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# Developing a Quality Grant Proposal

WHITE HOUSE  
FAITH-BASED  
AND  
COMMUNITY  
INITIATIVES



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## Developing Quality Grant Proposals

For years, grassroots organizations – both faith-based and others – have been assisting Americans in need. Their efforts have frequently been strikingly successful, and they have become an integral part of our Nation’s social service network. Yet, all too often the Federal government has put in place complicated rules and regulations preventing them from competing for Federal funds on an equal footing with other, larger charities. Such an approach can be inherently unfair, and it can waste tax-payer dollars. Federal funds should go to those organizations that have the skills and determination to do the most good, and to accomplish this, all groups – faith-based and secular, large and small – should compete on a level playing field.

Whether you have partnered with the government before or not, applying for Federal funds can at times be an intimidating process. This booklet will help you to navigate the process by providing some basic information about how to develop quality Federal grant proposals. It includes a presentation to guide you through the grant-making process, a copy of an actual program announcement from the Federal Register, and a sample of a successful grant proposal.

Beyond this, other resources are also available. Most Federal agencies have experts who are available to answer questions. Applicants may call the official identified in a program announcement or contact an agency’s regional office. Applicants may be referred to local or nearby technical assistance workshops or to organizations that are under contract with the Federal government to provide assistance.

In addition, for general questions about writing a grant proposal, many State governments and cities provide grant-writing workshops, as do a number of nonprofit organizations and foundations.



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SECTION I

# **Developing Quality Grant Proposals Presentation**





# A Guide to Developing Quality Grant Applications

[www.fbc.gov](http://www.fbc.gov)

## Federal Grants

Organizations, not individuals, typically apply for these grants

- Institutions of higher education
- Local government agencies
- State government agencies
- Non-profits
- Hospitals

In order to apply for Federal funding, an organization must have a DUNS number

- Call 1-800-333-0505 for a DUNS number

# Types of Federal Assistance

## **Federally-Administered Programs:**

- Applicant submits grant proposal to a Federal agency

## **State and Locally-Administered Programs:**

- Applicant submits grant proposal to a State or local agency


## **Other Programs:**

- Funding opportunities that are not traditional grant programs
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# Researching Grant Programs

- **CFDA.gov:** The online Catalog of Federal Domestic Assistance which lists all of the funding opportunities available to the public


*(Note: each program has its own identification number)*

- **Grants.gov:** A single access point for over 1,000 grant programs offered by 26 Federal grant-making agencies, as well as some State and local governments
- 


# Grant Application Notice

- Published in the Federal Register
  - Accessible via the Web
  - Contains all vital information
    - Selection criteria
    - Competitive priorities
    - Contact information for program office
    - Deadline
- 


# Getting Started

- Identify and prioritize community needs and problems
  - Assess your organization's talents and strengths
    - What do you do well?
    - What do you want to accomplish?
    - What are the short-term and long-term goals for meeting community needs?
    - With whom can you partner?
  - Don't take on more than you can handle
- 


# Using the Application Notice

- Don't be intimidated by the language
  - Read the notice thoroughly
  - Note application workshops in your area
  - Print all forms
- 


# Key Questions

- Who is eligible?
  - What is the deadline?
  - What is the award amount per grant?
  - How many projects will be funded?
  - Who is the program contact?
- 

## **Key Questions (cont'd)**

- Is there a matching requirement?
  - Where can I get the application?
  - Is there a page limit?
  - How and where do I submit the application?
- 

## **Establish a Timeline**

- Recipe: 2/3 planning and 1/3 writing
  - Research program well in advance
  - Assess time available until deadline
  - Develop a writing strategy
  - Finalize any required partnerships
  - Complete all necessary registrations
- 


# Writing the Proposal

- Select the individual or team to write the grant application
  - Narrative
  - Budget
  - Evaluation
  - Editor
- Leave time at the end for proofreading


# Selection Criteria

- Need for Project
- Project Design
- Project Services
- Personnel
- Project Evaluation
- Budget


## Need for Project

- Explain how community need ties into the grant program's purpose
  - Use most recent statistics
    - Utilize Census.gov (American Fact-finder)
    - Local government data
  - Compare target area to region and nation
  - Demonstrate through facts
  - Avoid jargon and rhetoric
- 


## Project Design

- Should meet the stated need
  - Reflect the life of the grant project
  - Demonstrate a well thought out plan
    - Note studies and research findings
  - Detail recruitment of target population
  - Build community partnerships
  - Develop contingency plan
- 

## Project Services


- Incorporate proven methods
  - Tailor services to benefit your community
  - Vary methods of meeting the need
  - Emphasize individualized services
  - Cite examples of activities
- 

## Project Personnel


- Provide detailed job descriptions
    - Paid staff
    - Volunteers
  - Highlight qualifications of proposed staff
    - Include resumes (if applicable)
  - Demonstrate staff's ability to relate to target population
  - Address staff's professional development
  - Align salaries with time and effort
- 




# Project Evaluation

- Measure goals and objectives
    - Are they ambitious and attainable?
    - What indicators will demonstrate progress?
    - Are they achieved through services?
  
  - Review project performance monthly or quarterly
    - Does it meet the need outlined in the proposal?
    - Is it a tool for replicating success?
  
  - Include staff input & participant feedback
- 


# Budget

- Budget for the life of the grant
    - Allowable costs
    - Indirect Cost Rate Agreement
    - Cost of living increases
  
  - Address matching requirements
  
  - Seek non-Federal support
  
  - Focus on sustainability
- 


## Completing the Application

- SF 424 “face page”
  - SF 524 budget form
  - Budget narrative
  - Certifications and assurances
  - One-page abstract
  - Application narrative
  - Appendix
- 

## Submitting the Application

- See application notice for submission details
    - Grants.gov
    - Agency-specific Web portal
    - Hard copy in the mail
  - Be aware of registration procedures and complete early
  - Allow time for application to be submitted
- 

## Processing the Application

- Received by the awarding agency
  - Given a unique ID number
  - Screened for eligibility
  - Reviewed by a panel of experts
  - Scored and ranked
  - Recommended for funding
- 

## Valuable Resources

- Technical assistance
    - Workshops
    - Webcasts
    - Conference calls
  - Sample grant proposals
  - Research studies
  - Successful grantees
- 

## SECTION 2

# Example of a Program Announcement from the Federal Register

This section contains an example of a program announcement for the Migrant Education Even Start Program CFDA #84.214A that was published on Monday, May 20, 2002.

### **What is the Federal Register?**

The Federal Register is the official daily publication for rules, proposed rules, and notices of Federal agencies and organizations, as well as executive orders and other presidential documents. It also includes most Federal program announcements.

It is updated daily and is published Monday through Friday, except Federal holidays.

The Federal Register can be accessed online at [http://www.gpo.gov/su\\_docs/aces/aces140.html](http://www.gpo.gov/su_docs/aces/aces140.html) and at major public libraries.

that the Office of Management and Budget (OMB) provide interested Federal agencies and the public an early opportunity to comment on information collection requests. OMB may amend or waive the requirement for public consultation to the extent that public participation in the approval process would defeat the purpose of the information collection, violate State or Federal law, or substantially interfere with any agency's ability to perform its statutory obligations. The Leader, Regulatory Information Management Group, Office of the Chief Information Officer, publishes that notice containing proposed information collection requests prior to submission of these requests to OMB. Each proposed information collection, grouped by office, contains the following: (1) Type of review requested, e.g. new, revision, extension, existing or reinstatement; (2) title; (3) summary of the collection; (4) description of the need for, and proposed use of, the information; (5) respondents and frequency of collection; and (6) reporting and/or recordkeeping burden. OMB invites public comment.

Dated: May 14, 2002.

**John D. Tressler,**

*Leader, Regulatory Information Management, Office of the Chief Information Officer.*

### Federal Student Aid

*Type of Review:* Reinstatement, with change, of a previously approved collection for which approval has expired.

*Title:* William D. Ford Federal Direct Loan Program Deferment Request Forms (JS).

*Frequency:* On Occasion.

*Affected Public:* Individuals or household (primary).

*Reporting and Recordkeeping Hour Burden:*

*Responses:* 1.

*Burden Hours:* 143030.

*Abstract:* These forms serve as the means by which the U.S. Department of Education collects the information needed to determine whether a Direct Loan borrower qualifies for a loan deferment.

Requests for copies of the submission for OMB review; comment request may be accessed from <http://edicsweb.ed.gov>, by selecting the "Browse Pending Collections" link and by clicking on link number 1953. When you access the information collection, click on "Download Attachments" to view. Written requests for information should be addressed to Vivian Reese, Department of Education, 400 Maryland Avenue, SW, Room 4050, Regional

Office Building 3, Washington, DC 20202-4651 or to the e-mail address [vivan.reese@ed.gov](mailto:vivan.reese@ed.gov). Requests may also be electronically mailed to the Internet address [OCIO\\_RIMG@ed.gov](mailto:OCIO_RIMG@ed.gov) or faxed to 202-708-9346. Please specify the complete title of the information collection when making your request.

Comments regarding burden and/or the collection activity requirements should be directed to Joe Schubart at his Internet address [joe.schubart@ed.gov](mailto:joe.schubart@ed.gov). Individuals who use a telecommunications device for the deaf (TDD) may call the Federal Information Relay Service (FIRS) at 1-800-877-8339.

[FR Doc. 02-12509 Filed 5-17-02; 8:45 am]

BILLING CODE 4000-01-P

## DEPARTMENT OF EDUCATION

[CFDA No.: 84.214A]

### Migrant Education Even Start Program

**AGENCY:** Department of Education.

Notice inviting applications for new awards for fiscal year (FY) 2002.

*Note to Applicants:* This notice is a complete application package. Together with the statute authorizing the program and the Education Department General Administrative Regulations, the notice contains all of the information, application forms, and instructions needed to apply for a grant under this competition.

*Purpose of Program:* The Migrant Education Even Start (MEES) program is designed to help break the cycle of poverty and improve the literacy of participating migratory families by integrating early childhood education, adult literacy or adult basic education (including English language training, as appropriate), and parenting education into a unified family literacy program.

*Eligible Applicants:* While any entity is eligible to apply for a grant under the MEES program, the Assistant Secretary for Elementary and Secondary Education specifically invites applications from State educational agencies (SEAs) that administer migrant education programs; local educational agencies (LEAs) that have a high percentage of migratory students; non-profit community-based organizations that work with migratory families; and faith-based organizations, provided that they meet all statutory and regulatory requirements.

The Assistant Secretary also invites applications from novice applicants. "Novice applicant" means any applicant for a grant from the U.S. Department of Education (the

Department) that has never received a grant or subgrant under the MEES program; has never been a participant in a group application, submitted in accordance with sections 75.127-75.129 of the Education Department General Administrative Regulations (EDGAR), that received a grant under the program from which it sought funding; and has not had an active discretionary grant from the Federal Government in five years before the deadline date for applications under the MEES program. (34 CFR 75.225.)

The Assistant Secretary has determined that special consideration of novice applications is appropriate and will give competitive preference of 5 points to eligible novice applicants under the procedures in 34 CFR 75.105 (c)(2). In addition, before making a grant to a novice applicant, the Assistant Secretary imposes special conditions, if necessary, to ensure that the grant is managed effectively and project objectives are achieved.

(Authority 20 U.S.C. 1221e-3 and 3474.)

*Deadline for Transmittal of Applications:* July 5, 2002.

*Deadline for Intergovernmental Review:* September 3, 2002.

*Available Funds:* For FY 2002, approximately \$7,000,000 is available for this program.

*Estimated Range of Awards:* \$75,000-\$300,000.

*Estimated Average Size of Awards:* \$250,000.

*Estimated Number of Awards:* 20-25.

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

*Project Period:* 48 months.

*Applicable Regulations:*

(a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 75, 77, 79, 80, 81, 82, 85, 97, 98, and 99. (b) The definitions of a migratory child, a migratory agricultural worker and a migratory fisher contained in 34 CFR 200.40.

*Waiver of Proposed Rulemaking:* In the "Program Description" and "Required Program Elements" sections of this notice, the Assistant Secretary has interpreted provisions in ESEA sections 1231 and 1235 to require an emphasis on reading proficiency as the basis for academic success in program that underscores programs such as Reading First and Early Reading First.

It is the Assistant Secretary's practice, in accordance with the Administrative Procedure Act (5 U.S.C. 553), to offer interested parties the opportunity to comment on proposed rules and competitive preferences. Section 437(d)(1) of the General Education

Provisions Act (GEPA), however, allows the Assistant Secretary to exempt from rulemaking requirements rules governing the first grant competition under a new or substantially revised program authority (20 U.S.C. 1232(d)(1)). The Assistant Secretary, in accordance with section 437(d)(1) of GEPA, has decided to forego public comment in order to ensure timely grant awards.

**Description of Program:** Under the authority of section 1232(a)(1)(A) of the Elementary and Secondary Education Act (ESEA), as amended by the No Child Left Behind Act of 2001, the Assistant Secretary awards grants to eligible applicants under the MEES program for projects that—

(1) Improve the educational opportunities of migratory families by integrating early childhood education, adult literacy or adult basic education (including English language training, as appropriate), and parenting education into a unified program of family literacy services.

**(Note:** Each project must use the grant funds to provide intensive family literacy services that involve parents and children, from birth through age seven, in a cooperative effort to help parents become full partners in the education of their children and to help children in reaching their full potential as learners. See ESEA section 1234(a).)

As defined in ESEA section 9101(20) "Family literacy services" means services provided to participants on a voluntary basis that are of sufficient intensity in terms of hours, and of sufficient duration, to make sustainable changes in a family, and that integrate all of the following activities:

(A) Interactive literacy activities between parents and their children.

(B) Opportunities for parents, the first teachers, to improve the academic achievement of their children.

(C) Adult literacy training that advances parents reading achievement and academic success.

(D) An early childhood education that improves reading readiness and prepares children for success in school.

(2) Are implemented through cooperative projects that build on high-quality existing community resources to create a new range of services.

(3) Promote the academic achievement of children and adults.

(4) Assist children and adults from low-income families to achieve to challenging State content standards and challenging State student academic achievement standards; and

(5) Use instructional programs based on scientifically based reading research and the prevention of reading difficulties for children and adults.

**Program Requirements:**

**Eligible participants.** Eligible MEES participants consist of migratory children and their parents as defined in 34 CFR 200.30 and 200.40 who also meet the following conditions specified in ESEA, section 1236(a):

(1) The parent or parents—

(i) Are eligible for participation in an adult basic or adult secondary education program under the Adult Education and Family Literacy Act; or

(ii) Are younger than the State's compulsory school attendance age, as long as a local educational agency provides (or ensures the availability of) the basic education component MEES requires, or who are attending secondary school; and

(2) The child or children of the parent described in paragraph (c) must be younger than eight years of age.

**(Note:** Family members of eligible participants described in paragraphs (a)(1) and (a)(2) may also participate in MEES activities. These participants may include siblings, grandparents, and other family members so long as one or more eligible children and their parents or guardian participate in the core services. In addition, section 1236(b) of the ESEA, as amended, permits families to remain eligible for MEES services until all family members become ineligible to participate. For example, in the case of a family in which the parent or parents lose eligibility because of their educational advancement, the parent or parents can still participate in MEES activities until all children in the family reach age eight. When all children in the family have reached age eight, the family continues to be eligible for Even Start services for two more years (until the youngest participating child turns ten) or until the parents are no longer eligible for adult basic education under the Adult Education and Family Literacy Act, whichever occurs first. In addition, the Department interprets 34 CFR 200.30 together with ESEA section 1236(b)(3), to mean that MEES services may continue to be provided to a parent or child who is no longer migratory, provided that the family has at least one parent or child who is a migratory worker or migratory child as these terms are defined under 34 CFR 200.40.)

**Required program elements.** Any MEES project must, at a minimum, incorporate the following program elements specified in ESEA section 1235:

1. Identification and recruitment of migratory families most in need of MEES services, as indicated by a low level of income, a low level of adult literacy or English language proficiency of the eligible parent or parents, and other need-related indicators.

**(Note:** MEES program services may be provided in communities where migratory families have resided for extended periods of

time. 34 CFR 200.30 and 200.40 permit children to be eligible for MEES services for up to three years after the children make a move that makes them eligible for the Migrant Education Program (MEP). However, in developing and using their need-related indicators to identify and recruit those families most in need of MEES program services, the Assistant Secretary believes that the most effective MEES projects are likely to focus on families that are highly mobile or who have only recently moved to the communities that projects propose to serve. In this regard, the MEP statute (section 1304(d) of the ESEA) requires that migratory students whose education has been interrupted and who are at most risk of failing be given a priority for the services that the program offers. While this MEP priority is not an explicit requirement of the MEES program, we assume, given the purpose of the MEES program, that those families receiving a priority under the MEP also have the greatest need for MEES services.)

2. Screening and preparation of children and parents, including teenage parents, to enable them to participate fully in program activities and services, including testing, referral to necessary counseling, and other developmental and support services.

3. High-quality, intensive instructional programs that teach reading skills and informs parents how to support the educational growth of their children; developmentally appropriate early childhood educational services; and preparation of children for success in the regular school programs.

4. Accommodation of participants' work schedules and other responsibilities, including the provision of support services necessary for participation in the activities, when such services are unavailable from other sources, such as—

(A) Scheduling and locating services to allow joint participation by parents and children;

(B) Child care for the period that parents are participating in the program provided under this part; and

(C) Transportation to enable parents and their children to participate in the MEES program;

5. Qualifications of project staff whose salaries are paid partially or totally with MEES or other federal Even Start funds. Projects must meet the following requirements:

(A) A majority of the staff providing academic instruction (1) must have obtained an associate's, bachelor's, or graduate degree in a field related to early childhood education, elementary or secondary school education, or adult education, and, (2) if applicable, must meet State qualifications for early childhood, elementary, or secondary school education, or adult education provided as part of an Even Start

program or another family literacy program.

(i) By December 21, 2004, the individual responsible for MEES local project administration must have received training in the operation of a family literacy program; and

(ii) By December 21, 2004, paraprofessionals who provide support for academic instruction must have a high school diploma or its recognized equivalent.

6. Special training of staff, including childcare staff, to develop the skills necessary to work with parents and young children in the full range of instructional services that MEES offers.

7. Provision and monitoring of integrated instructional services to participating parents and children through home-based activities.

8. Operation on a year-round basis, including the provision of instructional and enrichment services, during the summer.

**Note:** For MEES projects, the Assistant Secretary interprets the requirement for year-round services to mean that project activities must be conducted throughout the period in which participating migratory families reside in the project area, and that alternative activities or services are offered when participating families work and reside outside the project area.

9. Recruitment and retention that encourages participating families to attend regularly and remain in the program for a period of time sufficient to meet their program goals.

10. Promotion of the continuity of family literacy, if applicable, to ensure that individuals retain and improve their educational outcomes.

11. Appropriate coordination with other ESEA programs, any relevant programs under the Adult Education and Family Literacy Act, the Individuals with Disabilities Education Act, Title I of the Workforce Investment Act of 1998, Head Start, volunteer literacy programs, and other relevant programs.

**Note:** In addition, to promoting strong community collaboration, ESEA sections 1232(e) and 1237(a) require applicants for grants under the SEA-administered Even Start Family Literacy program administered by SEAs to be partnerships composed of: (1) A local educational agency (LEA), and (2) a non-profit community-based organization, a public agency other than an LEA, an institution of higher education, or a public or private nonprofit organization of demonstrated quality other than an LEA. While these provisions are not requirements of the MEES program, the Assistant Secretary believes that the most effective MEES projects are also likely to contain strong, on-going collaborative relationships among these kinds of local entities.

12. Use of instructional programs based on scientifically based reading research (as defined in ESEA section 1208) for children and adults.

13. Include preschool reading skills for preschool children that are based on scientifically based reading research, to ensure that children enter school ready to learn to read.

14. Provide for an independent evaluation of the program to be used for program improvement.

**Note:** The Assistant Secretary encourages projects to use evaluators for MEES projects who understand the family literacy model, who are able to work with the project as a partner in designing the evaluation, and who will help the project use its on-going evaluation results in a way that ensures continuous program improvement.

*Federal and local funding.* A MEES project's funding is composed of both a Federal portion of funds (Federal share) and a portion contributed by the eligible applicant (local share). ESEA section 1234 states that the Federal share of the program may not exceed—

- 90 percent of the total cost of the project in the first year of the applicant's first project period;
- 80 percent in the second year;
- 70 percent in the third year;
- 60 percent in the fourth year;
- 50 percent in the fifth, sixth, seventh, and eighth years; and
- 35 percent in any following year.

**Note:** Applicants who are applying for continuations of MEES projects for the fifth year and beyond must meet the 50 per cent match in their fifth through eighth years and the 65 per cent local match in their ninth year and beyond.

The local share of the MEES project may be provided in cash or in kind, fairly evaluated, and may be obtained from any source, including other ESEA programs. Indirect costs are not an allowable cost either for the Federal share or the matching portion of a MEES project.

#### *Invitational Priority*

The Assistant Secretary is especially interested in receiving applications that include a plan demonstrating that grant activities will focus on one or more approaches described in this section. However, an application that meets one of more of these invitational priorities does not receive competitive or absolute preference over other applications (34 CFR 75.105(c)(1)).

Coordination across SEAs and LEAs is at the heart of migrant education's purpose: preventing or mitigating disruptions in the education of qualifying migratory students. Seasonal MEES projects may not be of sufficient

duration to effect long-term gains for parents or students.

Therefore, to promote opportunities for continuous learning by migratory families, the Assistant Secretary is particularly interested in receiving applications that propose to do one or more of the following:

- Create Federal, State, and local partnerships that improve reading proficiency and advance English language acquisition so that migratory children enter elementary school with strong early reading skills.
- Plan long-range, intensive family literacy services that engage migrant families wherever they move outside the project area in order to eliminate disruptions in the education of participating families.
- Build networks with agricultural employers that will supplement resources available to develop English proficiency for migratory agricultural families with limited English or native-language literacy.

#### *Selection Criteria*

The Assistant Secretary uses the following selection criteria to evaluate applications for grants under this competition.

(1) The maximum score for all of these criteria is 100 points. However, novice applicants will be awarded an additional 5 points, which could result in a maximum score of 105 points.

(2) The maximum score for each criterion is indicated in parentheses.

(a) *Meeting the purposes of the authorizing statute.* (5 points)

The Assistant Secretary reviews each application to determine how well the project will—

(1) Improve the educational opportunities of migratory families by integrating early childhood education, adult literacy or adult basic education (including English language training, as appropriate), and parenting education into a unified family literacy program.

(2) Be implemented through cooperative projects that build on existing community resources to create a new range of services to migratory families.

(3) Promote the achievement of family literacy goals (particularly the goals that address school readiness, student achievement, adult literacy, and parent involvement and participation in their child's early education) through research-based reading and English-language acquisition practices that meet the diverse needs of the migrant community of learners.

(4) Assist children and adults from migratory families to achieve challenging State content standards and

challenging State student academic achievement standards.

(b) *Need for project.* (15 points) The Assistant Secretary considers the need for the proposed project. In determining the need for the proposed project, the Assistant Secretary considers the following factors:

(1) The magnitude of the need for the services to be provided or the activities to be carried out by the proposed project.

(2) The extent to which the proposed project will focus on serving or otherwise addressing the needs of disadvantaged individuals (i.e., eligible migratory agricultural or fishing families).

(3) The extent to which specific gaps or weaknesses in services, infrastructure, or opportunities have been identified and will be addressed by the proposed project, including the nature and magnitude of those gaps or weaknesses.

**Note:** Applicants are free to address criterion (b) in any way that they wish. However, given the purpose of the MEES program, the Assistant Secretary believes that high-quality applications will likely include a discussion of the following key elements:

(i) Whether the project would be located in an area or areas with high percentages or large numbers of migratory children and their parents, guardians, or primary caretakers in need of MEES services.

(ii) How the project will address the lack of existing comprehensive family literacy services for the migrant population.

(iii) How community resources will be used to benefit project participants both during the participants' period of eligibility for migrant education services and in the event that participating families lose their eligibility for MEES services during the project period.

(iv) How the project will integrate age-appropriate early childhood education, adult literacy, parenting education activities, and interactive parent/child literacy activities.

(v) How the project will assist migratory children and adults to achieve the State content standards and student academic achievement standards.

Some migratory families may settle in a community during their enrollment, and thereafter, cease to be eligible. The Assistant Secretary believes that high-quality applications will likely include a plan for ensuring that these families have ongoing access to family literacy services when their enrollment can no longer be supported with basic MEP or MEES program funds. In this regard, an applicant might, for example, describe how the project will fill any gaps in services, or how it will connect families with existing resources or services if they settle in the community.

(c) *Quality of the project design.* (20 points) The Assistant Secretary considers the quality of the design of the proposed project. In determining the

quality of the design of the proposed project, the Assistant Secretary considers the following factors:

(1) The extent to which the design of the proposed project is appropriate to, and will successfully address, the needs of the target population or other identified needs.

(2) The extent to which the project is designed to build capacity and yield results that will extend beyond the period of Federal financial assistance.

(3) The extent to which the proposed project will establish linkages with other appropriate agencies and organizations providing services to the target population.

(Note: Applicants are free to address criterion (c) in any way that they wish. However, the Assistant Secretary believes that, in designing their project, high-quality applications likely will address each of the required program elements in ESEA section 1235, and listed in the Program Requirements section of this notice. In this regard, the Assistant Secretary believes that a high-quality application likely would explain how its proposed design addresses each one of those requirements in order to meet the needs of the migratory families whom the project will serve.

For example, given the mobility of these families, the Assistant Secretary believes that high-quality applications will likely include strategies for maintaining family education services to migratory families after they have moved from the local community.

In addressing requirement number 8, that projects conduct family literacy services year-round, the Assistant Secretary acknowledges that migratory families may reside in communities for varying lengths of time. Therefore, the Assistant Secretary interprets that requirement to mean that grantees must provide project activities not only during the period in which participating migratory families reside in the project area but also at times when families travel or work outside the local community. The Assistant Secretary strongly encourages applicants to explore ways to maintain contact and continue to monitor the progress of highly mobile families whether or not they are resident in the applicant's community.

Examples of strategies that address this requirement for year-round operations and ongoing family participation include distance learning; capacity building and partnership efforts with sending and receiving States and school districts; self-paced learning packages; and other materials, technologies, and activities that make year-round literacy services viable and family-friendly for migrant workers.)

(d) *Quality of project services.* (15 points) The Assistant Secretary considers the quality of the services to be provided by the proposed project. In determining the quality of the services to be provided by the proposed project, the Assistant 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. In addition, the Assistant Secretary considers the following factors:

(1) The extent to which the services to be provided by the proposed project reflect up-to-date knowledge from scientifically based research and effective practice.

(2) The extent to which the training or professional development services to be provided by the proposed project are of sufficient quality, intensity, and duration to lead to improvements in practice among the recipients of those services.

(3) The likelihood that the services to be provided by the proposed project will lead to improvements in the achievement of students as measured against rigorous academic standards.

(e) *Quality of Project Personnel.* (10 points) The Assistant Secretary considers the quality of the personnel who will carry out the proposed project. In determining the quality of project personnel, the Assistant 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. In addition, the Assistant Secretary considers the qualifications, including relevant training and experience of key project personnel.

(Note: Applicants may answer criterion (e) in any way that seems reasonable. The Assistant Secretary believes that high quality applications will, at a minimum, address how projects will meet staffing, certification, training, and professional development requirements under ESEA section 1235(b)(5), and described in the PROGRAM REQUIREMENTS section of this notice.)

(f) *Adequacy of resources.* (15 points) The Assistant Secretary considers the adequacy of resources for the proposed project. In determining the adequacy of resources for the proposed project, the Assistant Secretary considers the following factors:

(1) The relevance and demonstrated commitment of each partner in the



proposed project to the implementation and success of the project.

(2) The extent to which the costs are reasonable in relation to the objectives, design, and potential significance of the proposed project.

(3) The potential for continued support of the project after Federal funding ends, including, as appropriate, the demonstrated commitment of appropriate entities to such support.

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

(g) *Quality of the project evaluation.* (20 points) The Assistant Secretary considers the quality of the evaluation to be conducted of the proposed project.

In determining the quality of the evaluation, the Assistant Secretary considers the following factors:

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

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

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

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

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

**Note:** Applicants are free to address criterion (g) in any way they wish. However, ESEA section 1235(10), requires applicants to conduct an independent evaluation of their project. In addition, they must participate in the national Even Start data collection effort. Given these two requirements, the Assistant Secretary believes that high-quality applications are likely to address this criterion by explaining how the project will conduct an ongoing, independent, local evaluation to ensure that the quality of the proposed family literacy services is validated and improved over the course of the four-year project period.

In addition, the Assistant Secretary believes that high-quality applicants would likely bear in mind the following information in considering how they intend to report the effectiveness of their project. Funded projects are required to complete an annual performance report on their progress in meeting the approved objectives of their grant to ensure continued funding. These reports and other evaluation information

provide local projects, the Department, and the Congress with objective data about the activities and services provided by the project, the participants served, the retention rates of those participants, and the success of the families in the project.

The Department has also developed a set of performance indicators for the Even Start Family Literacy Program in accordance with the Government Performance and Results Act (GPRA) that relate to participant outcomes and project management. The Department uses these indicators in reporting to the Congress on the overall effectiveness of the program. The Assistant Secretary will provide Migrant Education Even Start grantees with these indicators and technical assistance for responding to them.

The following items are not part of the program's selection criteria, but provide additional information for applicants.

#### National Evaluation

The Department is conducting a national evaluation of Even Start Family Literacy projects. MEES program grantees must cooperate with the Department's efforts by adopting an evaluation plan that is consistent with the national evaluation (as well as with the grantee's responsibilities under ESEA section 1235(10) and 34 CFR 74.51, 75.118, 75.253, and 80.40).

The Assistant Secretary suggests that projects designate appropriate funds for conducting their independent local evaluation, as well as resources to coordinate submissions of their local evaluation with annual performance reports. The Assistant Secretary also recommends that applicants budget for the cost of travel to Washington, DC and four nights' lodging for the project director, instructional services coordinator, and project evaluator, for their participation in annual technical assistance/evaluation meetings. The budget should also include a staff travel plan for training and professional development in the family literacy construct.

*Information by project and budget periods.* Under 34 CFR 75.112 and 75.117, an eligible applicant must propose a project period, and provide budgetary information for each budget period of that proposed project period. The Assistant Secretary requires that the budgetary information include an amount for all key project components with an accompanying breakdown of any subcomponents, along with a written justification for all requested amounts. (A form for reporting this information is contained in the appendix of this notice.)

Section 75.112(b) also requires that an applicant describe how and when, in each budget period of the project, it

plans to meet each objective of the project.

**Note:** The Department will use this information, in conjunction with the grantee's annual performance report required under 34 CFR 75.118(a), to determine whether a continuation award for the subsequent budget year should be made. Under 34 CFR 75.253, a grantee can receive a continuation award only if it demonstrates that it either has made substantial progress toward meeting the objectives of the approved project, or has received the Assistant Assistant Secretary's approval of changes in the project to enable it to meet the objectives in the succeeding budget periods.

As indicated in the Note to the selection criterion (g) (Quality of project evaluation), each project must conduct an independent local evaluation. In budgeting for the cost of this independent local evaluation, you may wish to contact potential local evaluators, such as researchers or teachers at local community colleges or universities, to ascertain a typical hourly rate.

#### Intergovernmental Review of Federal Programs

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

One of the objectives of the Executive Order is to 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.

If you are an applicant, you must contact the appropriate State Single Point of Contact (SPOC) to find out about, and to comply with, the State's process under Executive Order 12372. If you propose to perform activities in more than one State, you should immediately contact the SPOC for each of those States and follow the procedure established in each State under the Executive order. You may view the latest official SPOC list on the Web site of the Office of Management and Budget at the following address: <http://www.whitehouse.gov/omb/grants>

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

Any State Process Recommendation and other comments submitted by a SPOC and any comments from State, areawide, regional, and local entities must be mailed or hand-delivered by the date indicated in this notice to the

following address: The Assistant Secretary, E.O. 12372—CFDA# 84.214A, U.S. Department of Education, Room 7E200, 400 Maryland Avenue, SW., Washington, DC 20202-0125.

We will determine proof of mailing 34 CFR 75.102 (Deadline date for applications). Recommendations or comments may be hand-delivered until 4:30 p.m. (Washington, DC time) on the date indicated in this 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.

#### *Application Instructions and Forms*

The appendix to this application is divided into three parts plus a statement regarding estimated public reporting burden and various assurances and certifications. These parts and additional materials are organized in the same manner that the submitted application should be organized. The parts and additional materials are as follows:

*Part I:* Application for Federal Assistance (Standard Form 424) and instructions. Novice applicants identify themselves in item number six (6) on the form.

*Part II:* Budget Information—Non-Construction Programs (ED Form No. 524) and instructions.

*Part III:* Application Narrative. *Additional Materials:* Estimated Public Reporting Burden. Assurances—Non-Construction Programs (Standard Form 424B).

Certifications regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirements (ED 80-0013, 12/98).

Certification regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion: Lower Tier Covered Transactions (ED 80-0014, 9/90) and instructions.

**Note:** ED 80-0014 is intended for the use of grantees and should not be transmitted to the Department.

Disclosure of Lobbying Activities (Standard Form LLL) (if applicable) and instructions; and Disclosure of Lobbying Activities Continuation Sheet (Standard Form LLL-A).

You may submit information on a photocopy 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.

Individuals with disabilities may obtain this document in an alternative format (e.g., Braille, large print, audiotape, or computer diskette) on request to the contact person listed under **FOR FURTHER INFORMATION CONTACT**. However, the Department is not able to reproduce in an alternative format the standard forms included in the application package.

*For Further Information Contact:* DonnaMarie Marlow, U.S. Department of Education, Office of Elementary and Secondary Education, Office of Migrant Education, 400 Maryland Avenue, SW., Room 3E313, Washington, DC 20202-6135. Telephone: (202) 260-1164. The program contact may also be reached via e-mail at [donnamarie.marlow@ed.gov](mailto:donnamarie.marlow@ed.gov). If you use a telecommunications device for the deaf (TDD), you may call the Federal Information Relay Service (FIRS) at 1-800-877-8339.

#### *Instructions for Transmittal of Applications*

An application for an award may be submitted by regular mail, or hand delivery.

(a) If an applicant wants to apply for a grant, an applicant must—

(1) Mail the original and two copies of the application on or before the deadline date to: U. S. Department of Education, Application Control Center, Attention: (CFDA #84.214A) Washington, DC 20202-4725 or

(2) Hand deliver the original and two copies of the application by 4:30 p.m. (Washington, DC time) on the deadline date to: U.S. Department of Education, Application Control Center, Attention: (CFDA # 84.214A), Room #3633, Regional Office Building #3, 7th and D Streets, SW., Washington, DC 20202

(b) An applicant 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 Assistant Secretary.

(c) If an application is mailed through the U.S. Postal Service, the Assistant Secretary does 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.

**Notes:** (1) 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.

(2) The Application Control Center will mail a Grant Application Receipt

Acknowledgment to each applicant. If an applicant fails to receive the notification of application receipt within 15 days from the date of mailing the application, the applicant should call the U.S. Department of Education Application Control Center at (202) 708-9494.

(3) The applicant must indicate on the envelope and—if not provided by the Department—in Item 10 of the Application for Federal Assistance (Standard Form 424) the CFDA number—and suffix letter, if any—of the competition under which the application is being submitted.

(4) Guidelines provided for hand delivered applications are applicable to applications delivered by express delivery services. There is a 4:30 p.m. (Washington, D.C. time) deadline for receipt of express delivery services.

(5) Items mailed through the U.S. Post Office to the U.S. Department of Education is subject to rerouting and special processing at other U.S. postal facilities. These special circumstances have and can delay the mail for up to two months. It is recommended that applicants use electronic or express delivery services for the transmission of their applications to ensure timely delivery and processing.

#### **Electronic Access to This Document**

You may view this document, as well as all other Department of Education documents published in the **Federal Register**, in text or portable document format (PDF) on the Internet at either of the following site: [www.ed.gov/legislation/FedRegister/](http://www.ed.gov/legislation/FedRegister/)

To use PDF you must have the Adobe Acrobat Reader, which is available free at this site. If you have questions about using the 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: <http://www.access.gpo.gov/nara/index.html>

**Program Authority:** 20 U.S.C. 6381(a)(1)(a).

Dated: May 15, 2002.

**Susan B. Neuman,**

*Assistant Secretary for Elementary and Secondary Education.*

#### **Instructions for Part III—Application Narrative**

Before preparing the Application Narrative, an applicant should read carefully the description of the program and the selection criteria the Assistant Secretary uses to evaluate applications.

The narrative should encompass each function or activity for which funds are being requested and should—

1. Begin with an Abstract; that is, a summary of the proposed project.

2. Describe the proposed project in light of each of the selection criteria in the order in which the criteria are listed in this application package.

(*Note:* While applicants can address the criteria in any way that is reasonable, given the required emphasis of any MEES project on an integrated program of early childhood education, adult literacy or adult basic education, and parenting education, the Assistant Secretary believes that a reasonable plan of operation would likely address how the proposed project will provide high-quality instruction in these three areas that, with interactive literacy activities between parents and children (PACT), is integrated into a unified family literacy program. Moreover, consistent with 34 CFR 75.112(b), which requires that the application describe how and when, in each budget period, the applicant plans to meet each project objective, the Assistant Secretary believes that applicants would want particularly to describe each goal in terms of measurable objectives, specific activities that are proposed to meet each objective, time lines associated with these activities, the resources believed to be needed to achieve each objective, and how each objective will be evaluated.)

3. Provide the following information in response to the attached "NOTICE TO ALL APPLICANTS": (1) a reference to the portion of the application in which the applicant has described the steps that the applicant proposes to take to remove barriers to equitable access to, and equitable participation in, project

activities; or (2) a separate statement that includes this information.

4. Include any other pertinent information that might assist the Assistant Secretary in reviewing the application.

*Page Limit:* The application narrative (Part III of the application) is where the applicant addresses the selection criteria reviewers use to evaluate your application. The recommended page limit for this application is 50 pages (appendices excepted), 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, or the letters of support. However, you must include all of the application narrative in Part III.

### Instruction for Estimated Public Reporting Burden

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 1810-0541. (Expiration date: 04/30/2003). The time required to complete this information collection is estimated to average 60 hours per response including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: US Department of Education, Washington, DC 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Office of Migrant Education, US Department of Education, 400 Maryland Avenue, SW., Washington, DC 20202-6135.

(Information collection approved under OMB control number 1810-0541. Expiration date: 04/30/2003)

**BILLING CODE 4000-01-P**

# Application for Federal Education Assistance (ED 424)



U.S. Department of Education

Form Approved  
OMB No. 1875-0106  
Exp. 11/30/2004

## Applicant Information

1. Name and Address Organizational Unit  
 Legal Name: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 City \_\_\_\_\_ State \_\_\_\_\_ County \_\_\_\_\_ ZIP Code + 4 \_\_\_\_\_

2. Applicant's D-U-N-S Number

3. Applicant's T-I-N   -

4. Catalog of Federal Domestic Assistance #: **8 4**

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

5. Project Director: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 City \_\_\_\_\_ State \_\_\_\_\_ ZIP Code + 4 \_\_\_\_\_  
 Tel. #: \_\_\_\_\_ Fax #: \_\_\_\_\_  
 E-Mail Address: \_\_\_\_\_

6. Novice Applicant  Yes  No

7. Is the applicant delinquent on any Federal debt?  Yes  No  
 (If "Yes," attach an explanation.)

8. Type of Applicant (Enter appropriate letter in the box.)

- A State
- B Local
- C Special District
- D Indian Tribe
- E Individual
- F Independent School District
- G Public College or University
- H Private, Non-Profit College or University
- I Non-Profit Organization
- J Private, Profit-Making Organization
- K Other (Specify): \_\_\_\_\_

## Application Information

9. Type of Submission:

<input type="checkbox"/> PreApplication	<input type="checkbox"/> Application
<input type="checkbox"/> Construction	<input type="checkbox"/> Construction
<input type="checkbox"/> Non-Construction	<input type="checkbox"/> Non-Construction

10. Is application subject to review by Executive Order 12372 process?  
 Yes (Date made available to the Executive Order 12372 process for review): \_\_\_\_\_  
 No (If "No," check appropriate box below.)  
 Program is not covered by E.O. 12372.  
 Program has not been selected by State for review.

11. Proposed Project Dates: Start Date: \_\_\_\_\_ End Date: \_\_\_\_\_

12. Are any research activities involving human subjects planned at any time during the proposed project period?  
 Yes (Go to 12a.)  No (Go to item 13.)

12a. Are all the research activities proposed designated to be exempt from the regulations?  
 Yes (Provide Exemption(s) #): \_\_\_\_\_  
 No (Provide Assurance #): \_\_\_\_\_

13. Descriptive Title of Applicant's Project:  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

Estimated Funding		
14a. Federal	\$	.00
b. Applicant	\$	.00
c. State	\$	.00
d. Local	\$	.00
e. Other	\$	.00
f. Program Income	\$	.00
g. TOTAL	\$	0.00

Authorized Representative Information	
15. To the best of my knowledge and belief, all data in this preapplication/application are true and correct. The document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached assurances if the assistance is awarded.	
a. Authorized Representative (Please type or print name clearly.)	
b. Title	
c. Tel. #: _____ Fax #: _____	
d. E-Mail Address: _____	
e. Signature of Authorized Representative	Date: _____

### Instructions for ED 424

1. **Legal Name and Address.** Enter the legal name of applicant and the name of the primary organizational unit which will undertake the assistance activity.
2. **D-U-N-S Number.** Enter the applicant's D-U-N-S Number. If your organization does not have a D-U-N-S Number, you can obtain the number 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>.
3. **Tax Identification Number.** Enter the taxpayer's identification number as assigned by the Internal Revenue Service.
4. **Catalog of Federal Domestic Assistance (CFDA) Number.** Enter the CFDA number and title of the program under which assistance is requested. The CFDA number can be found in the federal register notice and the application package.
5. **Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.
6. **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 Form ED 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.
7. **Federal Debt Delinquency.** Check "Yes" if the applicant's organization is delinquent on any Federal debt. (This question refers to the applicant's organization and not to the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.) Otherwise, check "No."
8. **Type of Applicant.** Enter the appropriate letter in the box provided.
9. **Type of Submission.** See "Definitions for Form ED 424" attached.
10. **Executive Order 12372.** See "Definitions for Form ED 424" attached. Check "Yes" if the application is subject to review by E.O. 12372. Also, please enter the month, day, and four (4) digit year (e.g., 12/12/2001). Otherwise, check "No."
11. **Proposed Project Dates.** Please enter the month, day, and four (4) digit year (e.g., 12/12/2001).
12. **Human Subjects Research.** (See I.A. "Definitions" in attached page entitled "Definitions for Form ED 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 12 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 Form ED 424.")
- 12a. **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 Form ED 424." Insert this narrative immediately following the ED 424 face page.
- 12a. **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 Form ED 424." Insert this narrative immediately following the ED 424 face page.
- 12a. **Human Subjects Assurance Number.** If the applicant has an approved Federal Wide (FWA) or Multiple Project Assurance (MPA) 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 face page, 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.
13. **Project Title.** 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.
14. **Estimated Funding.** 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 14.
15. **Certification.** 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. Be sure to enter the telephone and fax number and e-mail address of the authorized representative. Also, in item 15e, please enter the month, day, and four (4) digit year (e.g., 12/12/2001) in the date signed field.  
  
**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 1875-0106. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4651. 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, 7th and D Streets, S.W. ROB-3, Room 3633, Washington, D.C. 20202-4725.

## Definitions for Form ED 424

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.

Type of Submission. "Construction" includes construction of new buildings and acquisition, expansion, remodeling, and alteration of existing buildings, and initial equipment of any such buildings, or any combination of such activities (including architects' fees and the cost of acquisition of land). "Construction" also includes remodeling to meet standards, remodeling designed to conserve energy, renovation or remodeling to accommodate new technologies, and the purchase of existing historic buildings for conversion to public libraries. For the purposes of this paragraph, the term "equipment" includes machinery, utilities, and built-in equipment and any necessary enclosures or structures to house them; and such term includes all other items necessary for the functioning of a particular facility as a facility for the provision of library services.

Executive Order 12372. The purpose of Executive Order 12372 is to foster an 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 application notice, as published in the Federal Register, informs the applicant as to whether the program is subject to the requirements of E.O. 12372. In addition, the application package contains information on the State Single Point of Contact. An applicant is still eligible to apply for a grant or grants even if its respective State, Territory, Commonwealth, etc. does not have a State Single Point of Contact. For additional information on E.O. 12372 go to <http://www.cfda.gov/public/eo12372.htm>.

## 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 which is considered research for other purposes. For example, some demonstration and service programs may include research activities.

## —Human Subject

The regulations define human subject as "a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information." (1) If an activity involves obtaining information about a living person by manipulating that person or that person's environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met. (2) If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met. [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

## B. Exemptions.

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

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

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the

activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed. [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

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

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

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

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

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

If the applicant marked "Yes" for Item 12 on the ED 424, the applicant must provide a human subjects "exempt research" or "nonexempt research" narrative and insert it immediately following the ED 424 face page.

### A. Exempt Research Narrative.

If you marked "Yes" for item 12a. 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 12a. you must provide the "nonexempt research" narrative. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

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

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

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


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

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

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

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

Copies of the Department of Education's Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, D.C. 20202-4248, telephone: (202) 708-8263, and on the U.S. Department of Education's Protection of Human Subjects in Research Web Site at <http://www.ed.gov/offices/OCFO/humansub.html>

 <b>U.S. DEPARTMENT OF EDUCATION</b> <b>BUDGET INFORMATION</b> <b>NON-CONSTRUCTION PROGRAMS</b>		OMB Control Number: 1890-0004				
Name of Institution/Organization		Expiration Date: 02/28/2003				
SECTION A - BUDGET SUMMARY U.S. DEPARTMENT OF EDUCATION FUNDS		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.				
Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						0
2. Fringe Benefits						0
3. Travel						0
4. Equipment						0
5. Supplies						0
6. Contractual						0
7. Construction						0
8. Other						0
9. Total Direct Costs (lines 1-8)	0	0	0	0	0	0
10. Indirect Costs						0
11. Training Stipends						0
12. Total Costs (lines 9-11)	0	0	0	0	0	0



Name of Institution/Organization		SECTION B - BUDGET SUMMARY NON-FEDERAL FUNDS					Total (f)
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.		Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	
1. Personnel							0
2. Fringe Benefits							0
3. Travel							0
4. Equipment							0
5. Supplies							0
6. Contractual							0
7. Construction							0
8. Other							0
9. Total Direct Costs (lines 1-8)		0	0	0	0	0	0
10. Indirect Costs							0
11. Training Stipends							0
12. Total Costs (lines 9-11)		0	0	0	0	0	0

SECTION C - OTHER BUDGET INFORMATION (see instructions)

Public reporting burden for this collection of information is estimated to vary from 13 to 22 hours per response, with an average of 17.5 hours per response, including the time reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, Information Management and Compliance Division, Washington, D.C. 20202-4651; and the Office of Management and Budget, Paperwork Reduction Project 1875-0102, Washington DC 20503.

## INSTRUCTIONS FOR ED FORM 524

### General Instructions

This form is used to apply to individual U.S. Department of Education 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.

### 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.

### 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 - Other Budget Information Pay attention to applicable program specific instructions, if attached.

1. Provide an itemized budget breakdown, by project year, for each budget category listed in Sections A and B.
2. If applicable to this program, enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period. In addition, enter the estimated amount of the base to which the rate is applied, and the total indirect expense.
3. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
4. Provide other explanations or comments you deem necessary.

**ASSURANCES - NON-CONSTRUCTION PROGRAMS**

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 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 (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 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

**CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER  
RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS**

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying," and 34 CFR Part 85, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Education determines to award the covered transaction, grant, or cooperative agreement.

**1. LOBBYING**

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

(a) 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 making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than 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 grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

**2. DEBARMENT, SUSPENSION, AND OTHER  
RESPONSIBILITY MATTERS**

As required by Executive Order 12549, Debarment and Suspension, and implemented at 34 CFR Part 85, for prospective participants in primary covered transactions, as defined at 34 CFR Part 85, Sections 85.105 and 85.110—

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgement rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (2)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transaction (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

**3. DRUG-FREE WORKPLACE  
(GRANTEES OTHER THAN INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610 -

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about:

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Director, Grants Policy and Oversight Staff, U.S. Department of Education, 400 Maryland Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted:

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

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Check  if there are workplaces on file that are not identified here.

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As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

NAME OF APPLICANT	PR/AWARD NUMBER AND / OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

**DRUG-FREE WORKPLACE  
(GRANTEES WHO ARE INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610-

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Director, Grants Policy and Oversight Staff, Department of Education, 400 Maryland Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant.

**Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion — Lower Tier Covered Transactions**

This certification is required by the Department of Education regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, for all lower tier transactions meeting the threshold and tier requirements stated at Section 85.110.

**Instructions for Certification**

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion-Lower Tier Covered Transactions," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may but is not required to, check the Nonprocurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

**Certification**

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

NAME OF APPLICANT	PR/AWARD NUMBER AND/OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

**DISCLOSURE OF LOBBYING ACTIVITIES**

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

Approved by OMB  
0348-0046

(See reverse for public burden disclosure.)

<b>1. Type of Federal Action:</b> <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	<b>2. Status of Federal Action:</b> <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	<b>3. Report Type:</b> <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change <b>For Material Change Only:</b> year _____ quarter _____ date of last report _____
<b>4. Name and Address of Reporting Entity:</b> <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, <i>if known</i> :  Congressional District, <i>if known</i> :	<b>5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime:</b>  Congressional District, <i>if known</i> :	
<b>6. Federal Department/Agency:</b>	<b>7. Federal Program Name/Description:</b>  CFDA Number, <i>if applicable</i> : _____	
<b>8. Federal Action Number, if known:</b>	<b>9. Award Amount, if known:</b> \$	
<b>10. a. Name and Address of Lobbying Registrant</b> <i>(if individual, last name, first name, MI):</i>	<b>b. Individuals Performing Services</b> <i>(including address if different from No. 10a)</i> <i>(last name, first name, MI):</i>	
<b>11.</b> Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.	Signature: _____ Print Name: _____ Title: _____ Telephone No.: _____ Date: _____	
<b>Federal Use Only:</b>	Authorized for Local Reproduction Standard Form LLL (Rev. 7-97)	



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

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

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

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.

OMB Control No. 1890-0007 (Exp. 09/30/2004)

**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 **1890-0007**. 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:** Director, Grants Policy and Oversight Staff, U.S. Department of Education, 400 Maryland Avenue, SW (Room 3652, GSA Regional Office Building No. 3). Washington, DC 20202-4248.

[FR Doc. 02-12620 Filed 5-17-02; 8:45 am]

BILLING CODE 4000-01-C

## FEDERAL EMERGENCY MANAGEMENT AGENCY

[FEMA-1412-DR]

### Missouri; Amendment No.1 to Notice of a Major Disaster Declaration

**AGENCY:** Federal Emergency  
Management Agency (FEMA).

**ACTION:** Notice.

**SUMMARY:** This notice amends the notice of a major disaster declaration for the State of Missouri, (FEMA-1412-DR), dated May 6, 2002, and related determinations.

**EFFECTIVE DATE:** May 8, 2002.

**FOR FURTHER INFORMATION CONTACT:** Madge Dale, Readiness, Response and Recovery and Directorate, Federal Emergency Management Agency, Washington, DC 20472, (202) 646-2705 or [madge.dale@fema.gov](mailto:madge.dale@fema.gov).

**SUPPLEMENTARY INFORMATION:** The notice of a major disaster declaration for the State of Missouri is hereby amended to include Individual Assistance in the following areas among those areas determined to have been adversely affected by the catastrophe declared a major disaster by the President in his declaration of May 6, 2002:

Bollinger, Butler, Carter, Howell and Madison Counties for Individual Assistance (already designated for Public Assistance).

Cape Girardeau, Douglas, Dunklin, Iron, Oregon, Ozark, Perry, Reynolds, Ripley, Shannon, St. Francois, Stoddard, Texas and Wayne Counties for Individual Assistance. (The following Catalog of Federal Domestic Assistance Numbers (CFDA) are to be used for reporting and drawing funds: 83.537, Community Disaster Loans; 83.538, Cora Brown Fund Program; 83.539, Crisis Counseling; 83.540, Disaster Legal Services Program; 83.541, Disaster Unemployment Assistance (DUA); 83.542, Fire Suppression Assistance; 83.543, Individual and Family Grant (IFG) Program; 83.544, Public Assistance Grants; 83.545, Disaster Housing Program; 83.548, Hazard Mitigation Grant Program.)

**Joe M. Allbaugh,**

*Director.*

[FR Doc. 02-12538 Filed 5-17-02; 8:45 am]

BILLING CODE 6718-02-P

## DEPARTMENT OF ENERGY

### Environmental Management Site- Specific Advisory Board, Rocky Flats

**AGENCY:** Department of Energy.

**ACTION:** Notice of open meeting.

**SUMMARY:** This notice announces a meeting of the Environmental Management Site-Specific Advisory Board (EM SSAB), Rocky Flats. The Federal Advisory Committee Act (Pub. L. 92-463, 86 Stat. 770) requires that public notice of these meeting be announced in the **Federal Register**.

**DATES:** Thursday, June 6, 2002, 6 p.m. to 9:30 p.m.

**ADDRESSES:** Jefferson County Airport Terminal Building, Mount Evans Room, 11755 Airport Way, Broomfield, CO.

**FOR FURTHER INFORMATION CONTACT:** Ken Korkia, Board/Staff Coordinator, Rocky Flats Citizens Advisory Board, 9035 North Wadsworth Parkway, Suite 2250, Westminster, CO, 80021; telephone (303) 420-7855; fax (303) 420-7579.

#### SUPPLEMENTARY INFORMATION:

*Purpose of the Board:* The purpose of the Board is to make recommendations to DOE and its regulators in the areas of environmental restoration, waste management, and related activities.

#### Tentative Agenda

1. Quarterly update on Rocky Flats issues, provided by a representative from the U.S. Environmental Protection Agency.

2. Discussion with DOE representatives and regulators on Rocky Flats end-state issues.

3. Other Board business may be conducted as necessary.

*Public Participation:* The meeting is open to the public. Written statements may be filed with the Board either before or after the meeting. Individuals who wish to make oral statements pertaining to agenda items should contact Ken Korkia at the address or telephone number listed above. Requests must be received at least five days prior to the meeting and reasonable provisions will be made to include the presentation in the agenda. The Deputy Designated Federal Officer is empowered to conduct the meeting in a fashion that will facilitate the orderly conduct of business. Each individual wishing to make public comment will be provided a maximum of five minutes to present their comments.

*Minutes:* The minutes of this meeting will be available for public review and copying at the Public Reading Room located at the Office of the Rocky Flats Citizens Advisory Board, 9035 North Wadsworth Parkway, Suite 2250, Westminster, CO 80021; telephone (303) 420-7855. Hours of operations for the Public Reading Room are 9 a.m. to 4 p.m., Monday-Friday, except Federal holidays. Minutes will also be made available by writing or calling Deb

Thompson at the address or telephone number listed above.

Issued at Washington, DC on May 15, 2002.

**Rachel M. Samuel,**

*Deputy Committee Management Officer.*

[FR Doc. 02-12550 Filed 5-17-02; 8:45 am]

BILLING CODE 6450-01-P

## DEPARTMENT OF ENERGY

### Federal Energy Regulatory Commission

[Docket No. RP02-339-000]

### Transcontinental Gas Pipe Line Corporation; Notice of Filing

May 14, 2002.

Take notice that on May 1, 2002, Transcontinental Gas Pipe Line Corporation (Transco) submitted a motion for extension of time to comply with Order No. 587-N, until the date Transco implements its new business system, 1Line.

Transco states that the basis for the extension of time is related to its ongoing efforts to develop its new business system, 1Line and, in the interim, to avoid the allocation of substantial resources necessary to modify its existing system to comply with the Commission's directives. Transco requests an extension of time to comply with the first phase of the intraday recall requirement in Order No. 587-N until the implementation of 1Line on April 1, 2003. Transco contends that it is unable to modify its existing business systems to comply with the Commission's intraday recall provisions by July 1, 2002. Transco further asserts that it cannot manually comply with Order No. 587-N. Since Transco is in the process of developing a new business system 1Line, it requests an extension of time to comply with the first phase of Order No. 587-N until its new business system is implemented. Transco asserts that it anticipates 1Line will be implemented by April 1, 2003.

Any person desiring to be heard or to protest said filing should file a motion to intervene or a protest with the Federal Energy Regulatory Commission, 888 First Street, NE., Washington, DC 20426, in accordance with sections 385.214 or 385.211 of the Commission's rules and regulations. All such motions or protests must be filed on or before May 24, 2002. Protests will be considered by the Commission in determining the appropriate action to be taken, but will not serve to make protestants parties to the proceedings. Any person wishing to become a party must file a motion to intervene. Copies

SECTION 3

**Sample of a Successful  
Grant Proposal**

## **Sample Quality Grant Proposal Model Project Abstract**

FBCO1, a longstanding, not-for-profit community organization in the state of XY, in collaboration with KSTAR, a nationally recognized program for parents and young children, and the Target School District – is requesting funds from the U.S. Department of Education through the Migrant Education Even Start (MEES) Program to operate the project from 10-1-02 through 9-30-06. Through the integration of adult literacy, early childhood education services, parenting education and supportive professional development, aims to address the compelling needs of highly mobile migrant families in both the Site 1 and Site 2 communities to improve and create continuity in their educational opportunities.

Utilizing scientifically evidence-based information, as well as effective strategies for facilitating the learning of migrant students via the experience of migrant educators and specialists in family learning, the project staff members will focus on the literacy/learning needs of migrant Even Start families with children from birth through age seven. A variety of options, that is, home-, center-, and community-based continuum of services, will be provided that involves education goal setting documented on yearly Family Service Plans (FEP).

Demonstrating that less than 4% of the eligible migrant children in the Target state from birth to age three currently are being served, the project will feature outcomes-based curricula and a KSTAR home visitor education program that accentuates building strong parenting skills while reinforcing adult literacy and early childhood education. The objectives of this project show how MEES integrates the components of Migrant Even Start and supports migrant families by emphasizing strong professional development guided by learner-centered Professional Development Plans (PDPs). The objectives are: 1) Adult Literacy/Education – With the annual completion of the project and each year thereafter, family members – particularly parents – will make one year’s progress toward meeting the FSP literacy goals developed jointly by each family and project staff; 2) Early Childhood Services – learning/literacy goals as identified in the FSP based upon pre-post measures based upon such testing through the Ages and Stages Questionnaires; 3 & 4) Parent/Child Activities/Parenting Education – With the annual completion of the project and each year thereafter, families will achieve 90% of the parenting and parent/child interaction goals as listed on the *Family Service Plans*; 5) Professional Development – With the annual completion of the project and each year thereafter, project staff will be better prepared to facilitate instruction/activities that promote child/adult/family literacy; and, 6) Collaborative Partnerships for Resource Management – With the annual completion of the project and each year thereafter, collaborative partnerships will be established and updated as needed to expand and enhance the services to Migrant Education Even Start families.

The two migrant education sites, found in the rural and somewhat urban communities of XY, will be networked through traditional means and electronically through a laptop-based, e-mail communication system, an electronic bulletin board to post effective practices, and a web page to discuss migrant issues affecting young migrant children and their parents. Each site will offer a continuum of early childhood services, from home-based to center-based, that will be linked to other components found within this project. A variety of resources for families and teachers will be provided that supports outcome-based curriculum and instruction tied to the Federal initiatives of *No Child Left Behind* and quality performance standards from the state.

A yearly two-day summer institute will hallmark resource sharing on “lessons learned,” effective practices and processes resulting from project implementation, and evaluation focus groups will collect implementation and outcome data from staff and migrant families. Local community education resource partners will support the project through networks to provide English as a second language classes, alternative education and adult basic education programs that leads to the completion and mastery of activities and endorsements in citizenship, vocational licenses, and postsecondary education.

The Project includes a strong dissemination component with documented implementation processes to serve as a consortium model for replication by other states. A dissemination toolkit with video clips on the project and other visuals for promotion and adoption will be developed for sharing with other states serving migrant children and their parents to raise their quality of life and successfully compete in the 21<sup>st</sup> century.

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**(a) Meeting the Purposes of the Authorizing Statute (5 points)**

**The Assistant Secretary reviews each application to determine how well the project will: (1) Improve the educational opportunities of migratory families by integrating early childhood education, adult literacy or adult basic education (including English language training, as appropriate), and parenting education into a unified family literacy program.**

All educational personnel must work in concert with families and communities to better prepare students for success in school and later in the workplace. Our nation's policy makers of No Child Left Behind recognized this important attribute and made family involvement in children's learning and achievement a critical priority for further program development.

Additionally, scientifically research-based data is irrefutable in its findings that when schools, community agencies and families collaborate to support learning, children tend to succeed – not just in school – but also throughout life. With this in mind, FBCO1 has designed its services to integrate early childhood education, adult literacy, and parenting education through professional development and the establishment of direct communication, collaboration, and dissemination partnerships. Three underlying principles form the foundation of this project and serve as the proposal's focus:

- 1) A comprehensive and unified family literacy program constructed on the needs and strengths of eligible migrant families with children from birth through age seven;
- 2) Families, educators, and community members viewed as valued collaborative partners in the learning process and will receive opportunities through project efforts to access high quality student, parent, and staff development; and
- 3) Each family's cultural and ethnic uniqueness will be recognized, honored and respected by providing

education through family-centered, flexible, outcomes-based, and content-rich support services.

Therefore, project staff will work diligently to include migrant parents, educators, business partners and community members in two MEES centers from the distinct empowerment zone of Site 1 and Site 2 in continued and ongoing planning, implementation, and evaluation of this project. Efforts will provide project participants, particularly parents, with information about the project and resources/materials designed to involve them in their child's education and to increase their parenting skills. Outreach home-based visits and center-based programs focusing on family literacy, learning advocacy, instructional assistance, and resource support to eligible Migrant Even Start children and their parents will occur. Other specific project efforts include: 1) providing opportunities for parents to participate/volunteer in classrooms, attend content-focused fieldtrips, and serve on the project's Technical Assistance Panel (TAP); 2) establishing a Family Literacy Steering Committee with parents in leadership positions; 3) linking parents with community and/or district resources in adult education classes including GED, ESL, adult basic education (ABE), Adult General Education (AGE) and vocational training; 4) maintaining consistent and ongoing communication with parents about their child's learning experiences, needs, and progress through the coordination with KSTAR, a not-for-profit community organization providing scientifically research-based parenting programming and home-based services; and, 5) providing activities, discussion, materials, and speakers on parenting skills and parent/child interaction.

FBCO1 will utilize activities and strategies, including those lessons learned from past Even Start and Migrant Even Start projects, to encourage participation that improves the



educational opportunities of migrant families. Parent meetings, parenting classes, parent-teacher conferences, volunteer room parents, foster grandparents, all-community summer picnics with topical themes, and open houses serve as examples of activities that will encourage parent involvement. Parenting classes will include reading to your child, preparing your child for kindergarten and developing home/school/community partnerships that promote student learning and achievement.

A powerful professional development and training component that encourages opportunities for migrant families and furthers the integration of early childhood education, adult literacy, and parenting education into a unified family literacy program is essential. Project staff will participate in training activities designed to improve skills for communicating with project parents and creating effective home/school/community/business partnerships. Examples of professional development topics include effective strategies for serving MEES families; involving parents in decision-making processes; establishing KSTAR-focused parenting training and direct services; promoting family literacy through parents and children teaming while utilizing high interest print materials; making home visits count; and, implementing strategies for accessing community resources.

Educational opportunities for migrant families will feature a coordinated multi-community system of family literacy services that includes: 1) an outcomes-based curriculum for MEES and parenting that is aligned with the National Association for the Education of Young Children (NAEYC) standards and ACCREDITING AGENCY 1 ; 2) bi-monthly home visits for all eligible migrant Even Start families that address all components of the project; 3) access to information on resources; and, 4) a network of

locally designed community/business resources for adult literacy, vocational education, early childhood education, positive parenting skills and family support services.

As a means of coordinating this multi-community system of family literacy learning services, the MEES Project Coordinator, project staff members, the State and Federal Programs Director from the XY, the State Director for Migrant Education, the state Department of Education's Even Start representative, the Director of KSTAR and the External Evaluator will be constantly and consistently connected electronically through a system of email, an Internet bulletin board system, and a web page developed with project funds. Connections will also be established in a summer institute held each year to share successful practices, hallmark effective models for services and receive professional development based on the results of professional development need assessments. Dissemination of effective practices will be an exemplary feature of FBCO1's project. [See Quality of the Project Design (c)(2)].

**(2) Be implemented through cooperative projects that build on existing community resources to create a new range of services to migratory families.**

How best to leverage existing resources that avoids duplication and provides a unified family literacy program with existing community/business resources from each of the participating states is an absolute priority. The project's challenge is to further identify individuals, services and programs to support the project and its objectives, contact them to learn about their resources and requirements and work out an agreement as to how best to create a new range of services for migrant families with children from birth through age seven. A value-added component of FBCO1's project is that once this is completed in each of the two distinct communities, the communities will be linked to share

resources that strengthen services provided at individual sites that are aligned with the mobile family.

**(3) Promote the achievement of family literacy goals (particularly the goals that address school readiness, student achievement, adult literacy, and parent involvement and participation in their child's early education) through research-based reading and English-language acquisition practices that meet the diverse needs of the migrant community of learners. (4) Assist children and adults from migratory families to achieve challenging State content standards and challenging State student academic achievement standards.**

The Target School District currently implements a Local Consolidated Plan for Federal and state programs and community improvement grants that address both local improvement and community collaborative partnership issues. FBCO1 will build on these existing efforts to network educators around the common purpose of implementing President Bush's education initiatives of school readiness for young children, improved students achievement for all students, the development of prepared teachers in this new millennium to teach effectively and to expect outcomes and parental involvement that will improve the opportunities of migrant families through a unified family literacy program.

As the structure for promoting achievement toward meeting the Federal education initiatives and the state's content standards, FBCO1 a non-profit, faith and community-based educationally oriented organization in collaboration with the Target School District will serve as the lead agency for project efforts. FBCO1 will establish two sites: Site 1 and Site 2 in XY. Each site will implement home-based and center-based early childhood services that operate year-round. Tailored Family Serviced Plans (FSPs) will be developed that focus not only on young children but entire families in becoming literate and to increase their language and literacy proficiency, and educational achievement.

An interactive website will be developed that includes tutorials on how local schools and projects are meeting these national priorities and goals and teacher-developed standards-based units and assessments, and professional development. FBCO1 will build on this communication and resource network to promote others in the achievement of MEES standards and to achieve the U.S. Department of Education's goals through the following activities:

- Project staff will focus on fulfilling the requirements and initiatives set forth under No Child Left Behind and the state standards for young children to drive the design of the project. FBCO1 will move children toward high academic outcomes, involve parents and encourage their continued growth educationally and professionally. FBCO1 will provide support for educators to improve their teaching methods with the goal of increasing student academic achievement. Project staff will utilize scientifically research-based methods to assist students and family members in the acquisition of literacy skills. Such methods will include the use of the KSTAR's scientifically evidenced-based programming and the dual language approach for students in the center-based program sites and support native language and English language development during home-based programming;
- The initial efforts undertaken by migrant educators to identify and access resources to support the implementation of this project will result in new linkages with service providers with a common mission of providing family literacy programs. Project staff will form a Migrant Education Even Start Family Literacy Steering Team. One of the responsibilities of the Steering Team will be to ensure that progress is being achieved toward meeting the requirements set forth under the Governmental

Performance Results Act—GPRA—the principles set forth under the reauthorization of ESEA, the Federal education initiatives and the state’s challenging content and student performance standards. In addition, project staff will ensure that the integration of early childhood services, adult education, professional development and collaborative partnerships will occur.

- The Target School District will provide a DVD version of goals and outcomes information to each of the two migrant Even Start sites as an in-kind contribution to the project. The training of FBCO1’s project staff on how to use this information will be conducted before the second month of the grant award.

**(b) Need for the Project (15 points)**

**The Assistant Secretary considers the need for the proposed project. In determining the need of the proposed project, the Assistant Secretary considers the following factors: (1) The magnitude of the need for the services to be provided or the activities to be cared out by the proposed project.**

In the spring of 2002, historic planning meetings occurred in the state to address significant issue that exists for the Target migrant families. A planning meeting between the State Director for Migrant Education, the local migrant director from the existing migrant education staff and representatives from KSTAR and other community representatives was held to formulate a MEES program to deliver high quality, coordinated, integrated services to migrant families found in the high need areas of Site 1 and Site 2. This was an unprecedented move to collaborate local operating agencies to develop comprehensive, coordinated MEES services for families that travel from one community to the next. Because migrant families are mobile, it is not uncommon for families to traverse from one part of the city and community to another several times during each year. By joining hands in a common effort to develop a comprehensive

approach in servicing two distinct “stop-over sites,” families can be mobile, and yet, access similar supports found in different parts of this broad community.

During this meeting, the planning committee members were provided with the Migrant Education Even Start (MEES) application package. Time was set aside for questions and answers, discussion of local needs and resources, and decision-making about designing the best possible MEES model. The planning committee identified needs and resources as well as designed a proposal that would improve both adult literacy and parenting skills as a means to increase student academic achievement.

Migrant education staff also provided a preliminary sketch of needs and worked closely with local service providers, schools, and migrant education program staff to conduct an in-depth planning profile. Preliminary findings were later corroborated with conclusive data methodically collected by MEP staff. The following trends emerged from the planning profile:

- **a need exists for early childhood education**—especially home-based and center-based services to children from birth to age three in areas of language development, physical, social and cognitive development, and education and support services to pre-kindergarten-aged children who do not qualify for or cannot access Head Start services.
- **a need exists to increase adult literacy** in the areas of alternative education services, English as a second language (ESL), General Equivalency Diploma (GED) preparation, adult basic education, citizenship and naturalization classes, technology skills and additional adult literacy materials in both English and Spanish implemented by both traditional and non-traditional means;

- **a need exists to increase parenting skills** that foster positive methods of discipline and parenting, assists parents to work closely with their neighborhood school to facilitate their child’s learning, improves home/school/community partnerships, increases time for parents and children to read together, improves communication skills and English language proficiency and increases self esteem;
- **a need exists to create child/parent-centered activities** to include the use of alternative and appropriate student assessments that determine educational needs, provides time for parents and children to interact together, and supports the acquisition of developmentally appropriate educational materials in English and Spanish; and,
- **a need exists for professional development** to meet the needs of migrant Even Start families through training activities, workshops on adult literacy, parenting skills, parent/child interactions, early childhood education, and collaborative partnerships. Professional development needs identified included providing an evidenced-based child and parent center program that would increase literacy and language development (i.e. KSTAR), identifying technology-based resources, and utilizing effective methodologies and strategies. Staff indicated a need for the Migrant Education Program (MEP) staff to share their knowledge, experiences, expertise, and successful strategies for providing early childhood education and adult literacy services.

Furthermore, the planning team emphasized the need to form collaborative partnerships in order to: 1) strengthen coordination efforts with Head Start, other Title I Even Start and school projects, and other MEES projects operating within the state; 2)

utilize “lessons learned” from other migrant/general educators and apply these effective strategies to promote family literacy and learning; 3) access waiting lists and referrals from other preschool service providers to identify families with children from birth to age four since current Migrant Education identification and recruitment efforts in the state focus primarily on families with school-age children; 4) work collaboratively to avoid duplication and maximize resources to maintain the effective practices once federal supports are no longer available; and, 5) establish connections to help families meet immediate needs to include transportation, job placement/referrals and human resources.

The planning committee indicated that no comprehensive, coordinated services exist to meet the identified needs of families with children from birth to age three. **Exhibit 1** depicts the number of eligible migrant children from each site in the state from ages 0-7 years (identified between February and May 2002) as being educationally disadvantaged and in need of FBCO1’s project services.

**Exhibit 1: Students Ages 0-7 Identified As Being In Need Of MEES Services**

<b>Migrant Program</b>	<b>Migrant Students In Need of Services By Each Local Site</b>							<b>Total</b>
	<b>By Age</b>							
	0-1	2	3	4	5	6	7	
<b>Site 1 Academy for Children</b>	15	19	55	48	66	63	54	320
<b>Site 2 Academy for Children</b>	37	67	85	112	112	82	108	603

**Exhibit 1** indicates that over 920 migrant children are identified as being in need of services. In order to determine the extent to which the identified children are currently being served through other existing programs such as Head Start, Title I Even Start and community-based organizations, staff from the Migrant Education Program contacted



families and service providers, reviewed assessment and referral results, and conducted records reviews. **Exhibit 2** reveals that while 923 children are identified as being eligible to be served, only 4% of the children from birth to age three currently are actually receiving services.

**Exhibit 2: Total Number of Students Ages 0-7 Receiving Services**

<b>Migrant Program</b>	<b>Migrant Children Being Served by State/Local Site</b>							<b>Total</b>
	0-1	2	3	4	5	6	7	
<b>Site 1 Academy for Children</b>	0	0	7	11	8	0	0	26
<b>Site 2 Academy For Children</b>	0	0	9	8	9	0	0	10

While significant needs exist among very young children (ages 0-7 years), other needs related to poor housing, poverty, lack of English language proficiency, and illiteracy among adults were identified. Specifically the following prioritized concerns were cited:

- **needs due to poor housing** – The lack of affordable and adequate housing is especially acute among Hispanic migrant farm workers in this part of the state. This concern is further accounted for in a January 2002 publication entitled *A Report by the Council of Economic Advisers: Educational Attainment and Success in the New Economy: An Analysis of Challenges for Improving Hispanic Students' Achievement*. The report states, “The importance of improving educational outcomes for Hispanics is underscored by the increasing value of education in the labor [housing] market... a Hispanic college graduate earns 68%

more than a Hispanic male with no high school education, an earnings premium that has increased to 149% today”;

- **needs due to poverty** – Target School District shows that nearly 73.7% low-income families (based on Free and Reduced Public Lunch counts) live below the poverty level. The percentage statewide is roughly 12% while among migrant farm worker families; the rate is over 82.5% (Source1, 2002).
- **needs due to lack of English proficiency** – More than 85% of the state’s migrant students are also limited in English proficiency (Source 2, 2002). Furthermore, the state has been experiencing a sharp increase in the number of migrant students from multiple countries, each with their own unique cultures and histories.
- **needs due to illiteracy among adults** – While the Target School District completion rates are around 75% (Source 1 September 2002), the average completion rates for migrant students in the state is less than 64% (Source 3 Survey, 2002). The state’s Department of Social and Rehabilitation Services indicates that over 87% of indigent recipients have less than a 10<sup>th</sup> grade education level and are deficient in reading and math skills where they perform at the 4<sup>th</sup> grade level. These figures are comparable to the graduation rates of the Targeted demographic group (TDG) nationally. That is, the high school completion rate among all young TDG adults is only 63 percent – compared with 88 percent for other American demographic groups. The proportion of the Targeted group who graduate from four year colleges is less than half that of this demographic group (A Report by the Council of Economic Advisers, June 2000).

**(2) The extent to which the proposed project will focus on serving or otherwise addressing the need of disadvantaged individuals (i.e., eligible migratory agricultural or fishing families).**

Statistics show that only about 2.5% of migrant children in the state from birth to age three receive services, demonstrating that a strategic gap exists between the “have and the have nots.” This gap, coupled with the other needs identified across the state for coordinated services in adult literacy, support services, and parenting education, call for an effective integrated program that includes direct services, professional development and collaboration among local service providers.

After reviewing the data emerging from the Target population’s needs assessment, the planning committee members unanimously agreed on the focus of the MEES FBCO1’s mission statement:

*“To develop a community of support and services that benefits young migrant children and family members resulting in increased literacy and learning through shared resources, face-to-face and technology-based communications, collaborations, and professional development and networking with community agencies.”*

FBCO1’s project is clearly designed to serve the needs of the most disadvantaged individuals in the empowerment zone; that is, impoverished, mobile migrant children and their families with significant literacy needs. As discussed in the previous section entitled **Need for the Project (b)(i)**, this project will serve eligible migrant children from birth through age seven and their parents in two sites who: 1) come from low income and disadvantaged families; 2) are eligible for free and reduced public lunches; 3) are limited in English proficiency; 4) are highly mobile; 5) have not completed high school

or its equivalent; 6) have low literacy skills; and 7) whose housing is inadequate and/or disproportionate to their incomes.

The needs of this population will be addressed through a family-centered continuum of services focusing on individual needs as articulated in a Family Service Plan (FSP) (see Appendix A for a FSP form). By working individually with each family member to develop services, FBCO1 acknowledges that “one –size-does-not-fit-all.” However, in designing services unique to each migrant family, support structures must be in place to organize and coordinate supports that includes time spent on connecting families with new services and existing local and state resources. FBCO1 will serve as the connecting avenue between each of the two project sites, the Department of Education and local/state/regional resource agencies and personnel as described in the next section.

**(3) The extent to which specific gaps or weaknesses in services, infrastructure, or opportunities have been identified and will be addressed by the proposed project, including the nature and magnitude of those gaps or weaknesses.**

The project is designed specifically – based on identified needs and the extensive planning that occurred in spring 2002 – to bridge gaps in: 1) **services** by offering integrated and coordinated year round home-based and center-based services to children from birth through age seven but with a primary emphasis on migrant parents and their children from birth to age three who have been identified as having the greatest educational, literacy and social needs. Highly effective and scientifically research-based curriculum and assessments, along with high quality support materials, will be a key feature of the service delivery; 2) **structures** to link migrant educators via technology, face-to-face contact/direct services and resource sharing; and, 3) **opportunities** for learner-centered and family-centered instruction, services, and resources that emphasize

goal setting and self-monitoring of individualized Family Service Plans (FSPs) in collaboration with peer and migrant education staff.

The gaps in services existing for early childhood development for the children and their parents will be bridged through a MEES project that leverages resources through:

- the establishment/implementation of KSTAR’s home-based visitor education program for families with children from birth through age three;
- the development and implementation of two home-based and center-based early childhood education centers that utilize sound beliefs of learning that are grounded upon scientifically research-based principles;
- networking two migrant education local operating sites through a laptop-based e-mail bulletin board communication system and web page designed to foster discussion about migrant issues affecting young children and their parents; ensuring access to educational opportunities, evaluation of project implementation and outcomes, resources for families and teachers, curriculum and instruction; sharing effective strategies for identification and recruitment of families; and, promoting strong home/school/community partnerships;
- a network of support services for parents (including teenage parents and children) at both sites such as parent information nights, parent-child playgroups, developmental screens, toy lending libraries, book and media lending libraries, and “kindergarten transition bridges;”
- an annual two-day professional development and resource sharing institute where the two local MEES projects “showcase” effective practices and processes, participate in focus groups on gaps or weaknesses in services, infrastructure, and opportunities, and

discuss ways to overcome barriers to the effective delivery of services to Migrant Education Even Start families in the Target area;

- a system for contacting, contracting, and referring MEES parents in two distinct communities to local adult literacy service providers for adult basis education (ABE), adult general education (AGE), general equivalency diploma (GED), and English As A Second Language (ESL) based on individual Family Service Plans (FSPs) developed collaboratively by parents and project staff;
- a partnership with Dr. G, a nationally renowned earlier childhood educator and trainer. She will conduct professional development workshops for project staff and community members that will enhance the curriculum and provide strategies for children exposed to stress and violence at young ages; and,
- a system for the identification/recruitment and access of community resources to meet family needs. In preparation for implementation of this project, the two sites have developed a preliminary list of potential local Even Start collaborators at each site. This list will be further developed and contacts completed upon award of the grant. Examples of identified collaborators include mental health programs, universities and community colleges, libraries, immigrant/refugee agencies, social service agencies Head Start, Title I and migrant education programs, hospitals and health care centers, daycare centers and preschools, Child Net, and Workforce Investment Act programs.

**(c) Quality of the Project Design (20 points)**

**(1) The extent of to which the design of the proposed project is appropriate to, and will successfully address, the needs of the Target population or other identified needs.**

FBCO1 responds to the family support and educational literacy/learning needs assessed in **Section (b) Need for Project** stemming from poverty, lack of English proficiency, lack of instructional services, expensive but inadequate/inappropriate housing and illiteracy among migrant adults. The project's purpose is to respond to those needs and support parents as the first and foremost educators to their children. This will be accomplished through the provisions of parenting education programming, implementing developmentally appropriate outcomes-based NAEYE early childhood education services and curriculum, conducting resource identification, conducting professional development, and collaborating with others to support adult literacy/learning. These areas are featured prominently in the project's design and serve as the basis in developing the objectives and activities for this proposal.

The project planners designed this model using proven instructional practices, innovative technology, effective and appropriate curriculum Targeted to individual needs, and flexible scheduling to adhere to family schedules in both home and center-based settings. The project's objectives are responsive to the high mobility of migrant families and the alarming needs identified in the previous section.

The following objectives address the needs through seven MEES project priorities: 1) adult literacy/education; 2) early childhood education; 3) parenting education; 4) parent/child activities; 5) professional development opportunities that will promote effective literacy instruction; 6) collaborative partnership building; and 7) dissemination of effective practices, processes and products that will be described in Section (c)(3).

***OBJECTIVE 1: Adult Literacy/Education – With the annual completion of the project and each year thereafter, family members – particularly parents – will make one year’s progress toward meeting the FSP literacy goals developed jointly by each family and project staff. Significant progress will be assessed by pre-post measures on such measures as the Test of Adult Basic Education (TABE), average or above scores on axiom-based surveys, attitude questionnaires and performance samples.***

**Activities:** During an initial data gathering and identification and assessment (ID&R) home visit, parents and project staff home visitors will complete Certificates of Eligibility (COEs). For eligible families, home visitors and parents will jointly develop a tailored Family Service Plan (FSP). Parents will consider personal literacy goals, (i.e. attainment of a high school diploma/GED, completion of courses in ESL) and a draft plan will be generated and resources identified to assist with implementation.

Parents will receive support in literacy/learning that is provided by project staff and based on their individual needs. Therefore, local MEES staff will serve as the parent’s adult literacy coach by: 1) providing instruction during bi-monthly home visits and during center-based MEES events; 2) sharing resources and literacy materials; 3) connecting parents with others who have similar literacy needs to serve as a study group/support system; 4) connecting parent with community-based classes and courses of study, identifying and monitoring progress by conducting informal assessments; and, 5) maintaining anecdotal records and conducting pre-post achievement tests. The tailored FSPs will be updated after each visit where expected products and outcomes include: 1) the acquisition of specific literacy skills; 2) the accomplishment of individual learning



goals; 3) improved quality of life through positive attitude changes about the value of education; 4) the acquisition of endorsements or certificates of mastery, diplomas, citizenship, drivers license, high school or GED, and vocational licenses; and, 5) increased employability and the attainment of employment and career goals.

***OBJECTIVE 2: Early Childhood Education*** – *With the annual completion of the project and each year thereafter, MEES children will make one year’s progress toward learning/literacy goals as identified in the FSP based on pre-post measures based upon such testing through the Ages and Stages Questionnaires: A Parent-Completed Child-Monitoring system, developmental checklists and satisfactory achievement on rubric-scored performance samples.*

**Activities:** During an initial data gathering, identification and assessment (ID&R) home visit, parents and consortium staff will complete Certificates of Eligibility (if not already completed). For eligible families, home visitors and parents will jointly develop a tailored Family Service Plan (FSP) containing an early childhood literacy component. Parents will be encouraged to consider goals for their child’s literacy (i.e., English language development, motor, social, emotional and cognitive development, pre-reading skills, socialization, etc.). A plan will be drafted and resources and supports identified.

Children will be provided assistance based on individualized needs. Project staff will serve as the child’s literacy coach providing instruction during home visits, identifying resources and sharing developmentally appropriate materials. In addition, staff will connect children to other early childhood services (including Title I, Head Start and Title I Even Start) and connect parents with other parents whose children have similar literacy

needs. Monitoring progress through developmental skill checklists and informal assessments, anecdotal records, and pre/post tests will be done. Tailored FSPs will be updated immediately after each visit. The products and outcomes include: 1) increased developmental progress in cognitive, social, emotional, and physical skills development; 2) increased developmental progress in problem solving and critical-thinking, working cooperatively with peers and adults, and social skills to better prepare children to be lifelong learners; 3) increased developmental progress in oral language to improve reading readiness skills; and, 4) increased child knowledge about themselves, their families, communities, cultures, and the differing regions around them.

***OBJECTIVES 3 & 4: Parenting, Education and Parent/Child Activities – With the annual completion of the project and each year thereafter, families will achieve 90% of the parenting and parent/child interaction goals as listed on Family Service Plans. Literacy logs, literacy behavior implementation checklists, observation matrices, surveys and anecdotal records on parenting skills and parent/child activities, will measure goal attainment.***

**Activities:** During an initial data gathering and identification and assessment (ID&R) home visit, parents and home visitors will complete Certificates of Eligibility (if not already completed). For eligible families, home visitors, and parents will jointly develop a tailored FSP to include information and goals for parenting education and parent/child interaction time resulting in a draft plan with identified resources. Parents will record parenting and parent/child interaction goals for literacy (i.e., spending a minimum of 30

minutes daily reading with their child, developing learning strategies for observing their child's learning needs).

Project staff will model literacy during bi-monthly home visits and during center-based services. In addition, they will identify materials, share effective research-based practices in literacy that parents can do with their child, conduct observations, complete anecdotal records after visits, and conduct pre/post surveys on family literacy engagement. Tailored FSPs will be updated after each visit. The specific products and outcomes include: 1) increased educational expectations for both parents and their children; 2) increased interactions between the child and parents in structured, meaningful activities; 3) improved parental skills to engage children; 4) better decisions made by parents about discipline, behavior management, family problem solving, and supporting learning and literacy; and, 5) increased home/school/community communications that are initiated by parents with school personnel and a clear understanding of their children's instructional program and goals;

***OBJECTIVE 5: Professional Development – With the annual completion of the project and each year thereafter, project staff will be better prepared to facilitate instruction/activities that promote child/adult/family literacy/ Success will be measured by achievement of 90% of Professional Development Plan (PDP) goals, an overall rating of at least 3.5 (out of 5.0) on a Likert-type questionnaire on staff and professional development preparation and documentation of positive staff development effectiveness trends.***

**Activities:** During the fourth week of the project, staff will develop/update a Professional Development Plan (PDP that contains personalized goals for professional growth (i.e., visiting projects with documented effective techniques, mastering online communication techniques) and identify resources to support the PDP objectives. A MEES Project Coordinator will obtain resources to address professional development needs (i.e., arranging site visits, observing staff during home visits and making suggestions on how to improve interaction with parents or children, modeling effective family literacy skills, and providing technical assistance on identified topics. The project coordinator and other project staff will meet collectively each quarter to review PDPs, reflect on progress toward meeting the professional development goals and discuss ways to enhance staff abilities to meet individual family literacy and learning needs. The products and outcomes include: 1) increased facilitation skills on teaching and learning that will improve the educational opportunities of migrant families through a comprehensive, unified family literacy program (one that integrates early childhood education, adult literacy or adult basic education, and parenting education); 2) identified new career paths and/or skills; 3) increased identified resources to benefit migrant families; 4) changes to educators' expectations about parents' abilities to work with their children, and, 5) a different approach to the nature of questions staff ask of parents/children and the means for parents and educators to collaborate that overcomes barriers to literacy and learning.

**OBJECTIVE 6:** Collaborative Partnerships for Resource Management – With completion of year one of the project and each year thereafter, collaborative partnerships will be established and updated as needed to expand and enhance the services to Migrant Education Even Start families. Attainment will be measured through contact logs, implementation checklists, anecdotal records, staff surveys, focus groups, and an end-of-year data reporting form. See appendix for sample checklist, logs, etc.

**Activities:** Project staff will contact collaborative partners, share the project abstract, objectives, and strategies for accomplishing the objectives and convene a meeting of the Family Literacy Steering Team (FLST). This steering team, where parents will assist in the leadership, will support and guide the project to obtain and maximize resources, identify support systems for families to meet Family Service Plan (FSPs) objectives and disseminate effective practices. Following this activity, the FLST will review progress in meeting objectives, update project staff and resource partners on developments/resources, and share information on ways to support family literacy/learning. Project staff will collaborate with the partners indicated on the forms and initiate new collaborative arrangements based on the needs identified by project families. The products and outcomes include: 1) increased resource networking that improves educational opportunities and support services for migrant families; 2) improved quality of services to migrant families as a result of guidance/technical assistance provided by FLST members; 3) improved communication and collaboration systems among project participants; and 4) improved professional development opportunities resulting from dynamic interactions with university, business, community, education and agribusiness partners.

FBCO1's project design denotes the identification and recruitment, screening, and preparation of parents and children, the provision of direct services to those most in need, the provision of high quality instructional programming, a service delivery design that accommodates participants' schedules, special training for project staff, integrated instructional services, operation of the project on a year-round basis, coordination with other programs and the securing of an external independent evaluation. Each component reflects the belief that literacy is a highly personable and interactive process involving families, educators, and other community resources through: 1) the development of early childhood education programming that provides a continuum of services for children and families; 2) meaningful professional staff development and parental involvement including home/school/community partnerships critical to the development of instructional literacy and promoting a lifelong desire to read and write in their native languages as well as in English; 3) broad-based community collaborations essential to developing literacy and life-long learning; 4) an accentuation on accountability, systemic capacity building, that are replicable to other sites interested in promoting family literacy; and, 5) the inclusion of all families including "difficult to reach" highly mobile migrant families who are most at risk of not meeting state/local standards for literacy and language development.

**Identification and Recruitment (ID&R):** Families will be recruited following the federal and state of XY requirements for identification and enrollment on Certificates of Eligibility (COEs). Additional emphasis will be placed on identifying eligible families, most in need of services, who have children under the age of five because current identification and recruitment efforts across the state have traditionally focused on

families with school-aged children. Eligible migrant families will be served on a “greatest-need basis” with each home-based instructor/visitor serving **20** families and a Targeted number of **40 students** for center-based instruction. The retention of families may not be possible due to migrant lifestyles and the need to pursue employment. However, through weekly home contact, monthly monitoring/follow-up, and the exchange of records through participation in a statewide migrant education student database, every effort will be made for retention. FBCO1 presently has a database for follow-up of families to exchange health and education records and prepare receiving sites with information about student and family educational goals and accomplishments. FBCO1 staff are well aware that ID&R is crucial for ensuring that migrant families have access to needed MEES services. FBCO1 will utilize each Migrant Education Recruiter at the center as an in-kind staff person who has specific responsibilities for ID&R, annual professional development on ID&R, and discussion groups at the annual statewide conference that focus on ways to enhance the ID&R processes. In addition, identification and recruitment will be facilitated through: 1) consulting with officials administering federal and state programs within the Target school system (i.e., Title I Even Start, and Head Start); 2) disseminating information that includes brochures and flyers in both English and Spanish; 3) primary language usage (Spanish) at locations migrant workers frequent; 4) locating and maintaining current lists of migrant housing areas throughout the state; 5) making media and public service announcements in English and Spanish.

**Screening/Preparation of Parents and Children and MEES Services to Those Most in Need:** Screening parents (including young teenage parents and children) will occur during the initial home visit upon determination of eligibility based on migrancy

status and having a child (or expecting a child) from birth through age seven. These screenings will occur using: 1) informal oral interviews to assess English language proficiency; and, 2) the Test of Adult Basic Education (TABE) or another educational measure to assess the educational level of each participating parent. Screening of children will also occur through existing anecdotal information, development checklists, documented home visitor and teacher observation, and the assessment of development skills using the *Ages and Stages Questionnaire: A Parent Completed Child Monitoring System* and the use of recommended strategies as outlined with NAEYC.

Once information about family educational needs and strengths is collected from parents and assessments are made to determine parent and child learning strengths and areas for improvement, a tailored FSP will be generated. Families will then be assigned a rank based on greatest need –high need or low need. Individuals will be selected based on having the greatest need for educational services and being at greatest risk of not meeting the state’s content and student performance outcomes. To prepare families to fully participate in the project, referrals will be made to local and county agencies for health services, counseling, assessment, and other support services.

**High Quality Instructional Program:** FBCO1’s project design features parenting education and developmentally appropriate standards-based curriculum for children utilizing KSTAR’s program –a model utilizing principles meeting the standards set by the Federal government regarding scientifically researched-based principles.

KSTAR, Inc. is a private, non-profit organization that has achieved national recognition for its family support and education programs for most-in-need and hard-to-reach families. A foundation funded evaluation found that mothers who completed the 9



month KSTAR Parent and Child Education program had more nurturing attitudes towards their children, an enhanced view of self as their child's teacher, increased parental knowledge and skills, and increased knowledge and use of community resources. A 17-year follow-up study found that 94% of children who attended KSTAR program completed high school, received their GED, or were still attending high school, and 43% were attending college. Although 91% of mothers had dropped out of school when they began the program, 57% returned to complete their GED and 64% of them attended a college or technical program after completing the KSTAR program.

KSTAR is relatively inexpensive and its curriculum is appropriate for any expecting family or family with a child from birth to age three. KSTAR's programming sets the trusses for later scaffolded learning and academic success by providing: 1) parent/child play groups to interact with other parents and children; 2) annual developmental screens for early detection of learning problems; 3) materials/information on parenting, early childhood development, and educational activities; 4) home visits where an age-appropriate activity is conducted with parents and children; and, 5) group meetings on topics of interest to parents.

The benefits of this featured instructional program include: 1) parents encouraged and respected in their role as the primary influence in their children's growth and development; 2) children engaged in age-appropriate activities to foster development; 3) parents receiving information on child development and suggestions for ways to stimulate and foster children's learning; and, 4) children's potential learning problems are detected early for a quick resolution.

To supplement KSTAR, parents will receive or may access a wide range of educational support services including English as a second language (ESL) and General Equivalency Diploma (GED) preparation materials, alternative schooling through distance learning, and monthly informal parenting classes provided by the project that deal with topics such as increasing self esteem, positive discipline, reading to your child, and nutrition. In addition, project participants have ongoing access to other MEP staff including health clerks, social workers, tutors, and certified teaching staff to work with them as needed. All these services will be offered through the project's efforts.

**Service Delivery Design that Accommodates Participants' Schedules:** The experience of the project staff in working with migrant populations has shown that the service delivery design must be flexible to accommodate participants' work schedules and other responsibilities or else they are unable to access educational opportunities – regardless of how well designed they may be.

FBCO1's project design speaks to scheduling and locating services in the home and in the community where families live and work. Flexible scheduling will occur throughout the day, and on the weekends (as needed) to allow for ongoing participation by parents and children. Transportation and childcare will serve as two important support components to facilitate participation in project activities. Transportation will be provided, as needed, by LEASECO that may include mileage reimbursement and/or bus passes. Childcare will be provided at all times by local site staff as an inkind contribution.

**Special Training of Staff:** Professional development may prove to be our greatest investment of resources with the project's implementation. A well-prepared staff needs a

strong understanding of the underlying principles of MEES, the issues in migrant education for children and adults and knowledge of content and pedagogy. Therefore, specialized training of project staff will utilize “best practices” that combine technology and more traditional practices to ensure that staff are true facilitators of learning who help guide MEES families toward the accomplishments of their tailored FSP goals. Professional development has been tagged as one of the five objectives of the project. Furthermore, the methods and materials that will be used for professional development are discussed later in this proposal.

**Integrated Instructional Services:** This integrated instructional service project includes attributes as: adult literacy (through parent participation in GED, ESL, ABE, AGE and computer literacy); parent education; parent/child together time; and early childhood education.

The adult literacy/education component goals will focus on improving skills in reading, writing, technology, or English proficiency through individual and focus group activities in home-based settings in bi-weekly meetings provided by project staff. Referrals to community agencies will augment adult literacy service and support parents by follow-up, monitoring, and resource contact/collaboration. When several parents have similar needs, classes will be formed and offered in a community setting. The adult literacy curriculum (as identified in the tailored FSP) will include traditional- and computer-supported GED preparation materials (i.e., FBCO1’s Assessment of Academic Skills and GED preparatory coursework to meet graduation requirements, the GED prep materials); ESL coursework and computer-assisted instruction (i.e., keyboarding and Internet access materials).

**Parent And Child Together Time (PACTT):** PACTT is an important aspect to engage families in literacy activities. This component of the project will include home- and center-based groups and individual activities that address: 1) family issues; 2) child growth/development; 3) life skills and resources for parents; 4) language development; 5) pre-literacy activities; and, 6) field trips and excursions to promote language and literacy. PACTT will assist families to focus on the relationship/interaction between parents and children. Goals for this aspect of the project, like all others, are identified in the tailored FSP.

**Early Childhood Education (EDE):** The EDE component is home-based with visits designed to be made three days a week and center-based for five days a week year round. ECE will occur in a natural setting in which project model literacy activities with the child for the parent to practice later with the child. The KSTAR curriculum will utilize instructional materials, appropriate child development oriented manipulatives, computer software (delivered via project laptops) and educational literacy “kits” assembled by staff. Language development will encourage adult-to-child and child-to-child interaction; children and their parents reading books together; and children reciting nursery rhymes, performing finger plays and singing songs. Two center-based programs will be established using the standards set forth by NAEYC, the National Association for the Education of Young Children. Children are assured likely success because the standards are high quality, meet rigorous research-based standards and are developmentally appropriate.

**Operation on a Year-round Basis:** All project instruction will begin October 2002 and run on a year-round basis for the four-year duration of the project with a completion

date of August 2006. A total of 500 instructional hours per home, visitor will be provided by staff, which includes adult literacy, reading and parent/child together time, and early childhood education. Services will be provided through KSTAR home liaisons/visitors and sessions with parents and children in MEES centers. Center-based programs will operate each day for a total of 250 days with no less than 2.5 hours per day. Referrals to community-based organizations, institutions of higher education, and other agencies providing services to improve educational opportunities for migrant families will more than double the number of contact hours.

**Coordination With Others Programs:** The greatest hope the project's success lies in its ability to coordinate with other programs to maximize resources to meet the needs of Target population. These coordinating efforts include human resources, agency/advocate resources and material resources that others will bring to the table. The means to lever resources requires a clear understanding of the mission of each agency, identification of the strengths/resources that others will brings, open and regular communication and the exploration of ways to work together to improve the educational opportunities of migrant families.

In order to be successful, collaboration and coordination with other programs cannot be left to chance. It must be systemically planned and maintained. FBCO1 will have systems in place to initiate and document coordination efforts. **(See section (f) Quality of the evaluation.)** A Family Literacy Steering Team (consisting of FBCO1's Director which is provided as an inkind contribution), the Project Coordinator, parents, Dr. G (consultant), the External Evaluator Dr. Z , the state Director of Migrant Education and a representative from each of the two sites will meet (bi-weekly as a whole and quarterly at

each site) to review project implementation; discuss successes and barriers to success; determine ways to overcome that barriers; and, focus coordination efforts to achieve optimal project outcomes.

Each project will continue to coordinate on behalf of MEES families with other program areas such as Title I Even Start, Title III English Language Acquisition, Title I Migrant; Individuals with Disabilities Act, Adult Education Act, the WIC, and volunteer literacy programs.

**External Independent Evaluation:** An external independent evaluation of FBCO1's project will be lead by Dr. Z and associations of CONSULTANTSCO whose staff have extensive experience in conducting external evaluations of federal projects such as Migrant Even Start projects. The evaluation is further described in detail in **Section (f)**

#### **Quality of the Project Evaluation.**

**(2) The extent to which the project is designed to build capacity and yield results that will extend beyond the period of Federal financial assistance.**

FBCO1 project staff are committed to capacity building that results in the improvement of the educational opportunities for migrant families. This commitment will be realized through the integration of early childhood education, adult literacy/adult basic education, and parenting education. We intend to extend the influence of this project by building the capacity of educators within and outside of the Target area through extensive dissemination efforts.

To build capacity and yield results that extend beyond the funding period of the grant, three essential components exist; 1) an effective professional development model that requires educators to be responsible for setting goals and objectives for their own learning (**See section (d)(ii) Quality of Project Design for a complete description**); 2)

strategies for MEES program planning, implementation, and evaluation; and 3) finally, a dissemination network of information/processes for replication.

The dissemination of project findings will be both through traditional print means and innovative technology-based means involving the use of telecommunications. FBCO1's project is the perfect MEES model demonstration project candidate because we have routinely planned for the effective dissemination of information between the two designated sites. Furthermore, strategic planning will occur on how to best communicate information to multiple constituencies and create effective ways to document continuous planning and improvement efforts. Project participants will disseminate information through multiple technology-based and face-to-face communication channels such as the bi-annual MEES site coordinators' meeting with other state MEES projects and weekly email updates. Dissemination information will include:

- developing and posting information at least monthly on the project website and installing web-links to the websites and other significant sites that contain resources for accomplishing the objectives of the project;
- establishing electronic journal and collaboration documentation;
- preparing a dissemination toolkit with DVD/CD-ROM video clips of project activities, transparencies, for promotional presentations, fliers, sample press releases, promotional postcards, signs for meetings and workshops and a public service announcement (PSA) title card;
- developing print and DVD versions of the projects implementation handbook to serve as a dissemination vehicle for effective and promising MEES practices;

- connecting with other statewide and national dissemination networks such as the Excellence in Education Conference, NATIONAL Consortium meetings, ERIC, and technology-based online user's groups;
- preparing a power-point presentation suitable for delivery to audiences at state, regional, and national meetings;
- preparing orientation information and briefing packets that include a project brochure containing contact information; and,
- implementing, and replicating information for distribution to other interested sites; and,
- sharing information at required U.S. Department of Education meetings.

**(3) The extent to which the proposed project will establish linkages with other appropriate agencies and organizations providing services to the Target population.**

The project's design is configured upon a solid foundation of identified needs with six project objectives and their accompanying activities designed to meet those needs. Accountability through systems for data and reporting and evaluation were developed to support this design cycle, as were systems for linkages with appropriate agencies and organizations providing services to migrant families with children from birth through age seven.

FBCO1's project builds on existing projects and activities, particularly federally funded Even Start and Migrant Education Even Start projects, Head Start projects, the state's school reform initiatives, partnerships with agricultural employers and meat processing plants and community-based organizations by:



- sharing lists with other local operating agencies of families who are eligible to participate to avoid duplication and ensure that needs are met;
- involving collaborators that work with two project sites on the Family Literacy Steering Team (FLST) and involving project staff, in turn, on steering committees for other community-based organizations and projects serving migrant farm workers and their families; and,
- creating a joint plan within one month of the grant award for identifying families, collaborating for program success, and disseminating information about the existing literacy/learning programs. Therefore, this plan will help families know how to access resources, who to contact, and where to go for assistance.

**(d) Quality of Project Services (15 points)**

**The Assistant Secretary considers the quality of the services to be provided by the proposed project. In determining the quality of the services to be provided by the proposed project, the Assistant 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. In addition, the Assistant Secretary considers the following factors: (1) The extent to which the services to be provided by the proposed project reflect up-to-date knowledge from scientifically based research and effective practice.**

Traditionally, underrepresented populations include highly mobile migrant families that demonstrate literacy, educational, housing, medical/dental, and social services needs. These debilitating aspects clearly present barriers for migrant families from participating in meaningful and progressive family literacy programs. The added difficulties imposed by their work schedules and the unpredictability of obtaining agriculture-related jobs exacerbate these concerns.

To combat the inequities caused by traditional under representation, FBCO1 and its collaborating partners have thoughtfully designed strategies to enable eligible migrant families to fully participate in the project. Specific strategies are to:

- conduct identification and recruitment efforts that focus on services to migrant families from birth through age seven. Only about 4% of the eligible migrant infants and children from birth to age three have been served as ID&R efforts have not traditionally focused on this population);
- conduct ID&R outreach awareness campaigns through the distribution of printed materials and work completed from officials in the center, schools, community-based organizations, local/state government agencies, community colleges, and agri-businesses where parents typically work;
- include migrant parent representatives in all phases of the planning, implementation, and evaluation of the project. Parent representatives will participate fully on Family Literacy Steering Team (FLST) and the Technical Assistance Panel (TAP). These mechanisms will serve to monitor and ensure that project's goals/objectives are being implemented and create equal access in project implementation decision making;
- record parent comments/feedback on the effectiveness of the project through the use of parent surveys, questionnaires, interviews, and focus groups that elicit feedback comments on project successes, areas needing improvement, and the impact on the literacy and learning of project participants; and,

- form collaborating networks with agri-businesses, meat processing plants, and local communities to coordinate and integrate resources that support English literacy for migrant families.

Each of the two sites will have equal access procedures on file. In addition, the Target School District Board of Education has written policies stating that no individual shall be denied access to any program, be denied benefits of any activity or program, or subjected to discrimination on the basis of race, color, gender, national origin, age, or disabling condition. Participants will be identified for the project using systematic family selection procedures, approved by the project planners. These strategies for participation will be viewed by the FLST annually and revised, as appropriate.

**(2) The extent to which the training or professional development services to be provided by the proposed project are sufficient quality, intensity and duration to lead to improvements in practice among the recipients of those services.**

The professional development aspects utilized by the project are of sufficient quality, intensity and duration and will be accomplished efficiently and in a cost-effective manner through: 1) relying on technology to promote equity in access; 2) increasing communication through a technology network that connects staff-to-staff, administrators-to-administrators, parents-to-parents and learners-to-learning resource materials; 3) promoting Professional Development Plans (PDPs) for project staff that are reflective and aligned with the goals/objectives of the project, as well as addressing individual staff priorities and needs and allowing for staff to practice the new learned skills; 4) developing collaborative networks of learners including MEES and other Even Start staff, community members, and the Project Coordinator; and, 5) systematically documenting and critically evaluating processes, products, events and activities.

Staff will be linked via an e-mail bulletin board communication system and a website in order to: 1) facilitate informal communication about student and family issues and concerns; 2) share effective instructional practices and discuss curriculum and materials; 3) communicate formally through a weekly exchange of information and files; 4) seek professional education partners in other projects throughout the U.S.; and, 5) participate in electronic professional development video and live interactive television. In addition, project staff will access curriculum and state/national content standards, explore the Internet as a source of information to support learning and conduct research related to project components including early childhood education, adult literacy and education, parenting education, parent/child interaction, and collaborative partnerships.

The website will also provide a means for informing communities about opportunities for involvement through advocacy, financial support, and serving as role models and learning guides. Printed materials will contain information about accessing the website.

**(3) The likelihood that the services to be provided by the proposed project will lead to improvements in the achievement of students as measured against rigorous academic standards.**

FBCO1, a not-for-profit community center, in collaboration with the Target School District, has assembled a cadre of experience and expert professionals in managing migrant education programs and Migrant Education Even Start projects. The Target School District has contracted for years to have ORGANIZATION Q conduct ID and R activities and provide direct services to school-aged migrant youth and their families. They are experienced in working with interstate and intrastate migrant families, have spent much time concerned about the achievement of students in relation to each state's rigorous content standards and know many national, state and local resources.

Key personnel include Dr. B (Department of Education); Ms. EXPERT 2, Director of the ORGANIZATION R; Ms. EXPERT 1, the ID& R Coordinator for ORGANIZATION Q, the state Migrant Center director for the state XY and the Community Articulation Area director Dr. EXPERT 3; Dr. Expert 4, Program Director for KSTAR; and Dr. Z both will be responsible for: 1) professional development activities; 2) the implementation of the KSTAR home visitor model; 3) the implementation of project goals and objectives; 4) overseeing the collaboration to allocate resources to meet family learning and literacy needs; and, 5) develop coordinating efforts with the state department representatives and MEES sites); and, Dr. Z (External Evaluator) will also assist with implementing different project components –specifically in the area of project evaluations and reporting accountability results.

This team will ensure that all project personnel participate meaningfully in professional development that is centered on the assessed needs as documented on their individualized Professional Development Plans (PDPs). Project staff will receive professional development Targeted to their own local site’s documented needs.

Under the general oversight of the FBCO1 project director and the Target School District and with other staff experienced in operating Migrant Education Even Start Projects, Title I Basic Even Start Projects, and Migrant Education Programs, FBCO1 will provide program and fiscal management of the grant project.

The resumes for key project personnel are found in Appendix B.

**(e) Quality of Project Personnel (10 points)**

**The Assistant Secretary considers the quality of the personnel who will carry out the proposed project. In determining the quality of project personnel, the Assistant 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. In addition, the Assistant Secretary considers the qualifications, including relevant training and experience of key project personnel.**

FBCO1 and its collaborating partners are committed to employment practices that are equitable. As such, we employ a number of safeguards including a statement that is included on all job announcements and application forms that says: “As an equal opportunity employer, we comply fully with state federal equal employment opportunity employer, we comply fully with state and federal equal employment opportunity laws. Qualified applicants are considered for all positions without regard to race, color, religion, sex, age, national origin, marital status, or presence of a handicapping condition.” FBCO1 and other key players will adhere to the fullest extent to the Equal Opportunity Provisions of the Federal Civil Rights Law and Regulations. FBCO1 acknowledges the dignity of all people and their labors, and recognize that it is both culturally and educationally sound to have persons of diverse backgrounds and abilities as members of our staff.

This project will assemble an impressive staff that possesses a unique blend of professional training, expertise, and experience directly related to research and innovations to improve services and results for MEES children and their families. One part-time, inkind Project Director will be secured to oversee project activities. The Project Director is responsible for: overseeing project implementation; securing and evaluating staff, monitoring project activities on a daily basis; reporting to the project’s Board of Directors; monitoring project timelines, goals, objectives, and activities; serving as a member of the Technical Assistance Panel; and completing required projects reports.

The Project Director will serve in this capacity and will oversee general operations of the entire center as well. Having an extensive background in serving diverse families by establishing programs and services while also managing comprehensive center activities allows her to bring a wealth of skills and proficiencies aligned with guiding this project. Being bilingual the project director will be able to communicate directly with and relate well with the Target population. Her experience in the field will enable her to ensure that project goals and objectives will be successfully completed. She has considerable experience and training in the administration of federal and state projects; program and fiscal management; implementation of inclusive practices, systemic education reform in both rural and urban schools, and the implementation of standards-based education emphasizing intervention services for students at-risk. See resume in the Appendices.

One full time Project Coordinator will be secured for the project. The individual to fill this position is yet to be hired. The Project Coordinator will assist sites in conducting needs assessments and activities, which lead to the full implementation of the goals, objectives and activities of this proposal; assist in interpreting policy concerning MEES curriculum and standards; provide guidance and leadership regarding agency collaborations, securing staff and monitoring the daily operation of the project; conduct and assist professional development activities; collect analyze, and interpret student performance data for federal, state and local program data collection and assist with the dissemination of project findings. The qualifications for the Project Coordinator are that they must possess a minimum of a bachelor's degree in education or related field with an emphasis in early childhood education. In addition, they must be bilingual and have managed federal and or state programs and have experience in operation large projects.

Further details of their qualifications are listed in the Appendices where a specific job description exists for this person.

Two full-time home-based instructors will be secured to implement the KSTAR program. One instructor will be assigned to SITE 1 and the other to SITE 2. Each will be responsible for working with 20 families. Both will hold a minimum of a bachelor's degree or its equivalency in early childhood education or work towards the completion of a degree leading to their full endorsement in childhood education. Preference will be given to individuals who are bilingual and who have had previous experience in working with diverse families in a family literary program. Further details of their qualifications and job descriptions are also found in the Appendices.

Two fulltime paraprofessionals will be secured, one for each of the two sites. While individuals have not been selected for their positions, comprehensive qualifications for the positions are listed in the Appendices. Nevertheless, preference will be given to individuals who are traditionally under represented and who are capable of speaking, reading, and writing in multiple languages.

The Technology Specialist will train staff in the integration of technology into the curriculum; research up to date software for use in the curriculum; and develop electronic teacher and student portfolios and web-based FSP's. The Technology Specialist will hold at least a bachelor's degree and have experience in technology education. An extensive recruiting effort will be made to hire a professional with the required qualifications and skills that match the position. Mr. EXPERT 4, Computer Technician for the Dual Language Department at XY University will be secured to assist



with these activities. With a specialist degree from XY in Computer Science, Mr. EXPERT 4 brings valuable experience/expertise to the establishment and technical assistance of this project. Having over 7 years advanced training in computer software and internet he brings to this project strong qualifications.

The project is pleased to propose Dr. Z as External Evaluator. With 29 years in education, Dr. Z has considerable experience and training in the administration of federal and special education projects; program and fiscal management; implementation of inclusive schooling practices, systemic education reform in both rural and urban schools, and the implementation of standards-based education emphasizing intervention services for students at-risk of not meeting high standards. Moreover, he has served as an administrator for migrant education programs in 2 states for over 21 years. He has lead previous efforts in the development and implementation of MEES projects for the last 5 years. Dr. Z holds a doctorate in regular and special education administration; and 10 years experience as a district administrator, building administrator, director, special education, and supervisor in LD/BD/MR. He also has managed numerous federal and state grants, serves as an evaluator for seven Title III grants and is the only special education director in the state of XY with full endorsement in English as a Second Language.

FBCO1 is also pleased to secure Dr. EXPERT 5 as a program consultant. Dr. EXPERT 5 is presently the Director of the ESL/Dual Language Program. She received her doctorate in C&I/Educational Psychology with an emphasis in Bilingual/ESL Education from XYZ Tech and her masters in Multicultural Counseling (with and

emphasis in Bilingual Education) from ZXY State University. Dr EXPERT 5 is a nationally renowned speaker and author in bilingual education, ESL education, multicultural education and CLD student recruitment & retention. Her major teaching and research areas include: early childhood education, second language learning methods, English language learning assessments, linguistics, bilingual literacy development, and school/family partnerships in education. Dr. EXPERT 5's time will be spent with project staff by providing professional development related to the development and implementation of curriculum and how to effectively work with parents.

**(f) Adequacy of Resources (15 points)**

**The Assistant Secretary considers the adequacy of resources for the proposed project. In determining the adequacy of resources for the proposed project, the Assistant Secretary considers the following factors: (1) the relevance and demonstrated commitment of each partner in the proposed project to the implementation and success of the project; (2) The extent to which the costs are reasonable in relation to the objectives, design, and potential significance of the proposed project; (3) The potential for continues support of the project after Federal funding ends, including, as appropriate, the demonstrated commitment of appropriate entities to such support; (4) The extent to which the costs are reasonable in relation to the number of persons to be served and the anticipated results and benefits.**

The commitment of each partner is demonstrated by the substantial in-kind support for the project. **Appendix A** contains letters of support by collaborating members pledging staff time and material resources. Primary resources committed by partners include facilities, equipment and supplies, human resources and dissemination materials mechanisms as described in Section (e)(3) Adequacy of Resources.

The two sites are well equipped and poised to implement the objectives of the project. They contain meeting room space suitable for professional development activities, parent and community member meetings, staff team meetings, and materials development activities. In addition to these facilities, the sites contain an administration office,

classrooms in which space will support parent and child learning, educator and parent development, dissemination of information, and materials development.

Each consortium member has a mainframe, MS DOS and Apple Macintosh laptops, microcomputers, and Laser-Jet printers that may be used for word processing, desktop publishing, data management, statistical data analysis, and telecommunications. Many telephone lines and an electronic mail system and ERIC on-line systems are located in each building along with numerous fax machines. Using communications software and modems, most of the technology is in place to link all migrant projects, the Department of Education, consortium members, and other collaborating business and agri-business agencies. Available to assist in implementing project components are copy machines, laser disc interactive equipment, DVD equipment, and overhead projectors/screens.

Equipment is already secured for the production of family education and professional development materials that include: 1) copy machines for volume reproduction; 2) binding equipment; 3) lettering and laminating machines; 4) transparency makers; 5) photographic equipment; 6) video cameras and editors; and, 7) video playback equipment. These miscellaneous office supplies will be provided as an in-kind contribution to the FBC1 project.

Human resources committed through the project or in-kind by each partner include a site coordinator, a PAT home visitor, ID&R specialist, administrative staff, and resource specialists (i.e., counselors).

**(2) The extent to which the costs are reasonable in relation to the objectives, design, and potential significance of the project proposed.**

The costs to operate the project are extremely reasonable. The budget is based on the extensive objectives, design, and potential significance of the project due to: 1) the project is being built upon the successful aspects of other MEES projects to improve opportunities for migrant families; 2) the use of technology-based systems for communication, professional development, dissemination; 3) the high degree of planning that has occurred to build the capacity of MEES personnel; 4) the detailed attention given to planned disseminating efforts; 5) the reasonable costs of the KSTAR program and early childhood programs; and, 6) the generous in-kind contributions made by the Target School District.

**Exhibit 1** illustrates the extent to which the budget items are adequate to implement the project objectives. More than 50% of the federal grant budget goes toward personnel needed to provide direct services to MEES families. The remaining budget will go toward contractual services (34%), equipment and supplies combined (12%), and travel including meetings required by the U.S. Department Education for the purpose of coordination and evaluation (4%).

**Exhibit 1: Budget Adequacy Related to the Project Objectives**

<b>Objectives</b>	<b>Per.</b>	<b>Fr.</b>	<b>Tr.</b>	<b>Eq.</b>	<b>Su.</b>	<b>Con.</b>
<b>Objective 1:</b> <u>Adult Literacy/Education:</u>	10%	10%	30%	0%	5%	10%
<b>Objective 2:</b> <u>Parenting Education and Parent/Child Interaction</u>	20%	20%	20%	0%	10%	10%
<b>Objective 3:</b> <u>Early Childhood Education:</u>	50%	50%	30%	0%	70%	19%
<b>Objective 4:</b> <u>Collaborative Partnerships:</u>	10%	10%	5%	0%	5%	12%
<b>Objective 5:</b> <u>Professional Development:</u>	5%	5%	5%	0%	5%	48%
<b>Objective 6:</b> <u>Collaborative Partnerships for Resource Management:</u>	5%	5%	10%	0%	5%	1%
<b>Total Percent of Each Objective</b>	100%	100%	100%	0%	100%	100%
<b>Percent of Total budget Expenditures</b>	42%	8%	4%	0%	12%	34%

Per. = Personnel; Fr. = Fringe Benefits; Tr. = Travel; Eq. = Equipment; Su. = Supplies; Con. = Contractual

**(3) The potential for continued support of the project after Federal funding ends, including, as appropriate, the demonstrated commitment of appropriate entities to such support and (4) The extent to which costs are reasonable in relation to the number of persons to be served and the anticipated results benefits.**

Literally hundreds of contributors are committed to support the project, if funded.

**Appendix C** contains a detailed listing from each MEES partner and their contribution.

The federal funds requested for the project are considered “seed money” that will enable project planners to continue the project using the infrastructure established for the grant.

The state Department of Education, the Target School District, the FBCO1 project and its two local MEP sites have agreed to pursue other potential sources of funding such as other U.S. Department of Education initiatives, foundation funds and corporate support

#### **(g) Quality of Project Evaluation (20 points)**

**The Assistant Secretary considers the quality of the evaluation to be conducted if the proposed project. In determining the quality of the evaluation, the Assistant Secretary considers the following factors: (1) The extent to which the methods of evaluation provide for examining the effectiveness of project implementation strategies; (2) The extent to which the methods of evaluation will provide performance feedback and permit periodic assessment of progress toward achieving intended outcomes; (3) The extent to which the methods of evaluation are thorough, feasible, and appropriate to the goals, objectives, and outcomes of the proposed project; (4) The extent to which the methods of evaluation include the use of objective performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data to the extent possible; (5) The extent to which the evaluation will provide guidance about effective strategies suitable for replication or testing in other settings.**

FBCO1’s project evaluation plan is process and product oriented, practical and accountable. Overriding its evaluation process is the systemic and periodic assessment of progress toward achieving the outcomes through the collection of both implementation and performance data. The data collection is important for use in documenting the features of the project and for providing information to fine-tune it –even as it is being implemented. Therefore, implementation data will answer questions such as:

- *“How did community partnerships strengthen the project design?”*
- *“What attributes of the project contributed most to improving educational opportunities and services to support/accommodate the literacy and learning needs of children and their families?”*
- *“What collaborative strategies were most successful for community partners?”*
- *“What were the implementation barriers and how were they overcome?”*
- *“Which innovative supports and methods were key to the success of the project?”*

In concert with the implementation data, the collection of performance data is of equal importance. Examples of performance data includes: 1) parent/child test and assessment results; 2) increases in the percentages of parents who receive their GED or who are successfully employed; 3) successes of young children in acquiring developmental skills; and, 4) changes in how staff perceive the benefit and quality of services. Performance data questions are:

- *“Did children meet local/state outcomes at the expected rate through home-based and center-based programming?”*
- *“Did parents increase knowledge to support literacy and instruction in the home”*
- *“Were teachers able to apply student-centered principles correlated with MEES objectives?”*
- *“What percentages of parents and other family members met FEP goals?”*

While the above-stated questions serve as the basis for evaluating process and products, other questions provide summative performance information; that is: *1) How well did the three sites implement integrated early childhood education, adult literacy*

*and adult basic education, and parent education through a unified family literacy program?* A self-assessment inventory (Special Strategies for Educating Disadvantaged Children (1997), U.S. Department of Education) will be adapted and administered to determine preparedness to implement the project); 2) *How successful has the project been for promoting child and parent literacy, learning and achievement?* Assessment and test scores will be generated and compiled along with statistics regarding the completion of units and courses of study (i.e., alternative education, GED, ESL goals) to determine success. Focus groups will be conducted and data summarizing a trend analysis process. Furthermore, interaction logs will be tallied and the results analyzed to determine trends in communication and support for project implementation; 3) *How successful has the project been in providing support to migrant educators and families through the sharing of successful practices related to identification, recruitment and services to MEES families, instruction, and locating and sharing community resources to improve educational opportunities of migrant families?* Anecdotal information will be collected through focus groups that are summarized using a trend analysis process to determine success. In addition, interaction logs, tailored Family Service Plans (FSPs) and Professional Development Plans (PDPs) will reviewed and the results analyzed; 4) *How successful has the professional development component of the project been in increasing the ability to support the success of migrant families?* To ascertain success, information baseline and post-professional development effectiveness rubrics anchored to the National Standards for Staff Development will be used (National Staff Development Council, 2002) and Professional Development Plans (PDPs) will reviewed and the results analyzed to determine trends and successes; 5) *How successful has the project been as a*

*model of support for promoting and disseminating family literacy services that may be replicable for other project sites?* Surveys and questionnaires will be developed and administered that explore the impact of the project to determine success. A review of documentation of dissemination practices and procedures will be completed (i.e., visits to the MEES website, distribution of information to ERIC and other dissemination sources, presentations at state and national meetings, and distribution of print and online materials).

The evaluation's design provides a comprehensive look at the effectiveness of this MEES project by taking a team approach to the evaluation planning process. To further the objectivity of the proposal, a Technical Assistance Panel (TAP) will be formed consisting of key stakeholders who will meet twice each year to discuss the evaluation design, the results of project implementation, and ways to improve the project. This use of evaluation information for continuous improvement is one of the tenets of the project.

The External Evaluator, Dr. Z will produce and publish an annual report of progress toward meeting the project goals. Dr. Z and associates are experienced in program evaluation having evaluated over 25 federal projects in seven states. Dr. Z has worked as an evaluation consultant with the Program Evaluation and Assessment Unit of the state Department of Education as an advisor and evaluator for two systemic reform and demonstration model grants in the state of XA, served as a research advisor for two Even Start grants in XR, and facilitated a multi-state ID&R (Identification and Recruitment) grant for three years with another program (See Appendix B). With over 28 years in Migrant Education, Early Childhood Services, Special Education and English Language



Acquisition programming and directing and operating numerous federal and state programs, he brings a breath of knowledge about services to diverse families.

Members of the TAP will include: the project's External Evaluator, the MEES Project Director and Coordinator, and KSTAR representative, parent's or community members, Dr. Z and representatives from the Department of Education and the Target School system. Each member of the TAP will be kept informed by the External Evaluator regarding the project evaluation activities, person(s) responsible for carrying out the evaluation activities, and the timelines for completion. An evaluation planning calendar and timeline will be generated and distributed to each member of the team within one week after the first TAP meeting. Because the TAP is broad-based and geographically dispersed, it is an appropriate, objective vehicle for conducting the evaluation of the project.

The evaluation plan meets the requirements of ESEA 34 CFR 74.51, 75.118, 75.253 and 80.40, as well as the annual performance report, to determine whether project objectives are being met and, if not, includes the changes in program activities that will be adopted. The annual evaluation report for FBCO1 will summarize all project information by objective. In addition, project members will cooperate fully with the efforts of the U.S. Department of Education in its national evaluation of the Even Start Family Literacy Program and will participate in all scheduled evaluation meetings. The proposed External Evaluator has received training from the Department on evaluation processes and is well informed as to its data requirements and procedures.

## **General Education Provisions Act (GEPA) Requirement**

### **Applicants should used this section to address the GEPA provision**

FBCO1 is committed to ensuring equal access and treatment for eligible project participants who may be members of groups traditionally underrepresented based on color, race, national origin, gender, age, disability, or are limited English proficient. FBCO1 will delineate through the following steps how we plan to ensure equitable access to, and participation in, its program for students, teachers and other program beneficiaries.

FBCO1 will determine the most visible means of getting information to parents and educators. These may include formal and informal presentations, publications and postings written in English and Spanish and news bulletins on radio and TV stations. Articles and published documents about the project written in English and in Spanish. Central office staff, principals, community partners and the Project Director will conduct meeting in the sites and community to inform parents, teachers and the Target community about the project. The Project Coordination Council will include individuals of diversity, parents, students, and educators and community representatives form the various participating agencies so they may assist in communicating with others about the project and its activities.

An integral part of the delivery component in the project staff's professional development, family outreach and leadership programs is provided through individualized means or through small group interaction. Every effort will be made to accommodate learning styles, adapt presentations and modify settings to match participants.

As materials and assessment processes are being created, sensitivity will be given to providing information to beneficiaries that is not culturally biased, protects their identity and uses a proficient interpreter, when necessary.