

ARCHIVED INFORMATION

*U.S. Department of Education
Office of Elementary and Secondary Education
Washington, DC 20202-6336*

FISCAL YEAR 2005 APPLICATION FOR NEW GRANTS FOR THE STRIVING READERS PROGRAM

**Title I, Part E, Section 1502
Elementary and Secondary Education Act of 1965
as amended by the No Child Left Behind Act, 2001, Public Law 107-110**

CFDA Number: 84.371A

***FORM APPROVED
OMB No.1890-0009
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Application Deadline: November 14, 2005

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless that collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0009 (expiration date: June 30, 2008). The time required to complete this information collection is estimated to average 40 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 about the accuracy of the time estimate or suggestions for improving this form, or comments or concerns about the status of your individual submission of this form, write directly to: Striving Readers, Office of Elementary and Secondary Education, U.S. Department of Education, 400 Maryland Avenue, SW, Washington, D.C. 20202-6132; (202) 205-6272; E-mail: StrivingReaders@ed.gov

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Dear Applicant:

Striving Readers is a new U.S. Department of Education discretionary grant program and part of President George W. Bush's initiative designed to help States ensure that all students graduate with a meaningful high school diploma in their hands – one that ensures that graduates have the skills needed to succeed in college and in a globally competitive workforce.

The Striving Readers program is focused on raising reading achievement among middle and high school-aged students by enhancing the quality of literacy instruction across the curriculum in schools, providing intensive interventions to improve the literacy skills of struggling adolescent readers, and building a strong, scientific research base around reading strategies that improve adolescent literacy skills.

For information about the Striving Readers program and instructions on how to apply for a grant, please review the attached materials and visit the Striving Readers website at <http://www.ed.gov/programs/strivingreaders>. If you have specific questions about the program or the application process, please contact the Striving Readers program staff by e-mail at StrivingReaders@ed.gov, or by telephone at (202) 205-6272.

Striving Readers offers an exciting opportunity to ensure that middle and high school students acquire the literacy skills needed for postsecondary education, careers, and meaningful participation in our society. Thank you for your interest in this program. We are looking forward to receiving your grant applications for Striving Readers and appreciate your commitment to improving adolescent literacy.

Sincerely,

Raymond Simon
Deputy Secretary

Section A:

**STRIVING READERS
PROGRAM OVERVIEW**

Striving Readers: Background

According to recent data from the National Assessment of Educational Progress (NAEP) only about one-third of our nation's middle and high school students meet the standard of reading "proficiently" for their grade level. In a typical high-poverty, urban school, approximately half of all in-coming ninth-grade students read at a sixth- or seventh-grade level and, on average, African-American and Hispanic twelfth-grade students read at the same level as white eighth-grade students. Studies also show that adolescents who are struggling readers are at high risk of dropping out of high school without a diploma, graduating unprepared for college, and having limited opportunities in the workforce.

The basic skills adolescent readers need are the same foundational skills we expect younger students to master as they learn to read. Scientifically based reading research identifies explicit and systematic instruction in five essential components of reading: *phonemic awareness* (the ability to hear, identify and manipulate individual sounds in spoken words), *phonics* (the understanding that there is a predictable relationship between phonemes and graphemes), *vocabulary* (development of stored information about the meanings and pronunciation of words), *reading fluency* (the ability to read text accurately and quickly) and *reading comprehension* (understanding, remembering, and communicating with others about what has been read). Of particular concern with adolescent struggling readers are vocabulary, fluency and comprehension, as well as issues such as motivation and access to age appropriate reading materials.

While research is strong on the basic components of literacy and strategies to help young children learn to read, there is much less research and proven practice on the development of reading skills among adolescents and the identification, prevention, and remediation of reading difficulties in middle and high school students. Some middle and high school students still need to develop basic reading skills. For a larger group of adolescent students who have learned basic reading skills in the early grades, vocabulary, fluency, and comprehension can be significant challenges beyond elementary school.

Recent publications by literacy experts and practitioners have recommended incorporating the following elements into efforts to help middle and high school students master reading basic skills and comprehension:

- Extended learning time for literacy
- Direct, explicit instruction in comprehension
- Modeling of reading and thinking strategies for comprehension
- Cooperative learning and discussion of texts among students
- Self-selected reading at students' ability levels to build motivation
- On-going progress monitoring
- Intensive writing
- Age appropriate and diverse reading materials
- Interdisciplinary, classroom-based efforts to focus on literacy

Striving Readers: Program Purpose and Overview

Striving Readers is a new discretionary grant program authorized as part of the 2005 Fiscal Year Appropriations Act under the Title I demonstration authority (Part E, Section 1502 of the Elementary and Secondary Education Act of 1965, as amended by the No Child Left Behind Act, 2001 - PL 107-110).

Program Purpose

The purpose of the Striving Readers program is to raise the reading achievement levels of middle and high school-aged students in Title I-eligible schools with significant numbers of students reading below grade level. The program supports new comprehensive reading initiatives or expansion of existing initiatives that improve the quality of literacy instruction across the curriculum, provide intensive literacy interventions to struggling adolescent readers, and help to build a strong, scientific research base for identifying and replicating strategies that improve adolescent literacy skills.

Program Goals

The goals of the Striving Readers program are to:

- Enhance the overall level of reading achievement in middle and high schools through improvements to the quality of literacy instruction across the curriculum,
- Improve the literacy skills of struggling adolescent readers, and
- Help build a strong, scientific, research base around specific strategies that improve adolescent literacy skills.

Key Program Components

Striving Readers projects will include each of three key components:

- **School level strategies designed to increase reading achievement for students by improving the quality of literacy instruction across the curriculum** – These strategies must include, at a minimum, a needs assessment, professional development, and a process for monitoring student performance.
- **Intensive, targeted intervention for struggling readers (i.e., students who read at least two years below grade level, including limited English proficient students and students with disabilities)** – The intervention must include, at a minimum, assessments to identify struggling readers, a supplementary literacy intervention designed to accelerate the development of literacy skills for these readers, professional development for their teachers, and a process for monitoring student progress that includes the administration of student assessments.

- **A project evaluation that includes a rigorous experimental research evaluation of the intensive, targeted intervention for struggling readers.** The evaluation of the intensive, targeted intervention must be conducted by an independent evaluator and must include a randomized control trial. The project evaluation must also include a rigorous evaluation of the school-level strategies designed to increase reading achievement for students by integrating enhanced literacy instruction throughout the curriculum and the school. The evaluation of the school-level strategies also must be conducted by an independent evaluator and may, but need not, include a randomized control trial.

Program Activities

Striving Reader grantees are expected to use program funds for the following types of activities:

- Providing middle and high school age children reading at least two years below grade level with supplemental or replacement interventions to improve basic skills, motivation, vocabulary, fluency, and comprehension using research-based strategies. Such interventions may include extra time, “double-dosing,” small group instruction, supplemental curricula for accelerated learning, employment of a reading specialist or coach, access to reading materials that appeal to adolescent aged readers, administration of regular and ongoing, valid and reliable assessments, and professional development for teachers.
- Providing professional development aligned with scientifically based reading research or integrating comprehension and literacy skills in the classroom across subject areas.
- Acquiring, providing training for, and implementing valid and reliable reading assessments or other appropriate measures that are based on scientifically based reading research to determine whether students are developing and improving reading skills.
- Designing and implementing a rigorous evaluation, including random assignment, of the grantee’s literacy intervention that will measure whether the intervention was properly implemented and will track student performance in reading/literacy as measured by regular ongoing assessment as well as state assessment results.

Planning Period

The Department anticipates that grantees may use the remainder of the 2005-06 school year, after grants are awarded, as a start up period. During this time period grantees can secure program services, train teachers for literacy interventions, and finalize evaluation designs. During this period, the U.S. Department of Education will convene project director grantees and their evaluators to discuss and help refine program and evaluation plans.

Assessment

Grantees are not required to adopt a particular reading assessment chosen by the U.S. Department of Education. However, funded projects must have an assessment component to measure student achievement in reading. Grantees are expected to use both state assessments and other valid and reliable literacy assessments – more regularly administered and more finely tuned to growth in reading skills – to measure and demonstrate student progress.

Evaluation

Because Striving Readers is a demonstration program and because one of the key goals of this demonstration program is to help build a strong, scientific, research base around specific strategies that improve adolescent literacy skills, each program must have a rigorous, experimental evaluation design. This evaluation must be conducted by independent researchers, such as independent research firms or universities, who have experience in experimental design and scientifically based reading research. In addition, the U.S. Department of Education plans to provide technical assistance to help grantees and their evaluation partners with evaluation design and implementation.

The key evaluation questions for the Striving Readers demonstration program are:

- Do the specific supplemental literacy and classroom-based strategies employed by the grantee significantly improve reading proficiency among students? Do different groups/types of students benefit in different ways/to a different extent?

In order to address these questions, the Striving Reader evaluations will include:

- An experimental evaluation design of the targeted literacy intervention for struggling readers. Evaluations will need to include plans for adequate sample sizes, random assignment, minimizing treatment-control contamination, and timing of interventions and data collection.
- An evaluation of the classroom-based effort to improve the quality of literacy instruction across the curriculum. The evaluation of the school-level strategies may, but need not, include a randomized control trial.
- A plan for measuring outcomes that includes the regularly required state and local assessments as well as an appropriate valid and reliable reading assessment to measure the regular progress of students participating in the supplemental literacy intervention.
- A plan for measuring the fidelity and frequency of implementation of the supplemental literacy intervention and classroom-based literacy strategies. This may include teacher surveys, data on teacher preparation and professional development, classroom observations.

Additional Program Requirements

Additionally, Striving Readers projects also must:

- Establish a Cooperative Agreement – Several weeks after sending notification of a Striving Readers grant award, Striving Readers program staff will contact grantees in order to establish a cooperative agreement regarding implementation of the grant.
- Report on Performance Annually – Submit to the Department of Education annual performance reports using the ED Form 524B Grant Performance Report, available at: <http://www.ed.gov/fund/grant/apply/appforms/appforms.html>. Additionally, the annual performance report must report the project's performance against the following program performance indicators for the Striving Readers program:
 1. The number/percentage of adolescent students reading significantly below grade level who demonstrate a gain in their reading achievement at a minimum of one grade level or its equivalent after participating in an intensive intervention over an academic year; and
 2. The number/percentage of schools participating in Striving Readers that demonstrate performance gains on their State's assessment of reading/language arts achievement.
- Cooperate with any Department Evaluation, Technical Assistance and Grantee Coordination Efforts – Participate fully in any evaluation of the Striving Readers program carried out by the Department of Education. The Department intends to build the evaluation component of Striving Readers into local grants rather than conduct a national evaluation. Once awards are made, the Department and grantees will establish cooperative agreements that outline each grantee's role and responsibilities, including the evaluation, and the role of Department program staff in monitoring grant awards. The Department intends to provide technical assistance to grantees throughout the award period on grantee evaluation plans and expects to meet with Striving Reader grantees periodically.
- Budget for Project Meetings – Each applicant must budget for (a) the project director, the project evaluator, and up to two other key staff members to attend a two-day technical assistance meeting with Department officials in Washington, D.C. at least twice a year for each year of the project period; and (b) the project director and the evaluator to attend a two-day post-award conference with Department officials in Washington, D.C. after the grant award date.

Eligible Applicants

Eligible applicants for Striving Readers include:

LEAs that have schools that --

- a. Are eligible to receive funds under Part A of Title I of the ESEA, pursuant to section 1113 of the ESEA, and
- b. Serve students in one or more grades in grades 6 through 12.

Eligible LEAs may apply individually, with other eligible LEAs, or in partnership with one or more of the following entities:

- SEAs,
- Intermediate service agencies,
- Public or private institutions of higher education, and
- Public or private organizations with expertise in adolescent literacy and/or rigorous evaluation.

In any partnership, the fiscal agent must be an eligible LEA.

Schools that receive support from Striving Readers funds must be eligible for, but not necessarily receiving, funds under Part A of Title I. Information on Title I eligibility can be found in Section 1113 of Title I of the Elementary and Secondary Education Act (ESEA) and the regulations at 34 CFR 200.77 and 200.78. For further information on Title I eligibility see Title I program guidance (especially Question 10 on middle and high schools) at:

<http://www.ed.gov/programs/titleiparta/wdag.doc>

Students who are reading at least two years below grade level expectations would be eligible to participate in the grantee's literacy intervention for struggling readers component of their Striving Readers program. Any student within an eligible school would benefit from the grantee's classroom level, cross-disciplinary efforts to improve literacy skills.

In addition to meeting eligibility requirements, applicants will need to demonstrate that the schools proposed to be served have significant numbers or percentages of students reading below grade level and/or are not or are in danger of not meeting Title I adequate yearly progress requirements under NCLB.

Note:

- Funding Allocation – The Secretary may, if necessary, fund projects out of rank order in order to ensure that the Striving Readers funding is balanced between projects serving middle and high school students.

- Literacy Study Participants – Applicants may not apply for Striving Readers funds on behalf of, or use Striving Readers funds in, schools participating in the current Smaller Learning Communities Enhanced Reading Opportunities (ERO) Study, a U.S. Department of Education funded national research evaluation of supplemental adolescent literacy programs.

Available Funds

The Department will award Striving Readers grants on a competitive basis for a project period of up to five years. We estimate that we will make approximately 8 grant awards, ranging between \$1,000,000 and \$5,000,000 per year, with the average size of award being \$3,000,000 per year. The Department expects to award grants in December 2005.

Application Deadline

The deadline for Striving Readers applications is NOVEMBER 14, 2005.

Additional Information

Additional information on Striving Readers is available on the program's Web page at:

<http://www.ed.gov/programs/strivingreaders/>

How The Striving Readers Application Process Will Work

General Award Information

Striving Readers is a national competitive grant program directly administered by the U.S. Department of Education. The Department will award grants based on the quality of the applications and regulatory criteria in section 75.217 of the Education Department General Administrative Regulations (EDGAR). Congress has appropriated \$24.8 million for new awards under this competition for FY 2005.

The Department will award Striving Readers grants on a competitive basis for a project period of up to five years. We estimate that we will make approximately 8 grant awards, ranging between \$1,000,000 and \$5,000,000 per year, with the average size of award being \$3,000,000 per year. The Department expects to award grants in December 2005.

Priorities

For this competition, the Secretary has established two absolute priorities.

The first absolute priority states that the applicant, if awarded a grant under this program, will implement the proposed project only in schools eligible to receive Title I, Part A funds under Section 1113 of the Elementary and Secondary Education Act of 1965, as amended (ESEA), and that only students in grades 6 through 12 attending these schools will participate in the Striving Readers program.

For more information on determining whether schools are eligible for Title I, please see:

<http://www.ed.gov/programs/titleiparta/wdag.doc>

This priority is established to ensure that Striving Readers funds will be targeted at students in grades 6 through 12 attending schools that serve a significant percentage of children from low-income families, as intended by the authorizing statute.

The second absolute priority is for projects to include three required components. In order to be considered for funding, proposed projects must include the following three required components:

1. School level strategies designed to increase reading achievement for students by improving the quality of literacy instruction across the curriculum – These strategies must include, at a minimum, a needs assessment, professional development, and a process for monitoring student performance.
2. Intensive, targeted intervention for struggling readers (i.e., students who read at least two years below grade level, including limited English proficient students and students with disabilities) – The intervention must include, at a minimum, assessments to identify struggling readers, a supplementary literacy intervention designed to accelerate the development of literacy skills for these readers,

professional development for their teachers, and a process for monitoring student progress that includes the administration of student assessments.

3. A project evaluation that includes a rigorous experimental research evaluation of the intensive, targeted intervention for struggling readers. The evaluation of the intensive, targeted intervention must be conducted by an independent evaluator and must include a randomized control trial. There must also be a rigorous evaluation of the school-level strategies designed to increase reading achievement for students by integrating enhanced literacy instruction throughout the curriculum and the school. The evaluation of the school-level strategies also must be conducted by an independent evaluator and may, but need not, include a randomized control trial.

This priority is established to ensure that Striving Readers projects will result in accelerated reading achievement for adolescents reading significantly below grade level, including limited English proficient students and students with disabilities. This absolute priority is also established to ensure that the evaluations of Striving Readers projects include rigorous scientifically based research methods and that the evaluations are of sufficient quality to determine the effectiveness of the interventions provided.

The experimental evaluation design of the targeted intervention must include a randomized controlled trial – an experimental design in which participants (e.g., schools or students) are randomly assigned either to participate in the project activities or to a control group that does not participate in the project activities to be evaluated.

Well-designed and implemented randomized control trials are considered the "gold standard" for evaluating an intervention's effectiveness. They enable the evaluator to determine whether the intervention itself, as opposed to other factors, causes the observed outcomes.

The Institute for Educational Sciences' (IES) What Works Clearinghouse supports a Help Desk that applicants may contact to help identify interventions and design evaluations that meet IES evidence standards. For more information see:
<http://www.whatworks.ed.gov>

Program Performance Measures

Striving Readers is subject to the Government Performance and Results Act (GPRA). GPRA requires each agency and program to set targets for its performance, measure progress toward those targets, report on whether or not the targets have been met, and describe future strategies for continued striving toward those targets. This process is designed to improve program management, and to help Congress, the Department of Education, the Office of Management and Budget, and others review a program's progress toward its goals. Under GPRA, the Secretary has established the following two measures for evaluating the overall effectiveness of the Striving Readers program:

1. The number/percentage of adolescent students reading significantly below grade level who demonstrate a gain in their reading achievement at a minimum of one grade level or its equivalent after participating in an intensive intervention over an academic year; and,
2. The number/percentage of schools participating in the Striving Readers intervention that demonstrate performance gains on their State's assessment of reading/language arts achievement.

All grantees must document their performance in addressing these performance measures in the required annual performance report.

Application Process

The grant competition will include an application process. Eligible applicants who wish to receive a Striving Readers grant must submit an application in accordance with the instructions included in the Federal Register Notice and the application package. The Department, through a peer review panel of experts, will evaluate each application based on the application selection criteria (worth up to 100 points). This application must address both of the absolute priorities in addition to the following seven selection criteria:

1. Need for the Project
2. Quality of the Project Design
3. Quality of the Project Personnel
4. Adequacy of Resources
5. Quality of the Management Plan
6. Evaluation
7. Significance

Awards

The Department will select applicants for funding based on the quality of the applications, including their rank order based on the application selection criteria. Additionally, the Department may make awards so that Striving Readers funding is distributed between projects serving middle school and high school aged students. In making funding decisions, the Department will use the procedures in section 75.217 of EDGAR, 34 CFR 75.217.

The Department anticipates making final awards with FY 2005 funds in December 2005. Contingent upon the availability of funds and quality of applications the Department may make additional awards with FY 2006 program funds, if available, from the list of unfunded applicants from this competition.

Section B:

FEDERAL REGISTER NOTICE
AND RELEVANT STATUTORY
PROVISIONS

4000-01-U

DEPARTMENT OF EDUCATION

Office of Elementary and Secondary Education

Overview Information

Striving Readers

Notice inviting applications for new awards for fiscal year
(FY) 2005.

Catalog of Federal Domestic Assistance (CFDA) Number:

84.371A

Dates:

Applications Available: August 15, 2005.

Deadline for Notice of Intent to Apply: September 14,
2005.

Deadline for Transmittal of Applications: November 14,
2005.

Deadline for Intergovernmental Review: December 13, 2005.

Dates of Pre-Application Meetings: The Department will
conduct a series of briefings on this competition via
conference call to clarify the purposes of the program, the
selection criteria, and the competition process. Consult
the Striving Readers Web site at
www.ed.gov/programs/strivingreaders for dates and times of
the pre-application meetings.

Eligible Applicants: Local educational agencies (LEAs)

that have schools that --

1. Are eligible to receive funds under Part A of Title I of the Elementary and Secondary Education Act of 1965, as amended (ESEA), pursuant to section 1113 of the ESEA, and

2. Serve students in one or more grades in grades 6 through 12.

Eligible LEAs may apply individually, with other eligible LEAs, or in partnership with one or more of the following entities:

- o State educational agencies (SEAs),
- o Intermediate service agencies,
- o Public or private institutions of higher education, and
- o Public or private organizations with expertise in adolescent literacy and/or rigorous evaluation.

In any partnership, the fiscal agent must be an eligible LEA.

Estimated Available Funds: \$24,000,000. Contingent upon the availability of funds and quality of applications we may make additional awards in subsequent years from the list of unfunded applicants from this competition.

Estimated Range of Awards: \$1,000,000-5,000,000 per year.

Estimated Average Size of Awards: \$3,000,000 per year.

Maximum Award Amount: We do not intend to make any awards exceeding \$5,000,000 per year.

Estimated Number of Awards: 8.

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

Project Period: Up to 60 months. Continuation awards are contingent on a grantee's progress and future Congressional appropriations.

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program: The purpose of the Striving Readers program is to raise the reading achievement levels of middle and high school-aged students in Title I-eligible schools with significant numbers of students reading below grade level. The program supports new comprehensive reading initiatives or expansion of existing initiatives that improve the quality of literacy instruction across the curriculum, provide intensive literacy interventions to struggling adolescent readers, and help to build a strong, scientific research base for identifying and replicating strategies that improve adolescent literacy skills.

Priorities: We are establishing these priorities in accordance with section 437(d)(1) of the General Education Provisions Act.

Absolute Priorities: For FY 2005 and any subsequent year in which we make awards based on the list of unfunded applicants from this competition, these priorities are absolute priorities. Under 34 CFR 75.105(c)(3) we consider only applications that meet these priorities.

These priorities are: Priority One -- Students in Grades 6 through 12 in Title I-eligible schools; and Priority Two -- Comprehensive Reading Initiative Components.

Background of Priority One

The first absolute priority is established to ensure that the funds will be targeted as intended by the authorizing statute.

Statement of Priority One - Students in Grades 6 through 12 in Title I-eligible Schools

The applicant, if awarded a grant under this program, will use the funds to serve only students in one or more grades in grades 6 through 12 in schools eligible to receive funds under Part A of Title I of the ESEA.

Background of Priority Two

The second absolute priority is established to ensure that Striving Readers projects will result in accelerated

reading achievement for adolescents reading significantly below grade level, including limited English proficient students and students with disabilities. This absolute priority is also established to ensure that the evaluations of Striving Readers projects include rigorous scientifically based research methods and that the evaluations are of sufficient quality to determine the effectiveness of the interventions provided.

The experimental evaluation design of the targeted intervention must include a randomized controlled trial - an experimental design in which participants (e.g., schools or students) are randomly assigned either to participate in the project activities or to a control group that does not participate in the project activities to be evaluated.

Well-designed and implemented randomized control trials are considered the "gold standard" for evaluating an intervention's effectiveness. They enable the evaluator to determine whether the intervention itself, as opposed to other factors, causes the observed outcomes.

The Institute for Educational Sciences' (IES) What Works Clearinghouse supports a Help Desk that applicants can contact to help identify interventions and design evaluations that meet IES evidence standards. For more information see: <http://www.whatworks.ed.gov>

Statement of Priority Two - Comprehensive Reading

Initiative Components

The applicant, if awarded a grant under this program, will use the funds to support a comprehensive reading initiative that includes the following components:

1. School-level strategies designed to increase reading achievement for students by integrating enhanced literacy instruction throughout the curriculum and the entire school. These strategies must include, at a minimum, a needs assessment, professional development, and a process for monitoring student performance.

2. An intensive, targeted intervention for struggling readers (i.e., students who read at least two years below grade level, including limited English proficient students and students with disabilities). The intervention must include, at minimum, assessments to identify struggling readers, a supplementary literacy intervention designed to accelerate the development of literacy skills for these readers, professional development for their teachers, and a process for monitoring student progress that includes the administration of student assessments.

3. A project evaluation that includes --

- (a) A rigorous experimental research evaluation of the intensive, targeted intervention for struggling readers.

The evaluation of the intensive, targeted intervention must be conducted by an independent evaluator and must include a randomized control trial; and

(b) A rigorous evaluation of the school-level strategies designed to increase reading achievement for students by integrating enhanced literacy instruction throughout the curriculum and the school. The evaluation of the school-level strategies must be conducted by an independent evaluator and may, but need not, include a randomized control trial.

To meet this priority, applicants must demonstrate that they have allocated sufficient program and other funds to carry out a high-quality evaluation of the proposed Striving Readers project. Applicants also will need to include a sufficient number of schools and students to support an experimental evaluation design of the targeted intervention.

Other Program Requirements:

1. Funding Allocation: The Secretary may fund projects out of rank order in order to ensure that the Striving Readers funding is balanced between projects serving middle and high school students.

2. Literacy Study Participants: Applicants may not apply for Striving Readers funds on behalf of, or use

Striving Readers funds in, schools participating in the current Smaller Learning Communities Enhanced Reading Opportunities (ERO) Study, a U.S. Department of Education funded national research evaluation of supplemental adolescent literacy programs.

3. Implementation Schedule: The 2006-2007 school year will be considered the first year for full Striving Readers project implementation. A grantee may use that portion of the 2005-2006 school year that remains after it receives its award as a planning period to prepare for the full implementation of its Striving Readers project during the following school year and to complete the design of Striving Readers project evaluation. The Department will provide technical assistance on evaluation plans during the planning period and throughout the project period.

4. Project Meetings: Each applicant must budget for --

(a) The project director, the project evaluator, and up to two other key staff members to attend a two-day technical assistance meeting with Department officials in Washington, D.C. at least twice a year for each year of the project period; and

(b) The project director and the evaluator to attend a two-day post-award conference with Department officials in Washington, D.C. after the grant award date.

Waiver of Proposed Rulemaking: Under the Administrative Procedure Act (APA) (5 U.S.C. 553), the Department generally offers interested parties the opportunity to comment on proposed priorities, eligibility requirements, and other non-statutory program requirements. Section 437(d)(1) of the General Education Provisions Act (20 U.S.C. 1232(d)(1)), however, allows the Secretary to exempt from rulemaking requirements, regulations governing the first grant competition under a new or substantially revised program authority. This is the first grant competition for this program under section 1502 of the ESEA and, therefore, qualifies for this exemption. In order to ensure timely grant awards, the Secretary has decided to forego public comment on the absolute priorities, eligibility requirements, and non-statutory program requirements under section 437(d)(1). These absolute priorities, eligibility requirements and non-statutory program requirements will apply to the FY 2005 grant competition and any subsequent awards we make based on the list of unfunded applications from this competition.

Program Authority: 20 U.S.C. 6492.

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

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

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

II. Award Information

Type of Award: Cooperative agreement.

Estimated Available Funds: \$24,000,000. Contingent upon the availability of funds and quality of applications we may make additional awards in subsequent years from the list of unfunded applicants from this competition.

Estimated Range of Awards: \$1,000,000-5,000,000 per year.

Estimated Average Size of Awards: \$3,000,000 per year.

Maximum Award Amount: We do not intend to make any awards exceeding \$5,000,000 per year.

Estimated Number of Awards: 8.

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

Project Period: Up to 60 months. Continuation awards are contingent on a grantee's progress and future Congressional appropriations.

III. Eligibility Information

1. Eligible Applicants: LEAs that have schools that

--

a. Are eligible to receive funds under Part A of Title I of the ESEA, pursuant to section 1113 of the ESEA, and

b. Serve students in one or more grades in grades 6 through 12.

Eligible LEAs may apply individually, with other eligible LEAs, or in partnership with one or more of the following entities:

- o SEAs,
- o Intermediate service agencies,
- o Public or private institutions of higher education, and
- o Public or private organizations with expertise in adolescent literacy and/or rigorous evaluation.

In any partnership, the fiscal agent must be an eligible LEA.

Note: For more information on determining Title I eligibility see:

<http://www.ed.gov/programs/titleiparta/wdag.doc>

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

IV. Application and Submission Information

1. Address to Request Application Package: You may obtain the application package electronically by downloading it from the Striving Readers Web site:

<http://www.ed.gov/programs/strivingreaders/applicant.html>

You may also request an application package by contacting the Striving Readers program contact person listed in section VII of this notice at (202) 205-6272 or by e-mail at StrivingReaders@ed.gov.

Individuals with disabilities may obtain a copy of the application package in an alternative format (e.g., Braille, large print, audiotape, or computer diskette) by contacting the program contact person listed in section VII of this notice.

2. Content and Form of Application Submission: Requirements concerning the content of the application, together with the forms you must submit, are in the application package for this program.

Page Limits: The application narrative for this program (Part II of the application) is where you, the applicant, address the selection criteria that reviewers use to

evaluate your application. We strongly encourage applicants to limit Part II of the application to the equivalent of no more than 60 pages. Part III of the application is where you, the applicant, provide a budget narrative that reviewers use to evaluate your application. We strongly encourage you to limit the budget narrative in Part III to the equivalent of no more than five pages. Part IV of the application is where you, the applicant, provide the list and a brief description of the schools included in the proposed Striving Readers project, up to five resumes (curriculum vitae), and the demonstration of stakeholder support for the project that reviewers use to evaluate your application. The Department strongly encourages applicants to limit the list and the brief description of the schools to the equivalent of no more than 10 pages. The Department also strongly encourages applicants to limit each resume to the equivalent of no more than three pages each and limit the demonstration of stakeholder support for the project to the equivalent of no more than 10 pages. While the Department strongly encourages applicants to follow page limit recommendations, applications that exceed these limits will not be excluded from the competition. For all page limit recommendations, use 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, and references included in the body of the narrative.
- Text in endnotes, charts, tables, figures, and graphs may be single-spaced.
- Use a font that is either 12 point or larger or no smaller than 10 pitch (characters per inch), including text in endnotes, charts, tables, figures, and graphs.
- The page limits do not apply to Part I, the cover sheet and the one-page abstract; the budget (ED Form 524); or the endnotes.

3. Submission Dates and Times:

Applications Available: August 15, 2005.

Deadline for Notice of Intent to Apply: September 14, 2005.

In order to expedite the process for reviewing grant applications, we strongly encourage each potential applicant to send a notice of its intent to apply for funding to the following address: StrivingReaders@ed.gov. The notice of intent to apply is optional and should not include information regarding the proposed application.

Dates of Pre-Application Meetings: The Department will conduct a series of briefings on this competition via conference call to clarify the purposes of the program, the selection criteria, and the competition process. Consult the Striving Readers Web site at www.ed.gov/programs/strivingreaders for dates and times of the pre-application meetings.

Deadline for Transmittal of Applications: November 14, 2005.

Applications for grants under this program must be submitted electronically using the Electronic Grant Application System (e-Application) available through the Department's e-Grants system. For information (including dates and times) about how to submit your application electronically or by mail or hand delivery if you qualify for an exception to the electronic submission requirement, please refer to section IV.

6. Other Submission Requirements in this notice.

Deadline for Intergovernmental Review: December 13, 2005.

We do not consider an application that does not comply with the deadline for transmittal of applications.

4. Intergovernmental Review: This program is subject to Executive Order 12372 and the regulations in 34 CFR part 79. Information about Intergovernmental Review of Federal

Programs under Executive Order 12372 is in the application package for this program.

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

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

We will reject your application if you submit it in paper format unless, as described elsewhere in this section, you qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. Further information regarding calculation of the date that is two weeks before the application deadline date is provided later in this section under Exception to Electronic Submission Requirement.

a. Electronic Submission of Applications.

Applications for grants under the Striving Readers program—CFDA Number 84.371A must be submitted electronically using e-Application available through the Department's e-

Grants system, accessible through the e-Grants portal page at: <http://e-grants.ed.gov>

While completing your electronic application, you will be entering data online that will be saved into a database. You may not e-mail an electronic copy of a grant application to us.

Please note the following:

- You must complete the electronic submission of your grant application by 4:30 p.m., Washington, DC time, on the application deadline date. The e-Application system will not accept an application for this program after 4:30 p.m., Washington, DC time, on the application deadline date. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the application process.

- The regular hours of operation of the e-Grants Web site are 6:00 a.m. Monday until 7:00 p.m. Wednesday; and 6:00 a.m. Thursday until midnight Saturday, Washington, DC time. Please note that the system is unavailable on Sundays, and between 7:00 p.m. on Wednesdays and 6:00 a.m. on Thursdays, Washington, DC time, for maintenance. Any modifications to these hours are posted on the e-Grants Web site.

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

- You must submit all documents electronically, including the Application for Federal Education Assistance (ED 424), Budget Information--Non-Construction Programs (ED 524), and all necessary assurances and certifications.

- Any narrative sections of your application must be attached as files in a .DOC (document), .RTF (rich text), or .PDF (Portable Document) format.

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

- Prior to submitting your electronic application, you may wish to print a copy of it for your records.

- After you electronically submit your application, you will receive an automatic acknowledgement that will include a PR/Award number (an identifying number unique to your application).

- Within three working days after submitting your electronic application, fax a signed copy of the ED 424 to the Application Control Center after following these steps:

(1) Print ED 424 from e-Application.

(2) The applicant's Authorizing Representative must sign this form.

(3) Place the PR/Award number in the upper right hand corner of the hard-copy signature page of the ED 424.

(4) Fax the signed ED 424 to the Application Control Center at (202) 245-6272.

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

Application Deadline Date Extension in Case of e-

Application System Unavailability: If you are prevented from electronically submitting your application on the application deadline date because the e-Application system is unavailable, we will grant you an extension of one business day in order to transmit your application electronically, by mail, or by hand delivery. We will grant this extension if--

(1) You are a registered user of e-Application and you have initiated an electronic application for this competition; and

(2) (a) The e-Application system is unavailable for 60 minutes or more between the hours of 8:30 a.m. and 3:30 p.m., Washington, DC time, on the application deadline date; or

(b) The e-Application system is unavailable for any period of time between 3:30 p.m. and 4:30 p.m., Washington, DC time, on the application deadline date.

We must acknowledge and confirm these periods of unavailability before granting you an extension. To request this extension or to confirm our acknowledgement of any system unavailability, you may contact either (1) the person listed elsewhere in this notice under For Further Information Contact (see VII. Agency Contact) or (2) the e-Grants help desk at 1-888-336-8930. If the system is down and therefore the application deadline is extended, an e-mail will be sent to all registered users who have initiated an e-Application. Extensions referred to in this section apply only to the unavailability of the Department's e-Application system.

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

- You do not have access to the Internet; or
- You do not have the capacity to upload large documents to the Department's e-Application system;

and

- No later than two weeks before the application deadline date (14 calendar days or, if the fourteenth calendar day before the application deadline date falls on a Federal holiday, the next business day following the Federal holiday), you mail or fax a written statement to the Department, explaining which of the two grounds for an exception prevent you from using the Internet to submit your application. If you mail your written statement to the Department, it must be postmarked no later than two weeks before the application deadline date. If you fax your written statement to the Department, we must receive the faxed statement no later than two weeks before the application deadline date.

Address and mail or fax your statement to: Kathryn Doherty, U.S. Department of Education, 400 Maryland Avenue, SW., room 3W309, Washington, DC 20202-6132. FAX: (202) 205-0303.

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

b. Submission of Paper Applications by Mail.

If you qualify for an exception to the electronic submission requirement, you may mail (through the U.S. Postal Service or a commercial carrier) your application to

the Department. You must mail the original and two copies of your application, on or before the application deadline date, to the Department at the applicable following address:

By mail through the U.S. Postal Service:

U.S. Department of Education
Application Control Center
Attention: (CFDA Number 84.371A)
400 Maryland Avenue, SW.
Washington, DC 20202-4260

or

By mail through a commercial carrier:

U.S. Department of Education
Application Control Center - Stop 4260
Attention: (CFDA Number 84.371A)
7100 Old Landover Road
Landover, MD 20785-1506

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

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

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

(1) A private metered postmark, or

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

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

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

c. Submission of Paper Applications by Hand Delivery.

If you qualify for an exception to the electronic submission requirement, you (or a courier service) may deliver your paper application to the Department by hand. You must deliver the original and two copies of your application, by hand, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education
Application Control Center
Attention: (Number 84.371A)
550 12th Street, SW.
Room 7041, Potomac Center Plaza
Washington, DC 20202-4260

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

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

(1) You must indicate on the envelope and – if not provided by the Department – in Item 4 of the ED 424 the CFDA number – and suffix letter, if any – of the competition under which you are submitting your application.

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

V. Application Review Information

Selection Criteria:

The selection criteria for this program are from 34 CFR 75.210 of EDGAR and are as follows. Further information about each of these selection criteria is in the application package. The maximum score for each

criterion is listed in parentheses next to the title of the criterion.

(i) Need for project. (5 points) The Secretary considers the need for the proposed project. In determining the need for the proposed project, the Secretary considers the following factors:

(a) The magnitude of the need for the services to be provided or the activities to be carried out by the proposed project. (34 CFR 75.210(a)(2)(ii))

(b) The extent to which the proposed project will provide services or otherwise address the needs of students at risk of educational failure. (34 CFR 75.210(a)(2)(iii))

(ii) Quality of the project design. (40 points) The Secretary considers the quality of the design of the proposed project. In determining the quality of the design of the proposed project, the Secretary considers the following factors:

(a) 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. (34 CFR 75.210(c)(2)(ii))

(b) The extent to which the proposed project is based upon a specific research design, and the quality and

appropriateness of that design, including the scientific rigor of the studies involved. (34 CFR 75.210(c)(2)(vi))

(c) The extent to which the design of the proposed project reflects up-to-date knowledge from research and effective practice. (34 CFR 75.210(c)(2)(xiii))

(iii) Quality of project personnel. (10 points) The Secretary considers the quality of the personnel who will carry out the proposed project. In determining the quality of project personnel, the Secretary considers the extent to which the applicant encourages applications for employment from persons who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability. (34 CFR 75.210(e)(1), (2))

In addition, the Secretary considers the following factors:

(a) The qualifications, including relevant training and experience, of the project director. (34 CFR 75.210(e)(3)(i))

(b) The qualifications, including relevant training and experience of key project personnel. (34 CFR 75.210(e)(3)(ii)).

(c) The qualifications, including relevant training and experience, of project consultants or subcontractors. (34 CFR 75.210(e)(3)(iii))

(iv) Adequacy of resources. (5 points) The Secretary considers the adequacy of resources for the proposed project. In determining the adequacy of resources for the proposed project, the Secretary considers the following factors:

(a) The relevance and demonstrated commitment of each partner in the proposed project to the implementation and success of the project. (34 CFR 75.210(f)(2)(ii))

(b) The extent to which the costs are reasonable in relation to the objectives, design, and potential significance of the proposed project. (34 CFR 75.210(f)(2)(iv))

(v) Quality of the management plan. (5 points) The Secretary considers the quality of the management plan for the proposed project. In determining the quality of the management plan for the proposed project, the Secretary considers the following factors:

(a) The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities,

timelines, and milestones for accomplishing project tasks.

(34 CFR 75.210(g)(2)(i))

(b) The extent to which the time commitments of the project director and other key project personnel are appropriate and adequate to meet the objectives of the proposed project. (34 CFR 75.210(g)(2)(iv))

(vi) Quality of the project evaluation. (30 points)

The Secretary considers the quality of the evaluation to be conducted of the proposed project. In determining the quality of the evaluation of the proposed project, the Secretary considers the following factors:

(a) The extent to which the methods of evaluation are thorough, feasible, and appropriate to the goals, objectives, and outcomes of the proposed project. (34 CFR 75.210(h)(2)(i))

(b) The extent to which the methods of evaluation provide for examining the effectiveness of project outcomes and implementation strategies. (34 CFR 75.210(h)(2)(iii))

(c) The extent to which the evaluation will provide guidance about effective strategies suitable for replication or testing in other settings. (34 CFR 75.210(h)(2)(vii))

(vii) Significance. (5 points) The Secretary considers the significance of the proposed project. In

determining the significance of the proposed project, the Secretary considers the following factor:

(a) The potential contribution of the proposed project to the development and advancement of theory, knowledge, and practices in the field of study. (34 CFR 75.210(b)(2)(vi))

VI. Award Administration Information

1. Award Notices: If your application is successful, we notify you in writing and post the list of successful applicants on the Striving Readers Web site at <http://www.ed.gov/programs/strivingreaders/applicant.html>. If your application is successful, we also notify your U.S. Representative and U.S. Senators and send you a Grant Award Notification (GAN). We may also notify you informally.

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

2. Administrative and National Policy Requirements: We identify administrative and national policy requirements in the application package and reference these and other requirements in the Applicable Regulations section of this notice.

We reference the regulations outlining the terms and conditions of an award in the Applicable Regulations section of this notice and include these and other specific

conditions in the GAN. The GAN also incorporates your approved application as part of your binding commitments under the grant.

3. Reporting: At the end of your project period, you must submit a final performance report, including financial information, as directed by the Secretary. If you receive a multi-year award, you must submit an annual performance report that provides the most current performance and financial expenditure information as specified by the Secretary in 34 CFR 75.118.

4. Performance Measures: Under the Government Performance and Results Act of 1993 (GPRA), the Secretary has established the following two measures for evaluating the overall effectiveness of the Striving Readers program: (1) the percentage of adolescent students reading significantly below grade level who demonstrate a gain in their reading achievement, at a minimum of one grade level or its equivalent after participating in an intensive intervention over an academic year; and (2) the percentage of schools participating in the Striving Readers intervention that demonstrate performance gains on their State's assessment of reading or language arts achievement.

We will expect all grantees to document their success in addressing these performance measures in the annual

performance report referred to in section VI. 3. of this notice.

VII. Agency Contact

For Further Information Contact: Kathryn Doherty, U.S. Department of Education, 400 Maryland Avenue, SW., room 3W309, Washington, DC 20202-6132. Telephone: (202) 205-6272 or by e-mail: StrivingReaders@ed.gov

If you use a telecommunications device for the deaf (TDD), you may call the Federal Relay Service (FRS) at 1-800-877-8339.

Individuals with disabilities may obtain this document in an alternative format (e.g., Braille, large print, audiotape, or computer diskette) on request to the program contact person listed in this section.

VIII. Other Information

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

To use PDF you must have Adobe Acrobat Reader, which is available free at this site. If you have questions about using PDF, call the U.S. Government Printing Office

(GPO), toll free, at 1-888-293-6498; or in the Washington, DC, area at (202) 512-1530.

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

Dated:

Raymond Simon,
Deputy Secretary.

Authorizing Statutory Language for Striving Readers

Striving Readers is a discretionary grant program authorized as part of the FY 2005 Appropriations Act under the Title I demonstration authority (Part E, Section 1502 of the Elementary and Secondary Education Act of 1965 as amended by No Child Left Behind Act, 2001 - PL 107-110).

SEC. 1502. DEMONSTRATIONS OF INNOVATIVE PRACTICES

(a) IN GENERAL- From the funds appropriated for any fiscal year under section 1002(e)(1), the Secretary may award grants to State educational agencies, local educational agencies, other public agencies, nonprofit organizations, public or private partnerships involving business and industry organizations, and consortia of such entities to carry out demonstration projects that show the most promise of enabling children served under this title to meet challenging State academic content standards and challenging State student academic achievement standards.

(b) EVALUATION- The Secretary shall evaluate the demonstration projects supported under this title, using rigorous methodological designs and techniques, including control groups and random assignment, to the extent feasible, to produce reliable evidence of effectiveness.

(c) PARTNERSHIPS- From funds appropriated under section 1002(e)(1) for any fiscal year, the Secretary may, directly or through grants or contracts, work in partnership with State educational agencies, local educational agencies, other public agencies, and nonprofit organizations to disseminate and use the highest quality research and knowledge about effective practices to improve the quality of teaching and learning in schools assisted under this title.

SEC. 1208. DEFINITIONS (from ESEA, Title I, Part B)

(3) ESSENTIAL COMPONENTS OF READING INSTRUCTION- The term “essential components of reading instruction” means explicit and systematic instruction in —

- (A) phonemic awareness;
- (B) phonics;
- (C) vocabulary development;
- (D) reading fluency, including oral reading skills; and
- (E) reading comprehension strategies.

(6) SCIENTIFICALLY BASED READING RESEARCH- The term “scientifically based reading research” means research that —

(A) applies rigorous, systematic, and objective procedures to obtain valid knowledge relevant to reading development, reading instruction, and reading difficulties; and

- (B) includes research that —
 - (i) employs systematic, empirical methods that draw on observation or experiment;

- (ii) involves rigorous data analyses that are adequate to test the stated hypotheses and justify the general conclusions drawn;
- (iii) relies on measurements or observational methods that provide valid data across evaluators and observers and across multiple measurements and observations; and
- (iv) has been accepted by a peer-reviewed journal or approved by a panel of independent experts through a comparably rigorous, objective, and scientific review.

(7)(B) SCREENING READING ASSESSMENT- The term “screening reading assessment” means an assessment that is —

- (i) valid, reliable, and based on scientifically based reading research; and
- (ii) a brief procedure designed as a first step in identifying children who may be at high risk for delayed development or academic failure and in need of further diagnosis of their need for special services or additional reading instruction.

(7)(C) DIAGNOSTIC READING ASSESSMENT- The term “diagnostic reading assessment” means an assessment that is —

- (i) valid, reliable, and based on scientifically based reading research; and
- (ii) used for the purpose of —
 - (I) identifying a child's specific areas of strengths and weaknesses;
 - (II) determining any difficulties that a child may have in learning to read and the potential cause of such difficulties; and
 - (III) helping to determine possible reading intervention strategies and related special needs.

SEC. 9101 DEFINITIONS (Title IX General Provisions, ESEA)

(11) CORE ACADEMIC SUBJECTS- The term “core academic subjects” means English, reading or language arts, mathematics, science, foreign languages, civics and government, economics, arts, history, and geography.

(23) HIGHLY QUALIFIED- The term “highly qualified” —

(A) when used with respect to any public elementary school or secondary school teacher teaching in a State, means that —

- (i) the teacher has obtained full State certification as a teacher (including certification obtained through alternative routes to certification) or passed the State teacher licensing examination, and holds a license to teach in such State, except that when used with respect to any teacher teaching in a public charter school, the term means that the teacher meets the requirements set forth in the State's public charter school law; and
- (ii) the teacher has not had certification or licensure requirements waived on an emergency, temporary, or provisional basis;

(B) when used with respect to —

- (i) an elementary school teacher who is new to the profession, means that the teacher —
 - (I) holds at least a bachelor's degree; and
 - (II) has demonstrated, by passing a rigorous State test, subject knowledge and teaching skills in reading, writing, mathematics, and other areas of the basic elementary school curriculum (which may consist of passing a State-required certification or licensing test or tests in reading, writing, mathematics, and other areas of the basic elementary school curriculum);
 or
- (ii) a middle or secondary school teacher who is new to the profession, means that the teacher holds at least a bachelor's degree and has demonstrated a high level of competency in each of the academic subjects in which the teacher teaches by —
 - (I) passing a rigorous State academic subject test in each of the academic subjects in which the teacher teaches (which may consist of a passing level of performance on a State-required certification or licensing test or tests in each of the academic subjects in which the teacher teaches); or
 - (II) successful completion, in each of the academic subjects in which the teacher teaches, of an academic major, a graduate degree, coursework equivalent to an undergraduate academic major, or advanced certification or credentialing; and
- (C) when used with respect to an elementary, middle, or secondary school teacher who is not new to the profession, means that the teacher holds at least a bachelor's degree and —
 - (i) has met the applicable standard in clause (i) or (ii) of subparagraph (B), which includes an option for a test; or
 - (ii) demonstrates competence in all the academic subjects in which the teacher teaches based on a high objective uniform State standard of evaluation that —
 - (I) is set by the State for both grade appropriate academic subject matter knowledge and teaching skills;
 - (II) is aligned with challenging State academic content and student academic achievement standards and developed in consultation with core content specialists, teachers, principals, and school administrators;
 - (III) provides objective, coherent information about the teacher's attainment of core content knowledge in the academic subjects in which a teacher teaches;
 - (IV) is applied uniformly to all teachers in the same academic subject and the same grade level throughout the State;
 - (V) takes into consideration, but not be based primarily on, the time the teacher has been teaching in the academic subject;
 - (VI) is made available to the public upon request; and
 - (VII) may involve multiple, objective measures of teacher competency.

(29) OTHER STAFF- The term “other staff” means pupil services personnel, librarians, career guidance and counseling personnel, education aides, and other instructional and administrative personnel.

(34) PROFESSIONAL DEVELOPMENT- The term `professional development'--

(A) includes activities that--

- (i) improve and increase teachers' knowledge of the academic subjects the teachers teach, and enable teachers to become highly qualified;
- (ii) are an integral part of broad schoolwide and districtwide educational improvement plans;
- (iii) give teachers, principals, and administrators the knowledge and skills to provide students with the opportunity to meet challenging State academic content standards and student academic achievement standards;
- (iv) improve classroom management skills;
- (v)(I) are high quality, sustained, intensive, and classroom-focused in order to have a positive and lasting impact on classroom instruction and the teacher's performance in the classroom; and
 - (II) are not 1-day or short-term workshops or conferences;
- (vi) support the recruiting, hiring, and training of highly qualified teachers, including teachers who became highly qualified through State and local alternative routes to certification;
- (vii) advance teacher understanding of effective instructional strategies that are--
 - (I) based on scientifically based research (except that this subclause shall not apply to activities carried out under part D of title II); and
 - (II) strategies for improving student academic achievement or substantially increasing the knowledge and teaching skills of teachers; and
- (viii) are aligned with and directly related to--
 - (I) State academic content standards, student academic achievement standards, and assessments; and
 - (II) the curricula and programs tied to the standards described in subclause (I) except that this subclause shall not apply to activities described in clauses (ii) and (iii) of section 2123(3)(B);
- (ix) are developed with extensive participation of teachers, principals, parents, and administrators of schools to be served under this Act;
- (x) are designed to give teachers of limited English proficient children, and other teachers and instructional staff, the knowledge and skills to provide instruction and appropriate language and academic support services to those children, including the appropriate use of curricula and assessments;
- (xi) to the extent appropriate, provide training for teachers and principals in the use of technology so that technology and technology applications are effectively used in the classroom to improve teaching and learning in the curricula and core academic subjects in which the teachers teach;
- (xii) as a whole, are regularly evaluated for their impact on increased teacher effectiveness and improved student academic achievement, with the findings of the evaluations used to improve the quality of professional development;
- (xiii) provide instruction in methods of teaching children with special needs;
- (xiv) include instruction in the use of data and assessments to inform and instruct classroom practice; and
- (xv) include instruction in ways that teachers, principals, pupil services personnel, and school administrators may work more effectively with parents; and

- (B) may include activities that--
- (i) involve the forming of partnerships with institutions of higher education to establish school-based teacher training programs that provide prospective teachers and beginning teachers with an opportunity to work under the guidance of experienced teachers and college faculty;
 - (ii) create programs to enable paraprofessionals (assisting teachers employed by a local educational agency receiving assistance under part A of title I) to obtain the education necessary for those paraprofessionals to become certified and licensed teachers; and
 - (iii) provide follow-up training to teachers who have participated in activities described in subparagraph (A) or another clause of this subparagraph that are designed to ensure that the knowledge and skills learned by the teachers are implemented in the classroom.

(38) SECONDARY SCHOOL- The term secondary school' means a nonprofit institutional day or residential school, including a public secondary charter school, that provides secondary education, as determined under State law, except that the term does not include any education beyond grade 12.

- (42) TEACHER MENTORING- The term teacher mentoring' means activities that —
- (A) consist of structured guidance and regular and ongoing support for teachers, especially beginning teachers, that —
- (i) are designed to help the teachers continue to improve their practice of teaching and to develop their instructional skills; and
- part of an ongoing developmental induction process —
- (I) involve the assistance of an exemplary teacher and other appropriate individuals from a school, local educational agency, or institution of higher education; and
 - (II) may include coaching, classroom observation, team teaching, and reduced teaching loads; and
- (B) may include the establishment of a partnership by a local educational agency with an institution of higher education, another local educational agency, a teacher organization, or another organization.

Section C:

**STRIVING READERS
APPLICATION**

CFDA No. 84.371A

The Application Process

**Application Deadline
Application Procedures and Instructions**

Application Selection Criteria

Application Budget Information

Application Final Checklist

Application Forms and Notice:

ED Form 424 (Application For Federal Assistance – CFDA # 84.371A)
ED Form 524 (Budget Information Form – CFDA # 84.371A)
Assurances – Non-Construction Programs (Standard Form 424B)
Certification Regarding Lobbying; Debarment, Supervision and Other
Responsibility Matters; and Drug Free Workplace Requirements
(ED Form 80-0013)
Disclosure of Lobbying Activities (SF LLL) (submit if applicable)
Notice to All Applicants (Section 427, GEPA)

Other Important Information:

Executive Order 12372 (Intergovernmental Review of Federal Programs)
Single State Point of Contact List
Important Notice to Prospective Participants in U.S. Department of
Education Contract and Grant Programs

The Application Process

In the Striving Readers application process, peer reviewers will evaluate applications based on the application selection criteria. Before each application is reviewed, Department program staff will screen applications to ensure that they meet the absolute priorities included in the Federal Register notice. The Department will prepare a rank order of the applications as determined by the total score assigned by peer reviewers against the selection criteria.

The Secretary then determines which applications will be selected for funding, considering the quality of the applications, including their rank order. The Secretary may make awards so that Striving Readers funding is balanced between projects serving middle and high school students. The Department will make award determinations under section 75.217 of the Education Department General Administrative Regulations (EDGAR).

Application Deadline

Applications for grants under this program must be submitted electronically using the Department's e-Grants system, accessible through the e-Grants portal page at: <http://e-grants.ed.gov>. **The deadline for electronic submission of Striving Readers program applications is 4:30 p.m. (Washington, DC time) on November 14, 2005.**

Instructions for Electronic Submission of Your Application

Applications for grants under this program must be submitted electronically using the Department's e-Grants system, accessible through the e-Grants portal page at: <http://e-grants.ed.gov>, unless you qualify for an exception to this requirement. While completing your electronic application, you will be entering data online that will be saved into a database. You may not e-mail an electronic copy of an application to us.

We will reject your application if you submit it in paper format unless you qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions.

You must submit all documents electronically, including the Application for Federal Education Assistance (ED 424). Any narrative sections of your application should be attached as files in a .DOC (document), .RTF (rich text), or .PDF (Portable Document) format. Your electronic application must comply with any page limit requirements described in the Federal Register Notice.

Deadline for Electronic Submission

You must complete the electronic submission of your grant application by 4:30 p.m., Washington, DC time, on November 14, 2005. The e-Grants system will not accept an application for this program after 4:30 p.m., Washington, DC time, on November 14, 2005. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the application process.

The regular hours of operation of the e-Grants Web site are 6:00 a.m. Monday until 7:00 p.m. Wednesday; and 6:00 a.m. Thursday until midnight Saturday, Washington, DC time. Please note that the system is unavailable on Sundays, and between 7:00 p.m. on Wednesdays and 6:00 a.m. on Thursdays, Washington, DC time, for maintenance. Any modifications to these hours are posted on the e-Grants Web site.

After Submitting Your Application Electronically

After you electronically submit your application, you will receive an automatic acknowledgement that will include a PR/Award number (an identifying number unique to your application).

Within three working days after submitting your electronic application, fax a signed copy of the ED 424 to the Application Control Center after following these steps:

1. Print ED 424 from e-Application.
2. The applicant's Authorizing Representative must sign this form.
3. Place the PR/Award number in the upper right hand corner of the hard-copy signature page of the ED 424.
4. Fax the signed ED 424 to the Application Control Center at (202) 245-6272.

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

Tips for Electronic Submission

- We strongly recommend that you do not wait until the application deadline date to begin the application process.
- Prior to submitting your electronic application, we recommend that you print a copy of it for your records.
- For technical assistance with the e-Application system, contact the e-Grants Help Desk at 1-888-336-8930.

Application Deadline Date Extension in Case of System Unavailability

If you are prevented from electronically submitting your application on the application deadline date because the e-Application system is unavailable, we will grant you an extension of one business day in order to transmit your application electronically, by mail, or by hand delivery.

We will grant this extension if--

You are a registered user of e-Application and you have initiated an electronic application for this competition;

And

The e-Application system is unavailable for 60 minutes or more between the hours of 8:30 a.m. and 3:30 p.m., Washington, DC time, on the application deadline date;

Or

The e-Application system is unavailable for any period of time between 3:30 p.m. and 4:30 p.m., Washington, DC time, on the application deadline date.

We must acknowledge and confirm these periods of unavailability before granting you an extension. To request this extension or to confirm our acknowledgement of any system unavailability, you may contact either

Striving Readers Program Office
(202) 205-6272
StrivingReaders@ed.gov

Or

e-Grants Help Desk
1-888-336-8930.

If the system is down and therefore the application deadline is extended, an e-mail will be sent to all registered users who have initiated an e-Application. Extensions referred to in this section apply only to the unavailability of the Department's e-Application system.

Exception to Electronic Submission Requirement

You qualify for an exception to the electronic submission requirement, and may submit your application in paper format, if you are unable to submit an application through the e-Application system because—

You do not have access to the Internet;

Or

You do not have the capacity to upload large documents to the Department's e-Application system;

And

No later than two weeks before the application deadline date you mail or fax a written statement to the Department, explaining which of the two grounds for an exception prevent you from using the Internet to submit your application.

Address and mail or fax your statement to:

Kathryn Doherty
Striving Readers
Office of Elementary and Secondary Education
400 Maryland Ave, SW
Room 3W309
Washington DC, 20202-6132

Fax: (202) 205-0303

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

Submission of Paper Applications by Mail

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

By mail through the U.S. Postal Service:

U.S. Department of Education
Application Control Center
Attention: CFDA Number 84.371A
400 Maryland Avenue, SW.
Washington, DC 20202-4260

Or

By mail through a commercial carrier:

U.S. Department of Education
Application Control Center – Stop 4260
Attention: CFDA Number 84.371A
7100 Old Landover Road
Landover, MD 20785-1506

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

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

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

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

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

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

Submission of Paper Applications by Hand Delivery

If you qualify for an exception to the electronic submission requirement, you (or a courier service) may deliver your paper application to the Department by hand. You must deliver the original and two copies of your application, by hand, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education
Application Control Center
Attention: CFDA Number 84.371A
550 12th Street, SW.
Room 7041, Potomac Center Plaza
Washington, DC 20202-4260

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

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

- (1) You must indicate on the envelope and — if not provided by the Department — in Item 4 of the ED 424 the CFDA number – and suffix letter, if any – of the competition under which you are submitting your application.
- (2) The Application Control Center will mail a grant application receipt acknowledgment to you. If you do not receive the grant application receipt acknowledgment within 15 business days from the application deadline date, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

The Application Contents

Applicants must submit an Abstract, an Application Narrative addressing the application selection criteria, and the additional forms/materials indicated below and in the Application Final Checklist.

Part I of the Application – ED Form 424 and Abstract

ED FORM 424

Applicants must complete and submit ED Form 424 with their application narrative.

Abstract

Applicants must submit a one-page, double-spaced Abstract, briefly describing their proposed project. Do not number this page. Place the name of the applicant at the top of the page.

Part II of the Application - Narrative

Application Narrative

Peer reviewers will evaluate each application on how well it responds to the seven application selection criteria. The maximum number of points that an application may receive on the application selection criteria is 100. We strongly encourage applicants to limit the narrative to 60 pages and to respond to the application selection criteria and factors in the order in which they are listed.

Absolute Priority 2 -- Projects that include three required components

In order to be considered for funding, proposed projects must include three required components. These components are:

1. School level strategies designed to increase reading achievement for students by improving the quality of literacy instruction across the curriculum – These strategies must include, at a minimum, a needs assessment, professional development, and a process for monitoring student performance.
2. Intensive, targeted intervention for struggling readers (i.e., students who read at least two years below grade level, including limited English proficient students and students with disabilities) – The intervention must include, at a minimum, assessments to identify struggling readers, a supplementary literacy intervention designed to accelerate the development of literacy skills for these readers, professional development for their teachers, and a process for monitoring student progress that includes the administration of student assessments.
3. A project evaluation that includes a rigorous experimental evaluation of the targeted intervention for struggling readers. The evaluation of the intensive, targeted intervention must be conducted by an independent evaluator and must include a randomized control trial. There also must be a rigorous evaluation of the school-level strategies designed to increase reading achievement for students by improving literacy instruction throughout the curriculum. The evaluation of the school-level strategies must be conducted by an independent evaluator and may, but need not, include a randomized control trial.

While not required, it would be helpful and would expedite the review process if applicants could highlight either with titles, underlining, or bold font type where they have addressed these requirements in their application.

Place the name of the applicant and the page number at the top of each page of the Application Narrative.

Part III of the Application – Budget and Budget Narrative

For the Application Budget, applicants must use ED Form 524, Section A only, which is attached and also available on ED’s website. Applicants must complete Section A, columns for the all years of the proposed project (up to 5 years), and the total column. Section B is not applicable to these grants.

This Budget must be accompanied by a Budget Narrative (which serves to meet the requirements of ED Form 524, Section C) that is no more than five double-spaced pages. Place the name of the applicant and the page number at the top of each page of the Budget Narrative. Number each page consecutively with the first page of the Budget Narrative listed as page 1. In the budget narrative, identify the general nature and amounts of proposed expenditures within budget categories and provide a brief justification of how you intend to spend the funds requested for each budget category. Include enough detail to enable reviewers and project staff to understand what the funds will be used for, how much will be expended, and the relationship between expended funds and project activities and outcomes.

Part IV of the Application – Appendices

Additional Information Supporting Selection Criterion One, Need for the Project

Include:

- a) The names, addresses, and instructional level of each of the schools to be included in the project.
- b) Information that addresses Absolute Priority 1 – Schools Eligible to Receive Title I Funds. Include assurances of each participating school’s eligibility for Title I, Part A funding.
- c) The demographics of the entire population of each of the schools to be included in the project. Include at a minimum data on poverty, ethnicity, number of English language learners, and children with special needs
- d) Information regarding the qualification of the schools’ teachers and instructional staff. Include information regarding the percentage of highly qualified teachers.
- e) Information regarding the overall level of achievement in reading for the entire school population, the number of struggling readers, and any information related to the school’s AYP status.
- f) The current reading instructional program implemented at each school if there is one.
- g) Any recent or current initiatives undertaken by each school included in the application to raise reading achievement.
- h) Any federal, state, or local programs with which the proposed project will coordinate or collaborate.

While applicants are not required to do so, some of this information may be provided in chart format or by submitting copies of school report cards.

Additional Information Supporting Selection Criterion Two, Quality of the Project Design

Include endnote citations for research cited specifically in the Application Narrative. A specific citation style is not required, however, each reference should include at a minimum the author(s), the title of the book, or journal and article, and the date of publication.

Curriculum Vitae or Resumes of Five Key Persons

Submit curriculum vitae for key personnel including key contract personnel and consultants. Include no more than 3 one-sided pages for each curriculum vita submitted.

Demonstration of Stakeholder Support

Include documentation that demonstrates the support of the application by those stakeholders who would implement it, and may include principals, teachers, and paraprofessionals. This documentation should reflect an understanding of the proposed project and the stakeholders' willingness to carry out and participate in the proposed project's activities.

Page and Formatting Standards

- A page is 8.5”, on one side only, with 1” margins at the top, bottom, and both sides. The name of the applicant and the page number should be placed in the header of the document. Headers may be placed in the margins.
- Double space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, quotations, and references included in the body of the narrative.
- Text in endnotes, charts, tables, figures and graphs may be single-spaced.
- Use a font that is either 12 point or larger or no smaller than 10 pitch (characters per inch), including text in endnotes, charts, tables, figures, and graphs.

NOTE: Do not include any enclosures or appendices other than those listed on the “Application Final Checklist.” The Department will instruct peer reviewers to base their evaluations and scoring only on the information contained in the Application Narrative and the other limited materials listed in the Application Final Checklist. Any other materials, including non-print materials such as videotapes or CDs, will not be considered.

If you receive an exception to submit your application in paper format: Submit the signed original application in a format that will ensure that the application stays intact (such as staples or binder clips), and that no pages are lost during our handling and review processes (for example, do not use rubber bands or paper clips). Although not required, it will facilitate the application review process if applicants include two additional copies for a total of one original and four copies of their application. Please do not submit your application bound or in a three-ring binder.

Application Selection Criteria

Each of the selection criteria listed below is critical to the design and implementation of high-quality Striving Readers projects. This application must address both of the absolute priorities in addition to the seven selection criteria listed below.

Department program staff will review applications to ensure that applicants are eligible and that they meet the absolute priorities included in the Federal Register notice. The Department, through a peer review panel of experts, will evaluate each application based on the application selection criteria (worth up to 100 points).

The Department will select applicants for funding based on the quality of the applications, including their rank order based on the application selection criteria. Additionally, the Department may make awards so that Striving Readers funding is balanced between projects serving middle school and high school students. In making funding decisions, the Department will use the procedures in section 75.217 of EDGAR, 34 CFR 75.217.

Selection Criteria	Maximum Points
1. Need for Project	5 points
2. Quality of the Project Design	40 points
3. Quality of Project Personnel	10 points
4. Adequacy of Resources	5 points
5. Quality of Management Plan	5 points
6. Quality of the Project Evaluation	30 points
7. Significance	5 points



Reminder to Applicants: The applicant should prepare the Application Narrative to respond to the Application Selection Criteria in the order in which they are listed. Applicants should ensure that their applications include all information needed by the reviewers to evaluate their proposals. To avoid redundancy within the application, information that the applicant provides in one section of the application may be cross-referenced in another section. Reviewers will base their evaluation of the application on the Application Narrative, the Budget and the Budget Narrative and other limited materials listed in the Application Final Checklist.

Detailed Application Selection Criteria for the Striving Readers Program

PART II - APPLICATION NARRATIVE- ADDRESS EACH OF THE FOLLOWING APPLICATION SELECTION CRITERIA

The Secretary will use the following selection criteria in Section 75.210 of EDGAR (34 CFR 75.210) to evaluate applications under this competition. The maximum score for all of these selection criteria is 100 points. The maximum score for each criterion is indicated below. The Department strongly recommends using no more than a total of 60 double-spaced pages to address all of the following application selection criteria. The criteria follow in the boxes below.

1. NEED FOR PROJECT

(0-10 points)

The Secretary considers the need for the proposed project. In determining the need for the proposed project, the Secretary considers the following factors:

Selection Criterion 1, Factor 1: **The magnitude of the need for the services to be provided or the activities to be carried out by the proposed project. (34 CFR 75.210(a)(2)(ii))**

Selection Criterion 1, Factor 2: **The extent to which the proposed project will provide services or otherwise address the needs of students at risk of educational failure. (34 CFR 75.210(a)(2)(iii))**

NOTE: Applicants may address this selection criterion in any way they choose. However, the Secretary believes that high-quality applications addressing the above criterion likely will –

1) DESCRIBE SETTING(S) IN WHICH THE PROPOSED PROJECT WILL BE IMPLEMENTED AND DEMONSTRATE SPECIFIC LITERACY NEEDS OF STUDENTS. INCLUDE:

- a) The names, addresses, and instructional level of each of the schools to be included in the project.

- b) Information that addresses absolute priority 1, Schools Eligible to Receive Title I Funds. Include information confirming each participating school's eligibility for Title I, Part A funding.
- c) The demographics of the population of each of the schools to be included in the project. Include at a minimum data on poverty, ethnicity, number of English language learners, and children with special needs.
- d) Information regarding the qualification of the schools' teachers and instructional staff. Include information regarding the percentage of highly qualified teachers.
- e) Information regarding the overall level of achievement in reading for the entire school population, the number of struggling readers, and any information related to the school's AYP status.
- f) The current reading instructional program implemented at each school, if applicable.
- g) Any recent or current initiatives undertaken by the SEA, the LEA or each school to raise reading achievement in each of the schools to be included in the project.
- h) Any federal, state, or local programs with which the proposed project will coordinate or collaborate.

While applicants are not required to do so, this information may be provided in chart format.

2. QUALITY OF THE PROJECT DESIGN. (0 to 40 points)

The Secretary considers the quality of the design of the proposed project. In determining the quality of the design of the proposed project, the Secretary considers the following factors:

Selection Criterion 2, Factor 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. (34 CFR 75.210(c)(2)(ii))

Selection Criterion 2, Factor 2: The extent to which the proposed project is based upon a specific research design, and the quality and appropriateness of that design, including the scientific rigor of the studies involved. (34 CFR 75.210(c)(2)(vi))

Selection Criterion 2, Factor 3: The extent to which design of the proposed project reflects up-to-date knowledge from research and effective practice. (34 CFR 75.210(c)(2)(xiii))

NOTE: Applicants may address this selection criterion in any way they choose. However, the Secretary believes that high-quality applications addressing the above criterion likely will –

1) **DESCRIBE THE PROGRAM DESIGNED TO INCREASE READING ACHIEVEMENT THROUGHOUT THE SCHOOL BY IMPROVING THE QUALITY OF LITERACY INSTRUCTION ACROSS THE CURRICULUM. INCLUDE:**

- a) The assessment process that the proposed project will use to inform the planning and implementation of the program designed to increase reading achievement throughout the school.
- b) The goals of the proposed program designed to increase reading achievement throughout the school. Describe the extent to which program will address:
 - i) Reading comprehension – Understanding, remembering, and communicating with others about what has been read. Comprehension strategies are sets of steps that purposeful, active readers use to make sense of text.
 - ii) Reading fluency, including oral reading skills – Fluency is the ability to read text accurately and quickly. It provides a bridge between word recognition and comprehension. Fluent readers recognize words and comprehend at the same time.
 - iii) Vocabulary – Development of stored information about the meanings and pronunciation of words necessary for communication. There are four types of vocabulary: listening, speaking, reading and writing.
 - iv) Motivation and self directed learning – building motivation to read and learn and providing students with the instructions and supports needed for continued independent learning.
 - v) Phonemic awareness and phonics if necessary.
- c) An outline of the instructional strategies of the proposed research-based program designed to increase reading achievement throughout the school. Describe the extent to which the program will include
 - i) Direct, explicit instruction.
 - ii) Reading instruction that uses texts and content from student’s content-area courses.
- d) A description of the professional development for the teachers or other instructional staff this is designed to increase reading achievement throughout the school. Include:
 - i) An outline of the goals for the project’s proposed professional development program.
 - ii) The expected participants.
 - iii) A description of the content and scope and sequence of the professional development to be provided.
 - iv) An explanation of the strategies and materials that will be implemented in the professional development that will ensure that it will be classroom focused and will enhance the implementation of the curricula, materials and instructional strategies adopted.
 - v) The number of hours, the frequency, and the method of delivery of the professional development for each teacher and the extent to which the professional development will be high quality, sustained and intensive.

- vi) If literacy coaching is provided as part of the professional development plan, the qualifications and responsibilities of the literacy coach(es) and explain the link between the literacy coaching and any professional development delivered in a classroom or workshop setting.
- e) A description of the process that the proposed project will use to monitor the progress of the research-based program designed to increase reading achievement throughout the school.

2) DESCRIBE THE RESEARCH-BASED SUPPLEMENTARY LITERACY INTERVENTION DESIGNED TO ACCELERATE THE DEVELOPMENT OF LITERACY SKILLS FOR STRUGGLING ADOLESCENT READERS. INCLUDE:

- a) A description of the process that the proposed project will use to identify struggling readers.
- b) The assessment process that the proposed project will use to plan instruction for each struggling reader.
- c) The goals of the proposed supplementary literacy intervention designed to accelerate the development of literacy skills for struggling adolescent readers. Describe the extent to which the intervention will address:
 - i) Reading comprehension – Understanding, remembering, and communicating with others about what has been read. Comprehension strategies are sets of steps that purposeful, active readers use to make sense of text.
 - ii) Reading fluency, including oral reading skills – Fluency is the ability to read text accurately and quickly. It provides a bridge between word recognition and comprehension. Fluent readers recognize words and comprehend at the same time.
 - iii) Vocabulary – Development of stored information about the meanings and pronunciation of words necessary for communication. There are four types of vocabulary: listening, speaking, reading and writing.
 - iv) Phonics - The understanding that there is a predictable relationship between phonemes – the sounds of spoken language – and graphemes – the letters and spellings representing those sounds in written language. Readers use these relationships to recognize familiar words accurately and automatically and to decode unfamiliar words.
 - v) Phonemic Awareness – The ability to hear, identify and manipulate the individual sounds – phonemes – in spoken words. Phonemic awareness is the understanding that the sounds of spoken language work together to make words.
 - vi) Motivation and self directed learning – Building motivation to read and learn and providing students with the instructions and supports needed for continued independent learning.
- d) An outline of the instructional strategies of the proposed intervention for struggling readers. Describe the extent to which the proposed intervention for struggling readers will include:
 - i) Extended instructional time.
 - ii) Direct, explicit instruction.

- iii) Intensive, individualized instruction.
 - iv) Reading instruction that utilizes texts and content from student's content-area courses.
- e) A description of the professional development for the teachers or other instructional staff providing the intervention to struggling readers. Include:
- i) An outline of the goals for the project's proposed professional development program.
 - ii) The expected participants.
 - iii) A description of the content and scope and sequence of the professional development to be provided.
 - iv) An explanation of the strategies and materials that will be implemented in the professional development that will ensure that it will be classroom focused and will enhance the implementation of the curricula, materials and instructional strategies.
 - v) The number of hours, the frequency, and the method of delivery of the professional development for each teacher and the extent to which the professional development will be high quality, sustained and intensive.
 - vi) If literacy coaching is provided as part of the professional development plan, the qualifications of the literacy coach(es) and explain the link between the literacy coaching and any professional development delivered in a classroom or workshop setting.
- f) A description of the process that the proposed project will use to monitor the progress of struggling readers and how instructional decisions will be made based on data.

3) DESCRIBE EVIDENCE THAT THE PROPOSED INTERVENTION AND PROGRAM SHOW PROMISE IN SUBSTANTIALLY RAISING STUDENT ACHIEVEMENT IN READING. INCLUDE:

- a) A description of evaluations or research studies that have been conducted of the proposed intervention and school level program.
- b) Information about the design and methodology of these studies, such as the use of random assignment versus a comparison group, the sample sizes, and the analysis techniques employed.
- c) Information about the results from the studies, including the evidence of effectiveness or successful outcomes and any implementation lessons that would be useful for the applicant to take into account.
- d) Include, as needed, in the appendices, full endnote citations supporting the research basis for the Quality of Project Design (Selection Criterion 2) narrative. Do not include a general reference bibliography.
- e) Explain the extent to which the body of research on which the project is based meets the definition of scientifically based reading research in Section 1208 of the ESEA.

3. QUALITY OF PROJECT PERSONNEL

(0-10 points)

The Secretary considers the quality of personnel who will carry out the proposed project. In determining the quality of project personnel, the Secretary considers the extent to which the applicant encourages applications for employment from persons who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability. (34 CFR 75.210(e)(1),(2)) In addition, the Secretary considers the following factors:

Selection Criterion 3, Factor 1: The qualifications, including relevant training and experience, of the project director or principal investigator. (34 CFR 75.210(e)(3)(i))

Selection Criterion 3, Factor 2: The qualifications, including relevant training and additional experience, of key project personnel. (34 CFR 75.210(e)(3)(ii))

Selection Criterion 3, Factor 3: The qualifications, including relevant training and experience, of project consultants or subcontractors. (34 CFR 75.210(e)(3)(iii))

NOTE: Applicants may address this selection criterion in any way they choose. However, the Secretary believes that high-quality applications addressing the above criterion likely will –

- 1) Specify the steps the proposed project will take to ensure equitable employment practices. The response to this selection criterion, along with the applicant's response to Quality of the Project Design (Selection Criterion 2), will constitute the applicant's response to Section 427 of the General Education Provisions Act.
- 2) Demonstrate the leadership experience of the proposed project director, including his/her past success with implementing large projects, bringing together different entities to work together towards a common goal, and building capacity for sustained improvement within an organization.
- 3) Demonstrate the qualifications of the project director to serve as the instructional leader for a project grounded in scientifically based reading research and adolescent literacy practices.
- 4) Discuss the training, qualifications, and experience of the principal investigator/evaluator, including his/her experience in designing and conducting randomized control trials in the education field.
- 5) Discuss the training, qualifications, and experience of any other key personnel, including any professional development providers.

- 6) Discuss the training, qualifications, and experience of all entities with whom the proposed project will contract, especially those providing the professional development and evaluation services, if applicable.

4. ADEQUACY OF RESOURCES

(0-5 points)

The Secretary considers the adequacy of resources for the proposed project. In determining the adequacy of resources for the proposed project, the Secretary considers the following factors:

Selection Criterion 4, Factor 1: The relevance and demonstrated commitment of each partner in the proposed project to the implementation and success of the project. (34 CFR 75.210(f)(2)(ii))

Selection Criterion 4, Factor 2: The extent to which the costs are reasonable in relation to the objectives, design, and potential significance of the proposed project. (34 CFR 75.210(f)(2)(iv))

NOTE: Applicants may address this selection criterion in any way they choose. However, the Secretary believes that high-quality applications addressing the above criterion likely will –

- 1) Demonstrate the support of the application by those stakeholders who would implement it, particularly teachers, principals and their local professional organizations. The Secretary considers “partners” in the context of this factor to mean those stakeholders. If the successful implementation of the application requires the involvement or commitment of individuals or entities (for example, attending a certain number of hours of professional development, implementing new curriculum, or providing a certain number of release hours, etc.), then demonstrate their understanding of the proposed project and the willingness of the individuals and entities involved to carry it out. While not required, 10 one-sided pages of documentation providing evidence that the individuals and entities whose cooperation is crucial to the successful implementation of the proposed project understand it and are willing to support it may be included in the appendices.
- 2) Some LEAs require that any research activities carried out in the district be reviewed and approved by their research office or an Institutional Review Board (IRB). Districts must submit letters of approval from these offices or boards in support of their applications.
- 3) Explain the adequacy of the proposed costs in relation to the proposed activities, the number of persons to be served, and the anticipated results and benefits.
- 4) Explain the adequacy of the proposed costs in relation to the significance of improvements of the proposed project over the existing school program.

- 5) Explain the adequacy of the proposed costs in relation to the increases in student achievement that would likely be attained by adolescents who are served by the proposed project.
- 6) Explain the adequacy of the proposed costs in relation to the scope and scale of the evaluation to be conducted, particularly the randomized control trial.

5. QUALITY OF MANAGEMENT PLAN (0-5 points)

The Secretary considers the quality of the management plan for the proposed project. In determining the quality of the management plan for the proposed project, the Secretary considers the following factors:

Selection Criterion 5, Factor 1: The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks. (34 CFR 75.210(g)(2)(i))

Selection Criterion 5, Factor 2: The extent to which the time commitments of the project director and principal investigator and other key project personnel are appropriate and adequate to meet the objectives of the proposed project. (34 CFR 75.210(g)(2)(iv))

NOTE: Applicants may address this selection criterion in any way they choose. However, the Secretary believes that high-quality applications addressing the above criterion likely will –

- 1) Provide a management plan for achieving the proposed project's goals.
- 2) Include benchmarks for each goal, project activities that support each benchmark, and a timeline that indicates when each of the activities will begin and target dates for completion.
- 3) Specify objective indicators of achievement for each benchmark.
- 4) Assign responsibility for each activity.
- 5) Specify the number of hours per week each key person will dedicate to project activities. Applicants may consider anyone who has oversight or project-wide responsibilities a key person, including when applicable, the project director, the principal investigator/evaluator, the project manager or coordinator, and the provider(s) of the professional development.

6. QUALITY OF THE PROJECT EVALUATION (0-30 points)

The Secretary considers the quality of the evaluation to be conducted of the proposed project. In determining the quality of the evaluation, the Secretary considers the following factors:

Selection Criterion 6, Factor 1: The extent to which the methods of evaluation are thorough, feasible, and appropriate to the goals, objectives, and outcomes of the proposed project. (34 CFR 75.210(h)(2)(i))

Selection Criterion 6, Factor 2: The extent to which the methods of evaluation provide for examining the effectiveness of project outcomes and implementation strategies. (34 CFR 75.210(h)(2)(iii))

Selection Criterion 6, Factor 3: The extent to which the evaluation will provide guidance about effective strategies suitable for replication or testing in other settings. (34 CFR 75.210(h)(2)(vii))

NOTE: Applicants may address this selection criterion in any way they choose. However, the Secretary believes that high-quality applications addressing the above criterion likely will –

- 1) Describe a project evaluation that includes a rigorous experimental design that will evaluate the effectiveness of the intervention for struggling readers and an evaluation of the program designed to increase reading achievement throughout the school by improving the quality of literacy instruction across the curriculum. In the description of the evaluations, include:
 - a) The extent to which the evaluation will employ systematic, empirical methods consistent with a rigorous experimental design.
 - b) How schools and/or students will be recruited to participate in the evaluation.
 - c) When applicable, the number of schools or students that will be randomly assigned and the extent to which the numbers provide sufficient statistical power to detect reasonable effect sizes or impacts.
 - d) When applicable, the procedures that will be used to randomly assign schools or students to the treatment or the control group and any procedures that will be instituted to prevent undermining of the randomization process.
 - e) The baseline data that will be collected before the intervention.

- f) A description of the valid and reliable assessments that will be used to measure the extent to which the proposed project attained each of its goals.
- g) The timing of assessments and who will administer them.
- h) A description of the extent to which the evaluation involves rigorous data analyses adequate to test the stated hypotheses and justify the conclusions drawn.
- i) The extent to which the trial will evaluate long-term student outcomes.
- j) The procedures that will be used to reduce attrition of students from both the program and the evaluation's data collection.

7. SIGNIFICANCE

(0-10 points)

The Secretary considers the significance of the proposed project. In determining the significance of the proposed project, the Secretary considers the following factor:

Selection Criterion 7, Factor 1: The potential contribution of the proposed project to the development and advancement of theory, knowledge, and practices in the field of study. (34 CFR 75.210(b)(2)(vi))

NOTE: Applicants may address this selection criterion in any way they choose. However, the Secretary believes that high-quality applications addressing the above criterion likely will –

- 1) Demonstrate that the proposed project is likely to result in significant improvement in adolescent literacy and that the materials, programs, and procedures implemented could be replicated.
- 2) Demonstrate that the implementation of the proposed project has the potential to suggest new best practices and effective strategies in the field of adolescent literacy that are tied to scientifically based reading research.

PART III-BUDGET INFORMATION

In order to be considered for Federal funding each applicant must provide the following with its application:

- ED Form 524 Section A
- A descriptive Budget Narrative (up to 5 double-spaced pages and serves to meet the requirements of ED Form 524, Section C) that explains the requested Federal amounts for individual cost categories, for all proposed project years.

ED FORM 524

ED Form 524 Section A is used to apply to individual U.S. Department of Education discretionary grant programs. All applicants must complete Section A, including columns a-e (one for each proposed project year), and column f. (the total column). (Do not complete Section B.)

Instruction to Complete ED Form 524, Section A

Name: Enter the name of the applicant organization(s) or institution(s) in the blank space provided.

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

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

Travel (line 3): Indicate the travel costs of employees and participants only. (Please include travel to at least one Striving Readers conference in Year 1 of your project.) Include travel of such persons as consultants and trainees on line 6.

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

Supplies (line 5): Show all tangible personal property except that included on line 4.

Contractual (line 6): Include consultant travel costs and fees.

Construction (line 7): Not applicable.

Other (line 8): Indicate all direct costs not covered on lines 1-6. Examples are equipment rental, required fees, communication costs, or printing costs.

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

Indirect Costs (line 10): Indicate the applicant’s approved, unrestricted, indirect cost rate, per sections 75.560 – 75.580 of EDGAR. If an applicant does not have an approved indirect cost rate agreement with a cognizant Federal agency, the applicant must apply to ED for a temporary indirect cost rate if it wishes to charge indirect costs to the grant.

For more information, go to ED’s website at:
<http://www.ed.gov/about/offices/list/ocfo/fipao/icgindex.html>

or call the Indirect Cost group at (202) 708-8787.

Training Stipends (line 11): Indicate the level of awards given to participants either in the forms of stipends (non-repayable), or in the form of scholarships for tuition and fees.

Total Cost (line 12): This should equal the sum of lines 9-11 (total direct costs + indirect + stipends). The sum for column F, labeled *Total*, should also be equal to item 14(g) on the application face sheet (ED Form 424)

DETAILED BUDGET NARRATIVE

Each application must provide a Budget Narrative (which serves to meet the requirements of Form 524, Section C) for requested Federal funds. We strongly encourage you to limit your Budget Narrative to the equivalent of no more than **5 double-spaced pages**, using a font that is either 12-point or larger or no smaller than 10 pitch (characters per inch).

The Budget Narrative for requested Federal funds should provide a justification of how money requested per budget category is intended to be spent. This Budget Narrative provides an opportunity for the applicant to identify the nature and amount of the proposed expenditures. There should be enough detail to enable reviewers and project staff to understand what funds will be used for, how much will be expended, and the relationship between expended funds and project activities and outcomes. Applicants’ narratives should contain the following information:

Personnel

- Provide the title of each position.
- Provide the salary for each position.
- Provide the amount of time each person will devote to the project.
- Explain the importance of each position to the success of the project.

Fringe Benefits

- Give the fringe benefit percentages of all personnel in the project.

Travel

- Explain the purpose of the travel and how it relates to project success, and which staff will participate. Please include travel to at least one Striving Readers grantee conference in Year 1 of your project.

Equipment

- Identify each type of equipment.
- Provide the cost per equipment item.

- Explain the purpose of the equipment, and how it relates to project success.

Supplies

- Identify the type of supplies by general category (e.g. instructional materials, office supplies, etc.)
- Provide the purpose for purchasing the supplies.

Contractual

- Provide the purpose and relation to project success.
- Identify the name(s) of the contracting party, including consultants, if available.
- Provide the cost per contractor.
- Provide the amount of time that the project will be working with the contractor(s).

Construction

No costs allowed.

Other Direct Costs

- Identify each type of cost in the *Other* category (e.g., communications, printing, postage, equipment rental).
- Provide the cost per item (printing = \$500, postage = \$750).
- Provide the purpose for the expenditures and relation to project success.

Total Direct Costs

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

Indirect Costs

See previous reference to Indirect Costs.

Training Stipends (Scholarships)

- Identify who will benefit from a scholarship/stipend.
- Provide the purpose of the scholarship/stipend award.
- Identify the cost per scholarship/stipend.
- Explain the importance of the scholarship/stipend to the success of the project.

Application Final Checklist

Part I: Preliminary Documents (required for all applicants, except as indicated below)

- ED 424 Form, Application for Federal Assistance, CFDA No. 84.371A (Face Sheet) (in Forms section of this guide), including human subjects research narrative if applicable.
- Title Page
- Table of Contents
- Abstract briefly describing proposed project (1 page only, double-spaced, not numbered, with project name at top)

Part II: Application Narrative (required for all applicants)

- Application Narrative (the equivalent of approximately 60 pages, double-spaced, 12-point font, addressing the application selection criteria.
- Highlight either with titles, underlining, or bold font type narrative that addresses Absolute Priority 2 -- Projects that include three required components

Part III: Budget Information (required for all applicants)

- ED 524 Form, Budget Information – Non Construction Programs, Part A only, columns for Project Years 1, 2, and 3, and total column.
- Budget Narrative (ED Form 524, Section C) (Explanation of proposed costs in narrative form – this is in addition to the above estimated budget – the equivalent of no more than 5 pages, double-spaced, 12 point font)

Part IV The Appendices and Assurance and Certifications (required for all applicants, except as indicated below or on the form)

- Provide the list and the brief description of the schools that will participate in the proposed Striving Readers project. Include a brief description indicated under Need For Project. Include information that addresses Absolute Priority 1 – Students in Grades 6-12.
- Curriculum vitae of key personnel – no more than 5 people (including key contract personnel and consultants). Include no more than 3 one-sided pages for each curriculum vita submitted.
- Numbered endnote citations (Do not include a general reference bibliography.)
- SF 424B Form - Assurance - Non-Construction Programs
- Demonstration of Stakeholder Support – limited to five (10) one sided pages. (no form)
- ED 80-0013 Form - Certifications Regarding Lobbying; Debarment, Supervision and other Responsibility Matters; and Drug-free Workplace Requirements
- SF LLL Form - Disclosure of Lobbying Activities (SF LLL) (submit if applicable)
- Response to Notice to All Applicants (Section 427, GEPA)

Please check to make sure that you have done the following:

- The Application for Federal Assistance ED Form 424 (CFDA No. 84.371A) has been signed and dated by an authorized official and you have included the signed original with your submission. Those applicants submitting their applications electronically must fax a signed ED Form 424 to the Application Control Center at (202) 245-6272.
- For those submitting an application in paper format, you have included the signed original and at least two copies of your complete application. (Although not required, it will facilitate the application review process if you include two additional copies of your complete application for a total of one original and four copies.)

Application Forms

For those applicants submitting their full application electronically, these forms are available at the e-Grants website: <http://e-grants.ed.gov>

All of the forms listed and attached below can be downloaded as Word, Wordperfect, or PDF files from:

<http://www.ed.gov/offices/OCFO/grants/appforms.html>.

They appear in the same sequence here as they appear on that website.

1. **ED 424 Form and Instructions**– Application Form for Federal Assistance (CFDA # 84.371A)
2. **ED 524 Form and Instructions** – Budget Information, Non–Construction Programs
3. **SF 424B Form** – Assurances, Non-Construction Programs
4. **ED 80–0013 Form** – Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements
5. **SF LLL Form** – Disclosure of Lobbying Activities (submit if applicable)

Information on the following is also attached below:

1. **Executive Order 12372 (Intergovernmental Review of Federal Programs)**
2. **Single State Point of Contact List**
1. **Important Notice to Prospective Participants in U.S. Department of Education Grant and Contract Programs**

Application for Federal Education Assistance (ED 424)



U.S. Department of Education

Form Approved
OMB No. 1890-0017
Exp. 02/28/2005

Applicant Information

1. Name and Address

Legal Name: _____
Address: _____

Organizational Unit

City

State

County

ZIP Code + 4

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

6. Novice Applicant Yes No

3. Applicant's T-I-N | | | | - | | | | | | | | | | | |

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

4. Catalog of Federal Domestic Assistance #: 84. | | | | | | | |

Title: _____

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

5. Project Director: _____

- 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

Address: _____

K - Other (Specify): _____

City _____ State _____ Zip code + 4 _____
Tel. #: () _____ - _____ Fax #: () _____ - _____

E-Mail Address: _____

9. State Application Identifier _____

Application Information

10. Type of Submission:

- PreApplication
- Construction
- Non-Construction
- Application
- Construction
- Non-Construction

11. 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.

13. Are any research activities involving human subjects planned at any time during the proposed project period?
 Yes (Go to 13a.) No (Go to item 14.)

13a. Are all the research activities proposed designated to be exempt from the regulations?
 Yes (Provide Exemption(s) #: _____)
 No (Provide Assurance #): _____

12. Proposed Project Dates: ____/____/____ Start Date: End Date:

14. Descriptive Title of Applicant's Project: _____

Estimated Funding

- 15a. Federal \$ _____ .00
- b. Applicant \$ _____ .00
- c. State \$ _____ .00
- d. Local \$ _____ .00
- e. Other \$ _____ .00
- f. Program Income \$ _____ .00
- g. TOTAL \$ _____ .00

Authorized Representative Information

16. To the best of my knowledge and belief, all data in this pre-application/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 Form 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. **State Application Identifier.** State use only (if applicable).
10. **Type of Submission.** See "Definitions for Form ED 424" attached.
11. **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 (mm/dd/yyyy). Otherwise, check "No."
12. **Proposed Project Dates.** Please enter the month, day, and four (4) digit year (mm/dd/yyyy).
13. **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.")

13a. **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.

13a. **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.

13a. **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.

14. 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.

15. 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 15.

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

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

B. Nonexempt Research Narrative.

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

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

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

(3) **Recruitment and Informed Consent:** Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the

nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

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

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

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

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



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

OMB Control Number: 1890-0004
Expiration Date: 10-31-2007

Name of Institution/Organization

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

SECTION A - BUDGET SUMMARY
U.S. DEPARTMENT OF EDUCATION FUNDS

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

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

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

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

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

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

Approving Federal agency: ___ ED ___ Other (please specify): _____

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

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

Name of Institution/Organization

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

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

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

SECTION C – BUDGET NARRATIVE (see instructions)

Instructions for ED 524

General Instructions

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

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

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

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

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

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

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

Indirect Cost Information:

If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. (1): Indicate whether or not your organization has an Indirect Cost Rate Agreement that was approved by the Federal government. (2): If you checked "yes" in (1), indicate in (2) the beginning and ending dates covered by the Indirect Cost Rate Agreement. In addition, indicate whether ED or another Federal agency (Other) issued the approved agreement. If you check "Other," specify the name of the Federal agency that issued the approved agreement. (3): If you are applying for a grant under a Restricted Rate Program (34 CFR 75.563 or 76.563), indicate whether you are using a restricted indirect cost rate that is included on your approved Indirect Cost Rate Agreement or whether you are using a restricted indirect cost rate that complies with 34 CFR 76.564(c)(2). Note: State or Local government agencies may not use the provision for a restricted indirect cost rate specified in 34 CFR 76.564(c)(2). Check only one response. Leave blank, if this item is not applicable.

Section B - Budget Summary Non-Federal Funds

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

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

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

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

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

Section C - Budget Narrative [Attach separate sheet(s)]

Pay attention to applicable program specific instructions, if attached.

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

(34 CFR 75.562) and grants under programs with "Supplement not Supplant" requirements ("Restricted Rate" programs) by a "modified total direct cost" (MTDC) base (34 CFR 75.563 or 76.563). Please indicate which costs are included and which costs are excluded from the base to which the indirect cost rate is applied.

When calculating indirect costs (line 10) for "Training grants" or grants under "Restricted Rate" programs, you must refer to the information and examples on ED's website at:

<http://www.ed.gov/fund/grant/apply/appforms/appforms.html>.

You may also contact (202) 708-7770 for additional information regarding calculating indirect cost rates or general indirect cost rate information.

4. Provide other explanations or comments you deem necessary.

Paperwork Burden Statement

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

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 the provisions of the Hatch Act (5 U.S.C. 1501-1508 and 7324-7328) which limit the
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. 276a to 276a-7), the Copeland Act (40 U.S.C. 276c and 18 U.S.C. 874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. 1721 et seq.) related to protecting components or

- political activities of employees whose principal employment activities are funded in whole or in part with Federal funds. potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).
 14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
 15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
 16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. 4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
 17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, Audits of States, Local Governments, and Non-Profit Organizations.
 18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
APPLICANT ORGANIZATION	DATE SUBMITTED

CERTIFICATION REGARDING LOBBYING

Applicants must review the requirements for certification regarding lobbying included in the regulations cited below before completing this form. Applicants must sign this form to comply with the certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying." This certification is a material representation of fact upon which the Department of Education relies when it makes a grant or enters into a cooperative agreement.

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a Federal contract, 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 and contracts under grants and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

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

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

**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

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, Washington, DC 20202-4250.

This publication by the U.S. Department of Education is an unofficial version of the State Single Point of Contact (SPOC) List published by the Office of Management and Budget (OMB). This publication incorporates the most recent revisions made by OMB. The Department has made every effort to ensure the accuracy of the information contained in this unofficial version. However, the only official version of the State Single Point of Contact (SPOC) List is posted on the Grants Management section of the OMB web site <http://www.whitehouse.gov/omb/grants/spoc.html>. You may save a text version of this document at the aforementioned site. Please note it will be necessary to put a row of space between each state listing.

STATE SINGLE POINTS OF CONTACT (SPOCs)

It is estimated that in 2001, the Federal Government will outlay \$305.6 billion in grants to State and local governments. Executive Order 12372, "Intergovernmental Review of Federal Programs," was issued with the desire to foster the intergovernmental partnership and strengthen federalism by relying on State and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The Order allows each State to designate an entity to perform this function. Below is the official list of those entities. For those States that have a home page for their designated entity, a direct link has been provided on the official version <http://www.whitehouse.gov/omb/grants/spoc.html>.

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

Contact information for Federal agencies that award grants can be found in Appendix IV of the Catalog of Federal Domestic Assistance. [<http://www.cfda.gov/public/cat-app4-index.htm>]

<p>ARKANSAS</p> <p>Tracy L. Copeland Manager, State Clearinghouse Office of Intergovernmental Services Department of Finance and Administration 1515 7th Street, Room 412 Little Rock, Arkansas 72203 Telephone: (501) 682-1074 FAX: (501) 682-5206 TlCopeland@dfa.state.ar.us</p>	<p>CALIFORNIA</p> <p>Grants Coordination State Clearinghouse Office of Planning and Research P.O. Box 3044, Room 222 Sacramento, California 95812-3044 Telephone: (916) 445-0613 FAX: (916) 323-3018 State.clearinghouse@opr.ca.gov</p>
<p>DELAWARE</p> <p>Charles H. Hopkins Executive Department Office of the Budget 540 S. Dupont Highway , 3rd Floor Dover, Delaware 19901 Telephone: (302) 739-3323 FAX: (302) 739-5661 Chopkins@state.de.us</p>	<p><i>DISTRICT OF COLUMBIA</i></p> <p>Luisa Montero-Diaz Office of Partnerships and Grants Development Executive Office of the Mayor District of Columbia Government 414 4th Street, NW, Suite 530 South Washington, DC 20001 Telephone: (202) 727-8900 FAX: (202) 727-1652 opgd.eom@dc.gov</p>

<p>FLORIDA</p> <p>Jasmin Raffington Florida State Clearinghouse Department of Community Affairs 2555 Shumard Oak Blvd. Tallahassee, Florida 32399-2100 Telephone: (850) 922-5438 FAX: (850) 414-0479 clearinghouse@dca.state.fl.us</p>	<p>GEORGIA</p> <p>Georgia State Clearinghouse 270 Washington Street, SW Atlanta, Georgia 30334 Telephone: (404) 656-3855 FAX: (404) 656-7901 Gach@mail.opb.state.ga.us</p>
<p>ILLINOIS</p> <p>Virginia Bova Department of Commerce and Community Affairs James R. Thompson Center 100 West Randolph, Suite 3-400 Chicago, Illinois 60601 Telephone: (312) 814-6028 FAX: (312) 814-8485 vbova@commerce.state.il.us</p>	<p>IOWA</p> <p>Steven R. McCann Division of Community and Rural Development Iowa Department of Economic Development 200 East Grand Avenue Des Moines, Iowa 50309 Telephone: (515) 242-4719 FAX: (515) 242-4809 Steve.mccann@ided.state.ia.us</p>
<p>KENTUCKY</p> <p>Ron Cook Department for Local Government 1024 Capital Center Drive, Suite 340 Frankfort, Kentucky 40601 Telephone: (502) 573-2382 FAX: (502) 573-2512 Ron.cook@mail.state.ky.us</p>	<p>MAINE</p> <p>Joyce Benson State Planning Office 184 State Street 38 State House Station Augusta, Maine 04333 Telephone: (207) 287-3261 Telephone: (207) 1461 (direct) FAX: (207) 287-6489 Joyce.benson@state.me.us</p>
<p>MARYLAND</p> <p>Linda Janey Manager, Clearinghouse and Plan Review Unit Maryland Office of Planning 301 West Preston Street – Room 1104 Baltimore, Maryland 21201-2305 Telephone: (410) 767-4490 FAX: (410) 767-4480 linda@mail.op.state.md.us</p>	<p>MICHIGAN</p> <p>Richard Pfaff Southeast Michigan Council of Governments 535 Griswold, Suite 300 Detroit, Michigan 48226 Telephone: (313) 961-4266 FAX: (313) 961-4869 pfaff@semcog.org</p>

<p>MISSISSIPPI</p> <p>Mildred Tharpe Clearinghouse Officer Department of Finance and Administration 1301 Woolfolk Building, Suite E 501 North West Street Jackson, Mississippi 39201 Telephone: (601) 359-6762 FAX: (601) 359-6758</p>	<p>MISSOURI</p> <p>Federal Assistance Clearinghouse Office of Administration P.O. Box 809 Truman Building, Room 840 Jefferson City, Missouri 65102 Telephone: (573) 751-4834 FAX: (573) 522-4395 igr@mail.oa.state.mo.us</p>
<p>NEVADA</p> <p>Heather Elliott Department of Administration State Clearinghouse 209 E. Musser Street, Room 200 Carson City, Nevada 89701-4298 Telephone: (775) 684-0209 FAX: (775) 684-0260 Helliott@govmail.state.nv.us</p>	<p>NEW HAMPSHIRE</p> <p>MaryAnn Manoogian Director, New Hampshire Office of Energy and Planning Attn: Intergovernmental Review Process Benjamin Frost 57 Regional Drive Concord, New Hampshire 03301-8519 Telephone: (603) 271-2155 FAX: (603) 271-2615 Jtaylor@osp.state.nh.us</p>
<p>NEW MEXICO</p> <p>Ken Hughes Local Government Division Room 201, Bataan Memorial Building Santa Fe, New Mexico 87503 Telephone: (505) 827-4370 FAX: (505) 827-4948 Khughes@dfa.state.nm.us</p>	<p>NORTH CAROLINA</p> <p>Jeanette Furney Department of Administration 1302 Mail Service Center Raleigh, North Carolina 27699-1302 Telephone: (919) 807-2323 FAX: (919) 733-9571 Jeanette.furney@ncmail.net</p>
<p>NORTH DAKOTA</p> <p>Jim Boyd Division of Community Services 600 East Boulevard Ave, Dept 105 Bismarck, North Dakota 58505-0170 Telephone: (701) 328-2094 FAX: (701) 328-2308 Jboyd@state.nd.us</p>	<p>RHODE ISLAND</p> <p>Kevin Nelson Department of Administration Statewide Planning Program One Capitol Hill Providence Rhode Island 02908-5870 Telephone: (401) 222-2093 FAX: (401) 222-2083 knelson@doa.state.ri.us</p>

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

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

Please note: Inquiries about obtaining a Federal grant should not be sent to the OMB e-mail or postal address shown above. The best source for this information is the [CFDA](#).

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