deadline date.

If you submit your application through the Internet via the e-Grants Web site, you will receive an automatic acknowledgment when we receive your application.

For more information on using Grants.gov, please refer to the Notice Inviting Applications that was published in the Federal Register, the Grants.gov Submission Procedures and Tips document found in the application package instructions, and visit <http://www.grants.gov>.

### **Applications Sent by Mail**

You must mail the original and two copies of the application on or before the deadline date to. To help expedite our review of your application, we would appreciate your voluntarily including an additional 3 copies of your application.

### **Please mail copies to:**

**U.S. Department of Education  
Application Control Center  
Attention: CFDA# 84.326S  
400 Maryland Avenue, SW  
Washington, DC 20202-4260**

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

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

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

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

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

**Applications Delivered by Commercial Carrier:**

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

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

**U.S. Department of Education  
Application Control Center – Stop 4260  
Attention: CFDA# 84.326S  
7100 Old Landover Road  
Landover, MD 20785-1506**

**Applications Delivered by Hand**

You or your courier must hand deliver the original and number of copies requested of the application by 4:30 p.m. (Washington, D.C. time) on or before the deadline date. To help expedite our review of your application, we would appreciate your voluntarily including an additional 3 copies of your application.

**Please hand deliver copies to:**

**U.S. Department of Education  
Application Control Center  
Attention: CFDA# 84.326S  
550 12<sup>th</sup> Street, SW  
PCP Room 7041  
Washington, DC 20202-4260**

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

## Appendix

### **Intergovernmental Review of Federal Programs**

This appendix applies to each program that is subject to the requirements of Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR part 79.

The objective of the Executive order is to foster an intergovernmental partnership and to strengthen federalism by relying on State and local processes for State and local government coordination and review of proposed Federal financial assistance.

Applicants must contact the appropriate State Single Point of Contact to find out about, and to comply with, the State's process under Executive Order 12372. Applicants proposing to perform activities in more than one State should immediately contact the Single Point of Contact for each of those States and follow the procedure established in each of those States under the Executive order. A listing containing the Single Point of Contact for each State is included in this appendix.

In States that have not established a process or chosen a program for review, State, areawide, regional, and local entities may submit comments directly to the Department.

Any State Process Recommendation and other comments submitted by a State Single Point of Contact and any comments from State, areawide, regional, and local entities must be mailed or hand-delivered by the date indicated in the actual application notice to the following address: The Secretary, EO 12372--CFDA# [commenter must insert number--including suffix letter, if any], U.S. Department of Education, room 7W301, 400 Maryland Avenue, SW., Washington, DC 20202.

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

**PLEASE NOTE THAT THE ABOVE ADDRESS IS NOT THE SAME ADDRESS AS THE ONE TO WHICH THE APPLICANT SUBMITS ITS COMPLETED APPLICATION. DO NOT SEND APPLICATIONS TO THE ABOVE ADDRESS.**

## STATE SINGLE POINTS OF CONTACT (SPOCs)

It is estimated that in 2004 the Federal Government will outlay \$400 billion in grants to State and local governments. Executive Order 12372, "Intergovernmental Review of Federal Programs," was issued with the desire to foster the intergovernmental partnership and strengthen federalism by relying on State and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The Order allows each State to designate an entity to perform this function. Below is the official list of those entities. For those States that have a home page for their designated entity, a direct link has been provided on the official version: <http://www.whitehouse.gov/omb/grants/spoc.html>.

States that are not listed on this page have chosen not to participate in the intergovernmental review process, and therefore do not have a SPOC. If you are located within one of these States, you may still send application materials directly to a Federal awarding agency.

Contact information for Federal agencies that award grants can be found in [The Catalog of Federal Domestic Assistance Catalog Contents Page](#). You can access Appendix IV by Agency [[http://12.46.245.173/CFDA/appx4\\_web.pdf](http://12.46.245.173/CFDA/appx4_web.pdf)] or by State [[http://12.46.245.173/CFDA/appx4\\_web\\_state.pdf](http://12.46.245.173/CFDA/appx4_web_state.pdf)].

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|---|---|
| <p><b>ARKANSAS</b><br/>           Tracy L. Copeland<br/>           Manager, State Clearinghouse<br/>           Office of Intergovernmental Services<br/>           Department of Finance and Administration<br/>           1515 W. 7<sup>th</sup> Street, Room 412<br/>           Little Rock, Arkansas 72203<br/>           Telephone: (501) 682-1074<br/>           FAX: (501) 682-5206<br/> <a href="mailto:tracy.copeland@dfa.state.ar.us">tracy.copeland@dfa.state.ar.us</a></p>                               | <p><b>CALIFORNIA</b><br/>           Grants Coordination<br/>           State Clearinghouse<br/>           Office of Planning and Research<br/>           P.O. Box 3044, Room 222<br/>           Sacramento, California 95812-3044<br/>           Telephone: (916) 445-0613<br/>           FAX: (916) 323-3018<br/> <a href="mailto:State.clearinghouse@opr.ca.gov">State.clearinghouse@opr.ca.gov</a></p> |
| <p><b>DELAWARE</b><br/>           Jennifer L. Carlson<br/>           Assoc. Fiscal &amp; Policy Analyst<br/>           Office of Management and Budget<br/>           Budget Development, Planning &amp; Admin.<br/>           Haslet Armory, Third Floor<br/>           122 William Penn Street<br/>           Dover, Delaware 19901 SLC D570E<br/>           Telephone: (302) 739-4206<br/>           FAX: (302) 739-5661<br/> <a href="mailto:jennifer.carlson@state.de.us">jennifer.carlson@state.de.us</a></p> | <p><b>DISTRICT OF COLUMBIA</b><br/>           Marlene Jefferson<br/>           DC Government Office of Partnerships<br/>           and Grants Development<br/>           414 4<sup>th</sup> Street, NW<br/>           Washington, DC 20001<br/>           Telephone: (202) 727-6518<br/>           FAX: (202) 727-1652<br/> <a href="mailto:marlene.Jefferson@dc.gov">marlene.Jefferson@dc.gov</a></p>    |

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| <p><b>FLORIDA</b><br/>         Lauren P. Milligan<br/>         Florida State Clearinghouse<br/>         Florida Dept. of Environmental Protection<br/>         3900 Commonwealth Boulevard<br/>         Mall Station 47<br/>         Tallahassee, Florida 32399-3000<br/>         Telephone: (850) 245-2161<br/>         FAX: (850) 245-2190<br/> <a href="mailto:Lauren.Milligan@dep.state.fl.us">Lauren.Milligan@dep.state.fl.us</a></p> | <p><b>GEORGIA</b><br/>         Barbara Jackson<br/>         Georgia State Clearinghouse<br/>         270 Washington Street, SW, 8<sup>th</sup> Floor<br/>         Atlanta, Georgia 30334<br/>         Telephone: (404) 656-3855<br/>         FAX: (404) 656-7901<br/> <a href="mailto:gach@mail.opb.state.ga.us">gach@mail.opb.state.ga.us</a></p>                             |
| <p><b>ILLINOIS</b><br/>         Roukaya McCaffrey<br/>         Department of Commerce and Economic Opportunities<br/>         620 East Adams, 6<sup>th</sup> Floor<br/>         Springfield, Illinois, 62701<br/>         Telephone: (217) 524-0188<br/>         FAX: (217) 558-0473<br/> <a href="mailto:roukaya_mccaffrey@illinoisbiz.biz">roukaya_mccaffrey@illinoisbiz.biz</a></p>   | <p><b>IOWA</b><br/>         Kathy Mable<br/>         Iowa Department of Management<br/>         State Capitol Building Room G12<br/>         1007 E Grand Avenue<br/>         Des Moines, Iowa 50319<br/>         Telephone: (515) 281-8834<br/>         FAX: (515) 242-5897<br/> <a href="mailto:Kathy.Mable@iowa.gov">Kathy.Mable@iowa.gov</a></p>                           |
| <p><b>KENTUCKY</b><br/>         Ron Cook<br/>         The Governor's Office for Local Development<br/>         1024 Capital Center Drive, Suite 340<br/>         Frankfort, Kentucky 40601<br/>         Telephone: (502) 573-2382 / (800) 346-5606<br/>         FAX: (502) 573-2512<br/> <a href="mailto:Ron.Cook@Ky.Gov">Ron.Cook@Ky.Gov</a></p>  | <p><b>MAINE</b><br/>         Joyce Benson<br/>         State Planning Office<br/>         184 State Street<br/>         38 State House Station<br/>         Augusta, Maine 04333<br/>         Telephone: (207) 287-3261<br/>         (direct): (207) 287-1461<br/>         FAX: (207) 287-6489<br/> <a href="mailto:joyce.benson@state.me.us">joyce.benson@state.me.us</a></p> |

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| <p><b>MARYLAND</b><br/> Linda C. Janey, J.D.<br/> Director, Capital Planning and<br/> Development Review<br/> Maryland Department of Planning<br/> 301 West Preston Street, Room 1104<br/> Baltimore, Maryland 21201-2305<br/> Telephone: (410) 767-4490<br/> FAX: (410) 767-4480<br/> <a href="mailto:linda@mail.op.state.md.us">linda@mail.op.state.md.us</a></p> | <p><b>MICHIGAN</b><br/> William Parkus<br/> Southeast Michigan Council of<br/> Governments<br/> 535 Griswold, Suite 300<br/> Detroit, Michigan 48226<br/> Telephone: (313) 961-4266<br/> FAX: (313) 961-4869<br/> <a href="mailto:parkus@semcog.org">parkus@semcog.org</a></p>   |
| <p><b>MISSISSIPPI</b><br/> Janet Riddell<br/> Clearinghouse Officer<br/> Department of Finance and<br/> Administration<br/> 1301 Woolfolk Building, Suite E<br/> 501 North West Street<br/> Jackson, Mississippi 39201<br/> Telephone: (601) 359-6762<br/> Fax: (601) 359-6758<br/> <a href="mailto:JRiddell@dfa.state.ms.us">JRiddell@dfa.state.ms.us</a></p>      | <p><b>MISSOURI</b><br/> Sara VanderFeltz<br/> Federal Assistance Clearinghouse<br/> Office of Administration<br/> Commissioner's Office<br/> Capitol Building, Room 125<br/> Jefferson City, Missouri 65102<br/> Telephone: (573) 751-0337<br/> FAX: (573) 751-1212<br/> <a href="mailto:sara.vanderfeltz@oa.mo.gov">sara.vanderfeltz@oa.mo.gov</a></p>      |
| <p><b>NEVADA</b><br/> Zofia Targosz<br/> Department of Administration<br/> State Clearinghouse<br/> 209 E. Musser Street, Room 200<br/> Carson City, Nevada 89701<br/> Telephone: (775) 684-0209<br/> FAX: (775) 684-0260<br/> <a href="mailto:clearinghouse@budget.state.nv.us">clearinghouse@budget.state.nv.us</a></p>   | <p><b>NEW HAMPSHIRE</b><br/> Jack Ruderman<br/> Acting Director, New Hampshire Office of<br/> Energy and Planning<br/> Attn: Intergovernmental Review Process<br/> James P. Taylor<br/> 57 Regional Drive<br/> Concord, New Hampshire 03301-8519<br/> Telephone: (603) 271-2155<br/> FAX: (603) 271-2615<br/> <a href="mailto:irp@nh.gov">irp@nh.gov</a></p> |
| <p><b>NEW YORK</b><br/> Linda Shkrell<br/> Office of Public Security<br/> Homeland Security Grants Coordination<br/> 633 3<sup>rd</sup> Avenue<br/> New York, NY 10017<br/> Telephone: (212) 867-1289<br/> FAX: (212) 867-1725</p>  | <p><b>NORTH DAKOTA</b><br/> Jim Boyd<br/> ND Department of Commerce<br/> 1600 East Century Avenue, Suite 2<br/> P.O. Box 2057<br/> Bismarck, North Dakota 58502-2057<br/> Telephone: (701) 328-2676<br/> FAX: (701) 328-2308<br/> <a href="mailto:jboyd@state.nd.us">jboyd@state.nd.us</a></p>   |



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| <p><b>RHODE ISLAND</b><br/> Joyce Karger<br/> Department of Administration<br/> One Capitol Hill<br/> Providence Rhode Island 02908-5870<br/> Telephone: (401) 222-6181<br/> FAX: (401) 222-2083<br/> <a href="mailto:jkarger@doa.state.ri.us">jkarger@doa.state.ri.us</a></p>  | <p><b>SOUTH CAROLINA</b><br/> Jean Ricard<br/> Office of State Budget<br/> 1201 Main Street, Suite 870<br/> Columbia, South Carolina 29201<br/> Telephone: (803) 734-1314<br/> FAX: (803) 734-0645<br/> <a href="mailto:jricard@budget.sc.us">jricard@budget.sc.us</a></p>   |
| <p><b>TEXAS</b><br/> Denise S. Francis<br/> Director, State Grants Team<br/> Governor's Office of Budget and Planning<br/> P.O. Box 12428<br/> Austin, Texas 78711<br/> Telephone: (512) 305-9415<br/> FAX: (512) 936-2681<br/> <a href="mailto:dfrancis@governor.state.tx.us">dfrancis@governor.state.tx.us</a></p>  | <p><b>UTAH</b><br/> Sophia DiCaro<br/> Utah State Clearinghouse<br/> Governor's Office of Planning and Budget<br/> Utah<br/> Capitol Complex<br/> Suite E210, P.O. Box 142210<br/> Salt Lake City, Utah 84114-2210<br/> Telephone: (801) 538-1027<br/> FAX: (801) 538-1547<br/> <a href="mailto:ddicaro@utah.gov">ddicaro@utah.gov</a></p>       |
| <p><b>WEST VIRGINIA</b><br/> Bobby Lewis, Director<br/> Community Development Division<br/> West Virginia Development Office<br/> Building #6, Room 553<br/> Charleston, West Virginia 25305<br/> Telephone: (304) 558-4010<br/> FAX: (304) 558-3248<br/> <a href="mailto:rlewis@wvdo.org">rlewis@wvdo.org</a></p>  | <p><b>WISCONSIN</b><br/> Division of Intergovernmental Relations<br/> Wisconsin Department of Administration<br/> 101 East Wilson Street, 10<sup>th</sup> Floor<br/> P.O. Box 8944<br/> Madison, Wisconsin 53708<br/> Telephone: (608) 266-7043<br/> FAX: (608) 267-6917<br/> <a href="mailto:SPOC@doa.state.wi.us">SPOC@doa.state.wi.us</a></p> |
| <p><b>AMERICAN SAMOA</b><br/> Pat M. Galea'i<br/> Federal Grants/Programs Coordinator<br/> Office of Federal Programs/Office of the<br/> Governor<br/> Department of Commerce<br/> American Samoa Government<br/> Pago Pago, American Samoa 96799<br/> Telephone: (684) 633-5155<br/> Fax: (684) 633-4195<br/> <a href="mailto:pmgaleai@samoatelco.com">pmgaleai@samoatelco.com</a></p> | <p><b>GUAM</b><br/> Director<br/> Bureau of Budget and Mgmt. Research<br/> Office of the Governor<br/> P.O. Box 2950<br/> Agana, Guam 96910<br/> Telephone: 011-671-472-2285<br/> FAX: 011-671-472-2825<br/> <a href="mailto:jer@ns.gov.gu">jer@ns.gov.gu</a></p>  |

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| <p><b>NORTH MARIANA ISLANDS</b><br/> Ms. Jacoba T. Seman<br/> Federal Programs Coordinator<br/> Office of Management and Budget<br/> Office of the Governor<br/> Saipan, MP 96950<br/> Telephone: (670) 664-2289<br/> FAX: (670) 664-2272<br/> <a href="mailto:omb.jseman@saipan.com">omb.jseman@saipan.com</a></p>        | <p><b>PUERTO RICO</b><br/> Jose Caballero / Mayra Silva<br/> Puerto Rico Planning Board<br/> Federal Proposals Review Office<br/> Minillas Government Center<br/> P.O. Box 41119<br/> San Juan, Puerto Rico 00940-1119<br/> Telephone: (787) 723-6190<br/> FAX: (787) 722-6783</p> |
| <p><b>VIRGIN ISLANDS</b><br/> Ira Mills<br/> Director, Office of Management and Budget<br/> # 41 Norre Gade Emancipation Garden<br/> Station, Second Floor<br/> Saint Thomas, Virgin Islands 00802<br/> Telephone: (340) 774-0750<br/> FAX: (787) 776-0069<br/> <a href="mailto:irmills@usvi.org">irmills@usvi.org</a></p> |  |

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

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

**Please note:** Inquiries about obtaining a Federal grant should not be sent to the OMB e-mail or postal address shown above. The best source for this information is the Catalog of Federal Domestic Assistance or CFDA [www.cfda.gov](http://www.cfda.gov) and the Grants.gov Web site ([www.grants.gov](http://www.grants.gov)).

**NOTICE TO ALL APPLICANTS**  
**(ENSURING EQUITABLE ACCESS)**  
**AND**  
**APPLICATION FORMS AND INSTRUCTIONS**

## NOTICE TO ALL APPLICANTS

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

### To Whom Does This Provision Apply?

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

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

### What Does This Provision Require?

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs. This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation in, the Federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct

description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

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

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

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

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

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

### **Estimated Burden Statement for GEPA Requirements**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1894-0005**. The time required to complete this information collection is estimated to average 1.5 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202-4537.

## **APPLICATION FORMS AND INSTRUCTIONS**

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The application is divided into four parts. These parts are organized in the same manner that the submitted application should be organized. These parts are as follows:

Part I: Application for Federal Assistance (SF 424) and Instructions.

Part II: Budget Information -- Non-Construction Programs (ED Form 524) and Instructions.

Part III: Application Narrative.

Part IV: Assurances and Certifications --

Assurances -- Non-Construction Programs (Standard Form 424B).

Certifications Regarding Lobbying (ED Form 80-0013).

Disclosure of Lobbying Activities.

An applicant may submit information on a photostatic copy of the application and budget forms, the assurances, and the certifications. However, the application form, the assurances, and the certifications must each have an original signature. No grant may be awarded unless a completed application form has been received.

**Application for Federal Assistance SF-424**

Version 02

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|---|--|--|
| <b>*1. Type of Submission:</b><br><input type="checkbox"/> Preapplication<br><input type="checkbox"/> Application<br><input type="checkbox"/> Changed/Corrected Application | <b>*2. Type of Application</b><br><input type="checkbox"/> New<br><input type="checkbox"/> Continuation<br><input type="checkbox"/> Revision | <b>* If Revision, select appropriate letter(s)</b><br><br><b>*Other (Specify)</b><br>_____ |
|---|--|--|

|                                |                                       |
|--------------------------------|---------------------------------------|
| <b>3. Date Received:</b> _____ | <b>4. Applicant Identifier:</b> _____ |
|--------------------------------|---------------------------------------|

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|---|---|
| <b>5a. Federal Entity Identifier:</b> _____ | <b>*5b. Federal Award Identifier:</b> _____ |
|---|---|

**State Use Only:**

|   |   |
|---|---|
| <b>6. Date Received by State:</b> _____ | <b>7. State Application Identifier:</b> _____ |
|---|---|

**8. APPLICANT INFORMATION:**

**\*a. Legal Name:** \_\_\_\_\_

|   |                                       |
|---|---------------------------------------|
| <b>*b. Employer/Taxpayer Identification Number (EIN/TIN):</b> _____ | <b>*c. Organizational DUNS:</b> _____ |
|---|---------------------------------------|

**d. Address:**

**\*Street 1:** \_\_\_\_\_  
**Street 2:** \_\_\_\_\_  
**\*City:** \_\_\_\_\_  
**County:** \_\_\_\_\_  
**\*State:** \_\_\_\_\_  
**Province:** \_\_\_\_\_  
**\*Country:** \_\_\_\_\_  
**\*Zip / Postal Code** \_\_\_\_\_

**e. Organizational Unit:**

|                               |                             |
|-------------------------------|-----------------------------|
| <b>Department Name:</b> _____ | <b>Division Name:</b> _____ |
|-------------------------------|-----------------------------|

**f. Name and contact information of person to be contacted on matters involving this application:**

**Prefix:** \_\_\_\_\_ **\*First Name:** \_\_\_\_\_  
**Middle Name:** \_\_\_\_\_  
**\*Last Name:** \_\_\_\_\_  
**Suffix:** \_\_\_\_\_  
**Title:** \_\_\_\_\_

**Application for Federal Assistance SF-424**

Version 02

Organizational Affiliation:

\*Telephone Number:

Fax Number:

\*Email:

**\*9. Type of Applicant 1: Select Applicant Type:**

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

\*Other (Specify)

**\*10 Name of Federal Agency:**

**11. Catalog of Federal Domestic Assistance Number:**

\_\_\_\_\_

CFDA Title:

\_\_\_\_\_

**\*12 Funding Opportunity Number:**

\_\_\_\_\_

\*Title:

\_\_\_\_\_

**13. Competition Identification Number:**

\_\_\_\_\_

Title:

\_\_\_\_\_



**Application for Federal Assistance SF-424**

Version 02

**14. Areas Affected by Project (Cities, Counties, States, etc.):**

**\*15. Descriptive Title of Applicant's Project:**

**16. Congressional Districts Of:**

\*a. Applicant:

\*b. Program/Project:

**17. Proposed Project:**

\*a. Start Date:

\*b. End Date:

**18. Estimated Funding (\$):**

\*a. Federal \_\_\_\_\_  
\*b. Applicant \_\_\_\_\_  
\*c. State \_\_\_\_\_  
\*d. Local \_\_\_\_\_  
\*e. Other \_\_\_\_\_  
\*f. Program Income \_\_\_\_\_  
\*g. TOTAL \_\_\_\_\_

**\*19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

- a. This application was made available to the State under the Executive Order 12372 Process for review on \_\_\_\_\_
- b. Program is subject to E.O. 12372 but has not been selected by the State for review.
- c. Program is not covered by E. O. 12372

**\*20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes", provide explanation.)**

- Yes
- No

**Application for Federal Assistance SF-424**

Version 02

21. \*By signing this application, I certify (1) to the statements contained in the list of certifications\*\* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances\*\* and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U. S. Code, Title 218, Section 1001)

 \*\* I AGREE

\*\* The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions

**Authorized Representative:**

Prefix: \_\_\_\_\_ \*First Name: \_\_\_\_\_

Middle Name: \_\_\_\_\_

\*Last Name: \_\_\_\_\_

Suffix: \_\_\_\_\_

\*Title: \_\_\_\_\_

\*Telephone Number: \_\_\_\_\_

Fax Number: \_\_\_\_\_

\* Email: \_\_\_\_\_

\*Signature of Authorized Representative: \_\_\_\_\_

\*Date Signed: \_\_\_\_\_

**Application for Federal Assistance SF-424**

Version 02

**\*Applicant Federal Debt Delinquency Explanation**

The following should contain an explanation if the Applicant organization is delinquent of any Federal Debt.

## INSTRUCTIONS FOR THE SF-424

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

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

This is a standard form used by applicants as a required face sheet for pre-applications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

| Item: | Entry:  | Item: | Entry:  |
|-------|---|-------|---|
| 1.    | Select Type of Submission.  | 11.   | Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.   |
| 2.    | Date application submitted to Federal agency (or State if applicable) and applicant's control number (if applicable).   | 12.   | List only the largest political entities affected (e.g., State, counties, cities).  |
| 3.    | ly (if applicable).   | 13    | Enter the proposed start date and end date of the project.  |
| 4.    | Enter Date Received by Federal Agency<br>Federal identifier number: If this application is a continuation or revision to an existing award, enter the present Federal Identifier number. If for a new project, leave blank.   | 14.   | List the applicant's Congressional District and any District(s) affected by the program or project  |
| 5.    | Enter legal name of applicant, name of primary organizational unit (including division, if applicable), which will undertake the assistance activity, enter the organization's DUNS number (received from Dun and Bradstreet), enter the complete address of the applicant (including country), and name, telephone number, e-mail and fax of the person to contact on matters related to this application. | 15    | Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15. |
| 6.    | Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.   | 16.   | Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process.   |

|     |   |     |  |
|-----|---|-----|--|
| 7.  | <p>Select the appropriate letter in the space provided.</p> <p>A. State<br/>B. County<br/>C. Municipal<br/>D. Township<br/>E. Interstate<br/>F. Intermunicipal<br/>G. Special District<br/>H. Independent School District</p> <p>I. State Controlled Institution of Higher Learning<br/>J. Private University<br/>K. Indian Tribe<br/>L. Individual<br/>M. Profit Organization<br/>N. Other (Specify)<br/>O. Not for Profit Organization</p>  | 17. | <p>This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.</p>   |
| 8.  | <p>Select the type from the following list:</p> <ul style="list-style-type: none"> <li>• "New" means a new assistance award.</li> <li>• "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date.</li> <li>• "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision enter the appropriate letter: <ul style="list-style-type: none"> <li>A. Increase Award      B. Decrease Award</li> <li>C. Increase Duration    D. Decrease Duration</li> </ul> </li> </ul> | 18  | <p>To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)</p> |
| 9.  | <p>Name of Federal agency from which assistance is being requested with this application.</p>   |     |  |
| 10. | <p>Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.</p>  |     |  |



## INSTRUCTIONS FOR DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424

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1. **Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.
2. **Novice Applicant.** Check “Yes” or “No” only if assistance is being requested under a program that gives special consideration to novice applicants. Otherwise, **leave blank.**

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

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

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

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

- 3a. **If Human Subjects Research is Exempt from the Human Subjects Regulations.** Check “Yes” if all the research activities proposed are designated to be exempt from the regulations. Insert the exemption number(s) corresponding to one or more of the six exemption categories listed in I. B. “Exemptions.” In addition, follow the instructions in II. A. “Exempt Research Narrative” in the attached page entitled “Definitions for Department of Education Supplemental Information For SF 424.”
- 3a. **If Human Subjects Research is Not Exempt from Human Subjects Regulations.** Check “No” if some or all of the planned research activities are covered (not exempt). In addition, follow the instructions in II. B. “Nonexempt Research Narrative” in the page entitled “Definitions for Department of Education Supplemental Information For SF 424
- 3a. **Human Subjects Assurance Number.** If the applicant has an approved Federal Wide (FWA) on file with the Office for Human Research Protections (OHRP), U.S. Department of Health and Human Services, that covers the specific activity, insert the number in the space provided. If the applicant does not have an approved assurance

on file with OHRP, enter “None.” In this case, the applicant, by signature on the SF-424, is declaring that it will comply with 34 CFR 97 and proceed to obtain the human subjects assurance upon request by the designated ED official. If the application is recommended/selected for funding, the designated ED official will request that the applicant obtain the assurance within 30 days after the specific formal request.

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

### **Paperwork Burden Statement.**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0017. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to:

U.S. Department of Education  
Washington, DC 20202-4700

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

Joyce I. Mays, Application Control Center  
U.S. Department of Education  
Potomac Center Plaza  
550 12<sup>th</sup> Street, SW, Room 7076  
Washington, DC 20202-4260



DEFINITIONS FOR DEPARTMENT OF EDUCATION  
SUPPLEMENTAL INFORMATION FOR SF 424

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**(Attachment to Instructions for Supplemental Information for SF 424)**

**Definitions:**

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

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

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

**PROTECTION OF HUMAN SUBJECTS  
IN RESEARCH**

**I. Definitions and Exemptions**

**A. Definitions.**

A research activity involves human subjects if the activity is research, as defined in the

Department’s regulations, and the research activity will involve use of human subjects, as defined in the regulations.

**—Research**

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

**—Human Subject**

The regulations define human subject as “a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information.” (1) *If an activity involves obtaining information about a living person by manipulating that person or that person’s environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met.* (2) *If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is*

or may be readily determined by the investigator or associated with the information), the definition of human subject is met. [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

## **B. Exemptions.**

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

- (1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.
- (2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. ***If the subjects are children, exemption 2***
- (3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.
- (4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.
- (5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or ***applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.*** [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

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

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

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

### **A. Exempt Research Narrative.**

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

### **B. Nonexempt Research Narrative.**

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

- (1) **Human Subjects Involvement and Characteristics:** Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable
- (2) **Sources of Materials:** Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.
- (3) **Recruitment and Informed Consent:** Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has

authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

- (4) **Potential Risks:** Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.
- (5) **Protection Against Risk:** Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.
- (6) **Importance of the Knowledge to be Gained:** Discuss the importance of the knowledge gained or to be gained as a result of the proposed research. Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to

subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

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

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

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



**U.S. DEPARTMENT OF EDUCATION  
BUDGET INFORMATION  
NON-CONSTRUCTION PROGRAMS**

OMB Control Number:  
1890-0004

Name of Institution/Organization

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

**SECTION A - BUDGET SUMMARY**

***U.S. DEPARTMENT OF EDUCATION FUNDS***

| Budget Categories                 | Project Year 1<br>(a) | Project Year 2<br>(b) | Project Year 3<br>(c) | Project Year 4<br>(d) | Project Year 5<br>(e) | Total<br>(f) |
|-----------------------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|--------------|
| 1. Personnel                      |                       |                       |                       |                       |                       |              |
| 2. Fringe Benefits                |                       |                       |                       |                       |                       |              |
| 3. Travel                         |                       |                       |                       |                       |                       |              |
| 4. Equipment                      |                       |                       |                       |                       |                       |              |
| 5. Supplies                       |                       |                       |                       |                       |                       |              |
| 6. Contractual                    |                       |                       |                       |                       |                       |              |
| 7. Construction                   |                       |                       |                       |                       |                       |              |
| 8. Other                          |                       |                       |                       |                       |                       |              |
| 9. Total Direct Costs (lines 1-8) |                       |                       |                       |                       |                       |              |
| 10. Indirect Costs*               |                       |                       |                       |                       |                       |              |
| 11. Training Stipends             |                       |                       |                       |                       |                       |              |
| 12. Total Costs (lines 9-11)      |                       |                       |                       |                       |                       |              |

**\*Indirect Cost Information (To Be Completed by Your Business Office):**

If you are requesting reimbursement for indirect costs on line 10, please answer the following questions:

(1) Do you have an Indirect Cost Rate Agreement approved by the Federal government? \_\_\_ Yes \_\_\_ No

(2) If yes, please provide the following information:

Period Covered by the Indirect Cost Rate Agreement: From: \_\_\_/\_\_\_/\_\_\_\_\_ To: \_\_\_/\_\_\_/\_\_\_\_\_ (mm/dd/yyyy)

Approving Federal agency: \_\_\_ ED \_\_\_ Other (please specify): \_\_\_\_\_

(3) For Restricted Rate Programs (check one) -- Are you using a restricted indirect cost rate that:

\_\_\_ Is included in your approved Indirect Cost Rate Agreement? or \_\_\_ Complies with 34 CFR 76.564(c)(2)?

|                                  |   |
|----------------------------------|---|
| Name of Institution/Organization | Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form. |
|----------------------------------|---|

**SECTION B - BUDGET SUMMARY  
NON-FEDERAL FUNDS**

| Budget Categories                    | Project Year 1<br>(a) | Project Year 2<br>(b) | Project Year 3<br>(c) | Project Year 4<br>(d) | Project Year 5<br>(e) | Total<br>(f) |
|--------------------------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|--------------|
| 1. Personnel                         |                       |                       |                       |                       |                       |              |
| 2. Fringe Benefits                   |                       |                       |                       |                       |                       |              |
| 3. Travel                            |                       |                       |                       |                       |                       |              |
| 4. Equipment                         |                       |                       |                       |                       |                       |              |
| 5. Supplies                          |                       |                       |                       |                       |                       |              |
| 6. Contractual                       |                       |                       |                       |                       |                       |              |
| 7. Construction                      |                       |                       |                       |                       |                       |              |
| 8. Other                             |                       |                       |                       |                       |                       |              |
| 9. Total Direct Costs<br>(Lines 1-8) |                       |                       |                       |                       |                       |              |
| 10. Indirect Costs                   |                       |                       |                       |                       |                       |              |
| 11. Training Stipends                |                       |                       |                       |                       |                       |              |
| 12. Total Costs<br>(Lines 9-11)      |                       |                       |                       |                       |                       |              |

**SECTION C – BUDGET NARRATIVE (see instructions)**

## **INSTRUCTIONS FOR ED 524**

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### **General Instructions**

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

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

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

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

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

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

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

#### **Indirect Cost Information:**

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

34 CFR 76.564(c)(2). Note: State or Local government agencies may not use the provision for a restricted indirect cost rate specified in 34 CFR 76.564(c)(2). Check only one response. Leave blank, if this item is not applicable.

**Section B - Budget Summary**  
**Non-Federal Funds**

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

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

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

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

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

**Section C - Budget Narrative**

[Attach separate sheet(s)]

Pay attention to applicable program specific instructions, if attached.

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

When calculating indirect costs (line 10) for "Training grants" or grants under "Restricted Rate" programs, you must refer to the information and examples on ED's website at: <http://www.ed.gov/fund/grant/apply/appforms/appforms.html>.



You may also contact (202) 377-3838 for additional information regarding calculating indirect cost rates or general indirect cost rate information.

4. Provide other explanations or comments you deem necessary.

### **Paperwork Burden Statement**

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

### **PART III - APPLICATION NARRATIVE**

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This narrative section of the application requires applicants to address the selection criteria that will be used by reviewers in evaluating individual applications. Please refer to the “Selection Criteria and Format” sections in this package for the competition to which you wish to submit an application.

Also, all of the competitions covered by this package have page limitations for the application narrative. Please refer to the “Page Limits” information for the competition to which you wish to submit an application.

## **ASSURANCES - NON-CONSTRUCTION PROGRAMS**

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Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503

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

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

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

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits

discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§ 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646), which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose

principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §§874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the

Endangered Species Act of 1973, as amended, (P.L. 93-205).

- 12 Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
- 13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
- 14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.

- 15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
- 16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
- 17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
- 18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

|   |                |
|---|----------------|
| SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL | TITLE          |
| APPLICANT ORGANIZATION                      | DATE SUBMITTED |

## **CERTIFICATION REGARDING LOBBYING**

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### **Certification for Contracts, Grants, Loans and Cooperative Agreements.**

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal Loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan or cooperative agreement.
- (2) If any funds other Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan or cooperative agreement, the undersigned shall complete and submit Standard Form – LLL, “Disclosure of Lobbying Activities,” in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

### **Statement for Loan Guarantees and Loan Insurance.**

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee or any agency, a member of Congress, an officer or employee of Congress or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, “Disclosure of Lobbying Activities,” in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

|   |  |
|---|--|
| Applicant's Organization                  |  |
| Printed Name of Authorized Representative | Printed Title of Authorized Representative |
| Signature                                 | Date                                       |

ED80-0013

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

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

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

9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

### **Paperwork Reduction Act,**

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

# SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS

OMB No. 1890-0014 Exp. 02/28/09

**Purpose:** The Federal government is committed to ensuring that all qualified applicants, small or large, non-religious or faith-based, have an equal opportunity to compete for Federal funding. In order for us to better understand the population of applicants for Federal funds, we are asking nonprofit private organizations (not including private universities) to fill out this survey.

Upon receipt, the survey will be separated from the application. Information provided on the survey will not be considered in any way in making funding decisions and will not be included in the Federal grants database. While your help in this data collection process is greatly appreciated, completion of this survey is voluntary.

**Instructions for Submitting the Survey:** If you are applying using a hard copy application, please place the completed survey in an envelope labeled "Applicant Survey." Seal the envelope and include it along with your application package.

**Applicant's (Organization) Name:** \_\_\_\_\_

**Applicant's DUNS Number:** \_\_\_\_\_

**Federal Program:** \_\_\_\_\_

**CFDA Number:** \_\_\_\_\_

1. Has the applicant ever received a grant or contract from the Federal government?

Yes       No

2. Is the applicant a faith-based organization?

Yes       No

3. Is the applicant a secular organization?

Yes       No

4. Does the applicant have 501(c)(3) status?

Yes       No

5. Is the applicant a local affiliate of a national organization?

Yes       No

6. How many full-time equivalent employees does the applicant have? (*Check only one box*).

|                                     |                                   |
|-------------------------------------|-----------------------------------|
| <input type="checkbox"/> 3 or Fewer | <input type="checkbox"/> 15-50    |
| <input type="checkbox"/> 4-5        | <input type="checkbox"/> 51-100   |
| <input type="checkbox"/> 6-14       | <input type="checkbox"/> over 100 |

7. What is the size of the applicant's annual budget? (*Check only one box*.)

|  |
|--|
| <input type="checkbox"/> Less Than \$150,000       |
| <input type="checkbox"/> \$150,000 - \$299,999     |
| <input type="checkbox"/> \$300,000 - \$499,999     |
| <input type="checkbox"/> \$500,000 - \$999,999     |
| <input type="checkbox"/> \$1,000,000 - \$4,999,999 |
| <input type="checkbox"/> \$5,000,000 or more       |

## **SURVEY INSTRUCTIONS ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS**

**Provide the applicant's (organization) name and DUNS number and the grant name and CFDA number.**

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

### **Paperwork Burden Statement**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0014. The time required to complete this information collection is estimated to average five (5) minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** The Agency Contact listed in this grant application package.

## NOTICE TO ALL APPLICANTS:

# PROGRAM PERFORMANCE MEASURES UNDER THE GOVERNMENT PERFORMANCE AND RESULTS ACT (GPRA)

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### What is GPRA

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

### How has the United States Department of Education responded to the GPRA Requirements?

As required by GPRA, the United States Department of Education (the Department) has prepared a strategic plan for 2007-2012. This plan reflects the Department's priorities and integrates them with its mission and program authorities and describes how the Department will work to improve education for all children and adults in the United States. The Department's goals, as listed in the plan, are:

- Goal 1:* **Create a Culture of Achievement:** Create a culture of achievement throughout the nation's education system by effectively implementing the new law, the No Child Left Behind Act of 2001, and by basing all federal education programs on its principles: accountability, flexibility, expanded parental options and doing what works.
- Goal 2:* **Improve Student Achievement:** Improve student achievement for all groups of students by putting reading first, expanding high-quality mathematics and science teaching, reforming high schools, and boosting teacher and principal quality, thereby closing the achievement gap.
- Goal 3:* **Develop Safe Schools and Strong Character:** Establish disciplined and drug-free education environments that foster the development of good character and citizenship.
- Goal 4:* **Transform Education into an Evidence-based Field:** Strengthen the quality of education research.
- Goal 5:* **Enhance the Quality of and Access to Postsecondary and Adult Education:** Increase opportunities for students and the effectiveness of institutions.
- Goal 6:* **Establish Management Excellence:** Create a culture of accountability throughout the Department of Education.

## **DUNS NUMBER INSTRUCTIONS**

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D-U-N-S No.: Please provide the applicant's D-U-N-S Number. You can obtain your D-U-N-S Number at no charge by calling 1-800-333-0505 or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL:

<http://www.dnb.com/dbis/aboutdb/intlduns.htm>

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

Dun & Bradstreet, a global information services provider, has assigned D-U-N-S numbers to over 43 million companies worldwide.

## **GRANT APPLICATION RECEIPT ACKNOWLEDGEMENT**

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If you fail to receive the notification of application within fifteen (15) days from the closing date, call:

U.S. Department of Education  
Application Control Center  
202-245-6288

## **GRANT AND CONTRACT FUNDING INFORMATION**

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The Department of Education provides information about grant and contract opportunities electronically in several ways:

ED Internet Home Page      [www.ed.gov](http://www.ed.gov)