

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

## **Archived Information**

**FISCAL YEAR 2006  
APPLICATION FOR NEW GRANTS UNDER THE  
INDIVIDUALS WITH DISABILITIES EDUCATION ACT (IDEA)**

**PERSONNEL DEVELOPMENT TO IMPROVE SERVICES AND  
RESULTS FOR CHILDREN WITH DISABILITIES (CFDA 84.325)**

**PRINCIPAL LEADERSHIP PROFESSIONAL DEVELOPMENT  
CENTER TO SUPPORT SCHOOL IMPROVEMENT TO  
ENSURE ACCESS TO, AND PARTICIPATION AND  
PROGRESS IN THE GENERAL EDUCATION CURRICULUM  
IN THE LEAST RESTRICTIVE ENVIRONMENT  
(CFDA 84.325P)**



**DATED MATERIAL - OPEN IMMEDIATELY**

**CLOSING DATE: March 24, 2006**

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## **Paperwork Burden Statement**

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

Dear Applicant:

This application packet contains information and the required forms for you to use in submitting a new application for funding under one program authorized by the Individuals with Disabilities Education Act (IDEA). This packet covers one competition under the Personnel Development to Improve Services and Results for Children with Disabilities (CFDA 84.325) Program -- Principal Leadership Professional Development Center to Support School Improvement to Ensure Access to, and Participation and Progress in the General Education Curriculum in the Least Restrictive Environment.

An application for an award must be: (1) hand-delivered, submitted electronically or mailed by the closing date; and, (2) for paper applications, have an original signature on at least one copy of the assurances and certifications (Part IV of the application form). It is also important to include the appropriate Catalog of Federal Domestic Assistance (CFDA) numeric and alpha in Item #4 on ED Form 424 (e.g., CFDA No. 84.325P) for paper applications.

Please note the following:

- **APPLICATION SUBMISSION**. Based on the precautionary procedures the U.S. Postal Service is using to process mail, we are experiencing delays in the delivery of mail to the Department. Therefore, you may want to consider sending your application by overnight courier or submitting your application electronically.
- **GRANTS.GOV APPLICATION SUBMISSION**. Applications for grants under this competition may be submitted electronically using the Grants.gov Apply site ([www.Grants.gov](http://www.Grants.gov)). Please read carefully the document that we have included immediately following this letter (see page A-4), which includes helpful tips about submitting electronically using the Grants.gov Apply site. Please note that you must follow the Application Procedures as described in the Federal Register notice announcing this grant competition. Information (including dates and times) about how to submit your application electronically, or by mail or hand delivery, can also be found in section D-1 Application Transmittal Instructions and Requirements for Intergovernmental Review of this application package.
- **MAXIMUM AWARD AMOUNT**. In addition to providing detailed budget information for the total grant period requested, the competition included in this package has a maximum award amount. Please refer to the specific information for the priority/competition to which you are submitting an application (i.e., Section B of this package). Please be advised that for the priorities in this package, the maximum award amount covers all project costs including indirect costs.

- **STRICT PAGE LIMITS.** The competition included in this package limits the Part III Application Narrative to a specified number of double-spaced pages. This page limitation applies to all material presented in the application narrative -- including, for example, any charts, tables, figures, and graphs. (Please refer to the specific requirements on page limits for the priority/competition to which you are submitting an application - i.e., Section B of this package). The Department will reject, and will NOT consider an application that does not adhere to the page limit requirements for the competition.
- **FORMAT FOR APPLICATIONS.** Please note that additional information regarding formatting applications has been included on Pages C-3 and 4 of the “General Information on Completing An Application” section of this package.
- **PROTECTION OF HUMAN SUBJECTS IN RESEARCH.** The discretionary grant Application Form 424 (ED supplement to the SF 424 on Grants.gov) requires applicants to indicate whether they plan to conduct research involving human subjects at any time during the proposed project period. The Protection of Human Subjects in Research Attachment is an integral part of the ED 424 form (ED supplement to the SF 424 on Grants.gov). It includes information that applicants need to complete the protection of human subjects item and, as appropriate, to provide additional information to the Department regarding human subjects research projects. Additional information on completing the protection of human subjects item is also available and can be accessed on the INTERNET at:
 

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

A program officer is available to provide information to you regarding this competition. Please refer to the name of the program contact at the end of the priority description. For information about other U.S. Department of Education grant and contract opportunities, we

encourage you to use the Department's grant information web page which can be accessed on the INTERNET at:

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

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

Sincerely,

Louis C. Danielson, Ph.D.  
Director  
Research to Practice Division  
Office of Special Education  
Programs

## IMPORTANT – PLEASE READ FIRST

### U.S. Department of Education

### *Grants.gov Submission Procedures and Tips for Applicants*

Please note that the Grants.gov site works differently than the U.S. Department of Education's (Department) e-Application system. To facilitate your use of Grants.gov, this document includes important submission procedures you need to be aware of to ensure your application is received in a timely manner and accepted by the Department of Education.

- 1) **REGISTER EARLY** – Grants.gov registration is a one-time process that may take five or more days to complete. You may begin working on your application while completing the registration process, but you cannot submit an application until all of the Get Started steps are complete. For detailed information on the Get Started Steps, please go to: <http://www.grants.gov/GetStarted>.
- 2) **SUBMIT EARLY** – We strongly recommend that you do not wait until the last day to submit your application. Grants.gov will put a date/time stamp on your application and then process it after it is fully uploaded. The time it takes to upload an application will vary depending on a number of factors including the size of the application and the speed of your Internet connection, and the time it takes Grants.gov to process the application will vary as well. If Grants.gov rejects your application (see step three below), you will need to resubmit successfully before 4:30 pm on the deadline date.

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

- 3) **VERIFY SUBMISSION IS OK** – You will want to verify that Grants.gov and the Department receive your Grants.gov submission timely and that it was validated successfully. To see the date/time your application was received, login to Grants.gov and click on the Check Application Status link. For a successful submission, the date/time received should be earlier than 4:30 p.m. on the deadline date, AND the application status should be: Validated, Received by Agency, or Agency Tracking Number Assigned.

If the date/time received is later than 4:30 p.m. Washington, D.C. time, on the closing date, your application is late. If your application has a status of "Received" it is still awaiting validation by Grants.gov. Once validation is complete, the status will either change to "Validated" or "Rejected with Errors." If the status is "Rejected with Errors," your application has not been received successfully. Some of the reasons Grants.gov may reject an application can be found on the Grants.gov site: <http://www.grants.gov/assets/ApplicationErrorTips.doc>. If you discover your application is late or has been rejected, please see the instructions below. Note: You will receive a series of confirmations both online and via e-mail about the status of your application. Please do not rely solely on e-mail to confirm whether your application has been received timely and validated successfully.

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

If you have problems submitting to Grants.gov before the closing date, please contact Grants.gov Customer Support at 1-800-518-4726 or use the customer support available on the Web site:

<http://www.grants.gov/CustomerSupport>.

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

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

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

Please note, once you download an application from Grants.gov, you will be working offline and saving data on your computer. Please be sure to note where you are saving the Grants.gov file on your computer. You will need to logon to Grants.gov to upload and submit the application. (This is different from e-Application, where you are working online and saving data to the Department's database.) **You must provide on your application the DUNS number that was used when your organization registered with the CCR.**

Please go to <http://www.grants.gov/ForApplicants> for help with Grants.gov and click on the links in the lower right corner of the screen under Applicant Tips and Tools. For additional tips related to submitting grant applications, please refer to the Grants.gov Submit Application Tips found on the Grants.gov homepage <http://www.grants.gov>.

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

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

### **MAC Users**

If you do not have a Windows operating System, you will need to use a Windows Emulation program to submit an application using Grants.gov. For additional information, review the [PureEdge Support for Macintosh](#) white paper published by Pure Edge: [http://www.grants.gov/GrantsGov\\_UST\\_Grantee/!SSL!/WebHelp/MacSupportforPureEdge.pdf](http://www.grants.gov/GrantsGov_UST_Grantee/!SSL!/WebHelp/MacSupportforPureEdge.pdf), and/or contact Grants.gov Customer Support (<http://www.grants.gov/CustomerSupport>) for more information. **If you do not have a Windows emulation program and electronic submission is required, please follow instructions in the Federal Register notice to obtain an exception to the electronic submission requirement no later than two weeks before the application deadline date.** (See the Federal Register notice for detailed instructions.)



**PRIORITY DESCRIPTION  
AND  
SELECTION CRITERIA  
FOR THE  
PERSONNEL DEVELOPMENT TO  
IMPROVE SERVICES AND RESULTS FOR  
CHILDREN WITH DISABILITIES PROGRAM**

**PRINCIPAL LEADERSHIP PROFESSIONAL DEVELOPMENT CENTER  
TO SUPPORT SCHOOL IMPROVEMENT TO ENSURE ACCESS TO, AND  
PARTICIPATION AND PROGRESS IN THE GENERAL EDUCATION  
CURRICULUM IN THE LEAST RESTRICTIVE ENVIRONMENT  
(CFDA 84.325P)**

**DEADLINE: 03/24/06**

**ABSOLUTE PRIORITY:**

Background:

Principal leadership is an essential element of school improvement that entails simultaneous attention to effective and efficient service delivery, use of resources, and academic performance. Successful principals use a variety of strategies and tools to leverage improvement on a school-wide basis, for all students including students with disabilities. For example, effective principals often build partnerships with families, business leaders, and community organizations, and establish and mobilize leadership teams to assess community resources, align initiatives, and design and implement coherent strategic plans to support student success. Principal leadership guides students, families, school personnel, and community partners through the development, design, implementation, and evaluation of coherent and evidence-based systemic school improvement strategies. Effective principals also mentor and coach teachers to build school capacity to ensure that all students have access to a content-rich general education curriculum and instructional supports to achieve academic success.

Unfortunately, there is a gap between evidence-based best practice and current practice in principal leadership and implementation of school improvement activities. This gap is particularly evident in providing access to the general education curriculum in the least restrictive environment for students with disabilities.

Many principals have difficulty with the logistics of establishing inclusive classrooms due to the small number of highly qualified special education teachers who have full schedules and caseloads, causing many schools to group special education students together rather than assign them general education classrooms with supplementary supports. According to the Special Education Elementary Longitudinal Study (2004), 45 percent of elementary and middle school students with disabilities receive their primary language arts instruction in special education settings -- resource rooms, self-contained special education classes, or one-to-one instruction rather than in the general education classroom. According to the National Longitudinal Transition Study 2 (2003), even when physically present in the general education classroom, students with disabilities consistently participate less actively than their classmates in their general education academic classes. In 2005, of the students with disabilities included in the sample for the National Assessment of Educational Progress, 35 percent were excluded from the fourth-grade reading assessment and 19 percent were excluded from fourth-grade math assessment because of their disability. Furthermore, according to the 22<sup>nd</sup> Annual Report to Congress, 31 percent of special education students ages 14 to 21 drop out of school. These statistics demonstrate that there is a

compelling need for principals to implement school improvement activities that ensure that students with disabilities have access to, and participate and progress in the general education curriculum in the least restrictive environment.

Priority:

The Assistant Secretary establishes an absolute priority for the establishment of a Principal Leadership Professional Development Center to Support School Improvement to Ensure Access to, and Participation and Progress in the General Education Curriculum in the Least Restrictive Environment (PD Center). The purpose of the PD Center is to support principals in their efforts to implement unified school improvement initiatives that are designed to ensure students with disabilities have access to, and participate and progress in the general education curriculum in the least restrictive environment.

The PD Center must--

- Assist a cadre of principals in the development, implementation, and continuous improvement of school improvement efforts using evidence-based practices to ensure that students with disabilities have access to, and participate and progress in the general education curriculum in the least restrictive environment;
- Support networks of principals engaged in school improvement efforts that include students with disabilities;
- Create partnerships among principal professional associations, school and university personnel, and business leaders to promote and support principal leadership for school improvement and inclusion of students with disabilities across the Nation; and
- Use existing principal professional organization networks to inform the PD Center's activities and serve as dissemination vehicles.

To meet this priority, the PD Center must--

(a) Build the capacity of principals to use evidence-based school improvement practices to ensure access to, and participation and progress in the general education curriculum in the least restrictive environment for students with disabilities at the kindergarten through grade 12 levels;

(b) Provide training and onsite professional development to principals in partnership with at least 30 schools to lead school improvement initiatives that focus on enhancing access to, and participation and progress in the general education curriculum in the least restrictive environment for students with disabilities;

(c) Identify and widely disseminate the most successful evidence-based school systemic improvement practices available to principals throughout the United States for school improvement activities that ensure access to, and participation and progress in the general

education curriculum in the least restrictive environment for students with disabilities. To the extent possible, the Center should use criteria from the What Works Clearinghouse (WWC) and other rigorous sources in determining what is “evidenced-based;”

(d) Complete a synthesis of available research literature within the first six months of the project start date. To the extent possible, the PD Center will consult with sources such as the WWC, the Access Center: Improving Outcomes for All Students K-9 that is funded by the Department’s Office of Special Education Programs (OSEP), and the review board of OSEP's Dissemination Center. The synthesis must include: (1) a summary of the research literature describing promising evidence-based school improvement instruction and progress-monitoring practices in elementary, middle, and secondary schools that ensure access to, and participation and progress in the general education curriculum in the least restrictive environment for students with disabilities to ensure schools meet adequate yearly progress indicators; (2) a conceptual framework using evidence-based research practices within a coherent decision-making model to support the adoption, implementation, evaluation, sustainability, and scaling up of school improvement strategies that ensure access to, and participation and progress in the general education curriculum in the least restrictive environment for students with disabilities; (3) a description of evidence-based practices that may be used to foster and maintain partnerships between schools and families to support school improvement activities; (4) a description of effective approaches to professional development and capacity-building within schools that ensure access to, and participation and progress in the general education curriculum in the least restrictive environment for students with disabilities; and (5) a description of how effective principal leaders integrate assessment, curriculum and instruction with learning standards, teaching design and practicum, and family participation in teaching and learning, in a comprehensive aligned professional development model to guide systemic implementation at classroom and school levels;

(e) In years 1 through 3 of the project period, identify, implement, and evaluate strategies that support effective principals in partnership with at least 30 schools to provide examples of effective school improvement implementation of evidence-based and promising practices that ensure access to, and participation and progress in the general education curriculum in the least restrictive environment for students with disabilities. At a minimum, the PD Center must work with these 30 partner schools to-- (1) identify and define the scope and sequence of ongoing professional development training content as well as strategies to measure the acquisition, fidelity, and fluency of implementation at the classroom and school levels; (2) establish classroom and school structures to increase school improvement capacity for ongoing professional development and training; and (3) describe how principals work with school and district leaders to incorporate these strategies into ongoing district policy and practice;

(f) Based on lessons learned with principal leaders and school improvement efforts in years 1 through 3 of the project period, replicate and scale up the PD Center’s implementation with an additional 200 schools in year 4 of the project period;

(g) Establish, maintain, and meet at least annually with a national advisory group of principal leaders from urban, suburban, and rural schools to provide feedback on the plans, activities, and accomplishments of the PD Center in collaboration with the OSEP Project Officer;

(h) Use external and internal evaluators to measure and report to OSEP on the progress of the PD Center activities included in paragraphs (a) through (f) in this priority;

(i) Meet with the OSEP Project Officer and appropriate OSEP staff within the first month of the project start date;

(j) Budget for the PD Center's project director to attend a three-day Project Director's Meeting in Washington D.C. and an additional two-day trip annually to Washington, DC to attend an additional Project Director's meeting and to meet and collaborate with the OSEP Project Officer and other funded projects for purposes of cross-project collaboration and information exchange; and

(k) If a Web site is maintained, ensure that the information and documents available on the Web site are in a format that meets a government or industry-recognized standard for accessibility.

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

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

(a) The recommendation of a review team consisting of experts selected by the Secretary, which review will be conducted during the last half of the project's second year in Washington, DC. Projects must budget for the travel associated with this review;

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

(c) The degree to which the project's design and methodology demonstrate the potential for advancing significant new knowledge

**PERFORMANCE MEASURES:** Under the Government Performance and Results Act (GPRA), the Department has developed measures that will yield information on various aspects of the technical assistance and dissemination activities currently being supported under IDEA Part D. These measures will be used for the Principal Leadership Professional Development Center to Support School Improvement to Ensure Access to, and Participation and Progress in the General Education Curriculum in the Least Restrictive Environment competition, and they focus on: the extent to which projects provide high quality products and services, the relevance of project products and services to educational and early intervention policy and practice, and the use of products and services to improve educational and early intervention policy and practice.

We will notify grantees if they will be required to provide any information related to these measures.

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

**APPLICATIONS AVAILABLE:** February 9, 2006.

**DEADLINE FOR TRANSMITTAL OF APPLICATIONS:** March 24, 2006.

**DEADLINE FOR INTERGOVERNMENTAL REVIEW:** May 23, 2006.

**ESTIMATED AVAILABLE FUNDS:** \$285,000.

**ESTIMATED NUMBER OF AWARDS:** 1.

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

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

**MAXIMUM AWARD:** We will reject any application that proposes a budget exceeding \$285,000 for a single budget period of 12 months. The Assistant Secretary for Special Education and Rehabilitative Services may change the maximum amount through a notice published in the Federal Register.

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

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

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

We will reject any application if --

- You apply these standards and exceed the page limit; or

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

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

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

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

**ELIGIBLE APPLICANTS:** Institutions of higher education (IHEs).

*For further information about this priority contact:*

*Anne Smith, Competition Manager  
Research to Practice Division  
Office of Special Education Programs  
Telephone: (202) 245-7529  
FAX: (202) 245-7617  
Internet: Anne.Smith@ed.gov  
TDD: 1-800-877-8339*

**SELECTION CRITERIA AND FORMAT FOR THE PRINCIPAL LEADERSHIP PROFESSIONAL DEVELOPMENT CENTER TO SUPPORT SCHOOL IMPROVEMENT TO ENSURE ACCESS TO, AND PARTICIPATION AND PROGRESS IN THE GENERAL EDUCATION CURRICULUM IN THE LEAST RESTRICTIVE ENVIRONMENT (CFDA 84.325P) COMPETITION**

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

The selection criteria that will be used to evaluate applications submitted to the Principal Leadership Professional Development Center to Support School Improvement to Ensure Access to, and Participation and Progress in the General Education Curriculum in the Least Restrictive Environment (CFDA 84.325P) competition is the selection criteria for new grants required by the EDGAR general selection criteria menu. The maximum score for all of the criteria is 100 points.

An **abstract**, not to exceed two pages, should precede the application narrative of all applications and it would be helpful if it included the following information: Purpose of the project; disability addressed by the project; age group (e.g., 0-3, preschool, elementary school, middle school, high school, secondary transition, and postsecondary); geography (e.g., rural, suburban, urban); severity (e.g., mild, moderate, and severe); proposed products; proposed outcomes; names/affiliations of key collaborators. It would be helpful if the abstract includes: (a) the title of the program, (b) the name of the Absolute Priority, and (c) the CFDA Number (e.g., 84.325P).

For this Personnel Preparation competition, applications should include, as appropriate, (a) design and (b) project evaluation, including measures. The application narrative should include the following sections in this order:

**(a) Significance (15 points)**

(1) The Secretary considers the significance of the proposed project.

(2) In determining the significance of the proposed project, the Secretary considers the following factors:

(i) The potential contribution of the proposed project to increased knowledge or understanding of educational problems, issues, or effective strategies;

(ii) The likelihood that the proposed project will result in system change or improvement;



(iii) The extent to which the proposed project is likely to build local capacity to provide, improve, or expand services that address the needs of the target population;

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

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

**(b) Quality of project services (30 points)**

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

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

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

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

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

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

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

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

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

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

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

(2) In determining the quality of project personnel, the Secretary considers the extent to which the applicant encourages applications for employment from persons who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability.

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

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

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

**(d) Quality of the management plan (25 points)**

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

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

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

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

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

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

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

**(e) Adequacy of resources (10 points)**

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

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

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

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

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

GENERAL INFORMATION  
ON COMPLETING  
AN APPLICATION

## GENERAL INFORMATION ON COMPLETING AN APPLICATION

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

- **EXTENSION OF DEADLINES**

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

- **COPIES OF THE APPLICATION**

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

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

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

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

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

Should an application miss the deadline for a particular competition, it may be submitted to another competition. However, if an application is properly prepared to meet the specifications of one competition, it is extremely unlikely that it would be favorably evaluated under a different competition.

- **SUBMISSION TO MORE THAN ONE PROGRAM**

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

- **HELP PREPARING APPLICATIONS**

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

- **NOTIFICATION OF FUNDING**

The time required to complete the evaluation of applications is variable. Once applications have been received staff must determine the areas of expertise needed to appropriately evaluate the applications, identify and contact potential reviewers, convene peer review panels, and summarize and review the recommendations of the review panels. You can expect to receive notification within 3 to 6 months of the application closing date, depending on the number of applications received and the number of competitions with closing dates at about the same time. The requested start date should therefore be a minimum of 6 months after the application closing date.

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

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

- **FORMAT FOR APPLICATIONS**

The application narrative (Part III of the application form) should be organized to follow the exact sequence of the components in the selection criteria used to evaluate applications. (The selection criteria for the competitions covered by this packet are listed following the specific competition information in section “B” of this packet.) A table of contents, list of priority requirements, and a one-page abstract summarizing the objectives, activities, project participants, and expected outcomes of the proposed project should precede the application narrative. If you prefer to use a different format, you may wish to cross-reference the sections of your application to the selection criteria to be sure that reviewers are able to find all relevant information.

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

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

- **PAGE LIMITS**

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

- (1) Staff Vitae--They should include each person's title and role in the proposed project and contain only information that is relevant to this proposed project's activities and/or publications. Vitae for consultants and Advisory Council members should be similarly brief.
- (2) Instruments--except in the case of generally available and well known instruments.
- (3) Agreements--when the participation of an agency other than the applicant is critical to the project. This is particularly critical when an intervention will be implemented within an agency, or when subjects will be drawn from particular agencies. Letters of cooperation should be specific, indicating agreement to implement a particular intervention or to provide access to a particular group of students.

The items listed above are not included under page limits.

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

Applicants should clearly indicate in Item 3 on the application (ED Form 424) the CFDA number of the program priority (e.g., 84.325P, etc.) representing the competition in which the application should be considered. If this information is not provided, your application may inadvertently be assigned and reviewed under a different competition from the one you intended.

- RETURN OF NON-FUNDED APPLICATIONS

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

- PROPOSED STAFF AVAILABILITY TO PROJECT

For each staff person named in the application, please provide documentation of all internal and external time commitments. In instances where a staff person is committed on a federally supported project, please provide the project name, Federal office, program title, the project Federal award number, and the amount of committed time by each project year. This information (e.g., Staff: Jane Doe; Project Name: Succeeding in the General Curriculum; Federal office: Office of Special Education Programs; Program title: Field Initiated Research; Award number: H324C980624; Time commitments: Year 1—30%; Year 2—25% and Year 3—40%) can be provided as an Appendix to the application.

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

- USE OF PERSON LOADING CHARTS

It is important for applicants to include proposed time commitments for all project personnel. Also, program officials and applicants often find person loading charts useful formats for showing project personnel and their time commitments to individual activities. A person loading chart is a tabular representation of major evaluation activities by number of days spent by each key person involved in each activity, as shown in the following example.



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

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

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

- DELIVERING/SENDING APPLICATIONS TO THE COMPETITION MANAGER

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

- ALLOWED TRAVEL UNDER THESE PROJECTS

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

- FUNDING OF APPROVED APPLICATIONS

It is often the case that the number of applications recommended for approval by the reviewers exceeds the dollars available for funding projects under a particular competition. When the panel reviews are completed for a particular competition, the individual reviewer scores and applications are ranked. The higher ranked, approved applications are funded first, and there are often lower ranked, approved applications that do not receive funding. Sometimes, one or two applications that are approved and fall next in rank order (after those projects selected for funding) are placed on hold. If dollars become available as a result of negotiations, or if a higher ranked applicant declines the award, the projects on hold may receive funding. If you receive a

letter stating that you will not receive funding, then your project has neither been selected for funding nor placed on hold.

- **INDIRECT COST RATE**

For competitions under the **Personnel Development to Improve Services and Results for Children with Disabilities** (84.325) program, the indirect cost rate may not exceed eight percent of the direct costs. Some or all of the grants awarded under this program have been designated training grants. The Education Department General Administrative Regulations (EDGAR) limit reimbursement of indirect costs under training grants to non-governmental grantees (subject to 34 CFR part 74). These grantees may recover indirect costs under training grants up to the grantee's actual indirect costs as determined by the grantee's negotiated indirect cost agreement or a maximum of 8% of a modified total direct costs, whichever is less.

**Note:** This limitation does not apply to State agencies, local governments or Federally-recognized Indian tribal governments. [§75.562(c)(2)]

Grantees charging indirect costs to an ED training grant at the 8% rate should have a negotiated rate with their *cognizant agency*, i.e., either the Federal agency from which it has received the most direct funding subject to indirect cost support, the particular agency specifically assigned cognizance by the Office of Management and Budget or the State agency that provides the most subgrant funds to the grantee.

Although applicants are not required to submit with their application a copy of their indirect cost agreement to claim the 8% rate for funding received in this program, they are required to have documentation available for audit that shows that their negotiated indirect cost rate is at least 8% [§75.563(d)].

Applicants should be aware that amounts representing the difference between the 8% rate and a greater indirect cost rate negotiated with a cognizant agency may **not** be charged to direct cost categories, used to satisfy matching or cost-sharing requirements, or charged to another Federal award. [§75.563(c)(3)]

Please remember, that recent changes in the indirect costs calculations now removes the cost for student support; traineeships, stipends, tuition, from the direct cost line item. Students' costs are not subject to indirect cost rates.

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

If your application is recommended for funding, discussions may be held prior to award to clarify technical or budget issues. These are issues that have been identified during panel and staff review. Generally, technical issues are minor issues that require clarification. Alternative approaches may be presented for your consideration, or you may be asked to provide additional information or rationale for something you have proposed to do. Sometimes, concerns are stated as "conditions". These are concerns that have been identified as so critical that the award cannot be made unless those conditions are met. Questions are also raised about the proposed budget during the discussion phase. Generally, budget issues are raised because there is inadequate justification or explanation of the particular budget item, or because the budget item does not seem critical to the successful completion of the project. A Federal project officer will present

the issues to you and ask you to respond. If you do not understand the question, you should ask for clarification. In responding to discussion items you should provide any additional information or clarification requested. You may feel that an issue was addressed in the application. It may not, however, have been explained in enough detail to make it understood by reviewers, and more information should be provided. If you are asked to make changes that you feel could seriously affect the project's success, you may provide reasons for not making the changes, or provide alternative suggestions. Similarly, if proposed budget reductions will, in your opinion, seriously affect the proposed activities, you may want to explain why and provide additional justification for the proposed expenses. Your changes, explanations, and alternative suggestions will be carefully evaluated by staff. In some instances, an applicant may again be contacted for additional information. An award cannot be made until all issues have been resolved and conditions met.

- **TREATING A PRIORITY AS TWO SEPARATE COMPETITIONS.** In the past, there have been problems in finding peer reviewers without conflicts of interest where applications are made by many entities throughout the country. The Standing Panel requirements under the IDEA Amendments of 1997 have also placed additional constraints on the availability of reviewers. Therefore, The Department has determined that, for some discretionary priorities, applications may be ranked and selected for funding in two or more groups, which will ensure the availability of a much larger group of reviewers without conflicts of interest. This procedure will increase the quality, independence and fairness of the review process and will permit panel members to review applications under discretionary priorities to which they have also submitted applications.

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

There is a maximum award amount specified for the priority/competitions included in this package. The Department rejects and does not consider an application that proposes a budget exceeding the maximum amount for any single budget period of 12 months for the priorities included in this package. Please refer to the priority description to determine the maximum award for any one particular competition. Since the yearly budgets for multi-year projects will be negotiated at the time of the initial award, applicants must include detailed budgets for each year of their proposed project. Generally, out-year funding levels most likely will not exceed 1st year budgets. However, budget modifications during the negotiation process, the findings from the previous year, or needed changes in the study design can affect your budget requirements in subsequent years, but in no case will out-year budgets exceed the maximum award amount.

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

The Department shall, where appropriate, require recipients of all grants, contracts and cooperative agreements under Part D of the Individuals with Disabilities Education Act to prepare reports describing their procedures, findings, and other relevant information. The Department shall require their delivery to the Department of Education and to the ERIC Clearinghouse on Disabilities and Gifted Education, and other networks as The Department may determine appropriate. (20 U.S.C. 1461)

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

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

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

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

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

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

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

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

Superintendent of Documents  
U.S. Government Printing Office  
Washington, D.C. 20402  
Telephone: (202) 512-1800.

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

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

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

APPLICATION TRANSMITTAL INSTRUCTIONS  
AND  
REQUIREMENTS FOR INTERGOVERNMENTAL REVIEW

## **Application Transmittal Instructions**

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

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

### **Applications Submitted Electronically**

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

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

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

### **Applications Sent by Mail**

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

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

**U.S. Department of Education  
Application Control Center  
Attention: CFDA# 325P  
400 Maryland Avenue, SW  
Washington, DC 20202 - 4260**

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

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

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

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

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

**Applications Delivered by Commercial Carrier:**

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

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

**U.S. Department of Education  
Application Control Center – Stop 4260  
Attention: CFDA# 325P  
7100 Old Landover Road  
Landover, MD 20785-1506**

**Applications Delivered by Hand**

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

**Please hand deliver copies to:**

**U.S. Department of Education  
Application Control Center  
Attention: CFDA# 325P  
550 12<sup>th</sup> Street, SW  
PCP - Room 7041  
Washington, DC 20202 – 4260**

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

## Appendix

### Intergovernmental Review of Federal Programs

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

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

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

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

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

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

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



## STATE SINGLE POINTS OF CONTACT (SPOCs)

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

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

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

<p><b>ARKANSAS</b> Tracy L. Copeland Manager, State Clearinghouse Office of Intergovernmental Services Department of Finance and Administration 1515 W. 7<sup>th</sup> Street, Room 412 Little Rock, Arkansas 72203 Telephone: (501) 682-1074 FAX: (501) 682-5206 <a href="mailto:tracy.copeland@dfa.state.ar.us">tracy.copeland@dfa.state.ar.us</a></p>	<p><b>CALIFORNIA</b> 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 <a href="mailto:State.clearinghouse@opr.ca.gov">State.clearinghouse@opr.ca.gov</a></p>
<p><b>DELAWARE</b> Sandra R. Stump Executive Department Office of the Budget 540 S. Dupont Highway , 3<sup>rd</sup> Floor Dover, Delaware 19901 Telephone: (302) 739-3323 FAX: (302) 739-5661 <a href="mailto:sandy.stump@state.de.us">sandy.stump@state.de.us</a></p>	<p><b>DISTRICT OF COLUMBIA</b> Marlene Jefferson DC Government Office of Partnerships and Grants Development 414 4<sup>th</sup> Street, NW Washington, DC 20001 Telephone: (202) 727-6518 FAX: (202) 727-1652 <a href="mailto:marlene.Jefferson@dc.gov">marlene.Jefferson@dc.gov</a></p>
<p><b>FLORIDA</b> Lauren P. Milligan Florida State Clearinghouse Florida Dept. of Environmental Protection 3900 Commonwealth Boulevard Mall Station 47 Tallahassee, Florida 32399-3000 Telephone: (850) 245-2161 FAX: (850) 245-2190 <a href="mailto:Lauren.Milligan@dep.state.fl.us">Lauren.Milligan@dep.state.fl.us</a></p>	<p><b>GEORGIA</b> Barbara Jackson Georgia State Clearinghouse 270 Washington Street, SW, 8<sup>th</sup> Floor Atlanta, Georgia 30334 Telephone: (404) 656-3855 FAX: (404) 656-7901 <a href="mailto:gach@mail.opb.state.ga.us">gach@mail.opb.state.ga.us</a></p>
<p><b>ILLINOIS</b> Roukaya McCaffrey Department of Commerce and Economic Opportunities 620 East Adams, 6<sup>th</sup> Floor Springfield, Illinois, 62701 Telephone: (217) 524-0188 FAX: (217) 558-0473 <a href="mailto:roukaya_mccaffrey@illinoisbiz.biz">roukaya_mccaffrey@illinoisbiz.biz</a></p>	<p><b>IOWA</b> Kathy Mable Iowa Department of Management State Capitol Building Room G12 1007 E Grand Avenue Des Moines, Iowa 50319 Telephone: (515) 281-8834 FAX: (515) 242-5897 <a href="mailto:Kathy.Mable@iowa.gov">Kathy.Mable@iowa.gov</a></p>

<p><b>KENTUCKY</b>  Ron Cook  The Governor's Office for Local  Development  1024 Capital Center Drive, Suite 340  Frankfort, Kentucky 40601  Telephone: (502) 573-2382 / (800) 346-5606  FAX: (502) 573-2512  <a href="mailto:Ron.Cook@Ky.Gov">Ron.Cook@Ky.Gov</a></p>	<p><b>MAINE</b>  Joyce Benson  State Planning Office  184 State Street  38 State House Station  Augusta, Maine 04333  Telephone: (207) 287-3261  (direct): (207) 287-1461  FAX: (207) 287-6489  <a href="mailto:joyce.benson@state.me.us">joyce.benson@state.me.us</a></p>
<p><b>MARYLAND</b>  Linda C. Janey, J.D.  Director, Capital Planning and  Development Review  Maryland Department of Planning  301 West Preston Street, Room 1104  Baltimore, Maryland 21201-2305  Telephone: (410) 767-4490  FAX: (410) 767-4480  <a href="mailto:linda@mail.op.state.md.us">linda@mail.op.state.md.us</a></p>	<p><b>MICHIGAN</b>  Richard Pfaff  Southeast Michigan Council of Governments  535 Griswold, Suite 300  Detroit, Michigan 48226  Telephone: (313) 961-4266  FAX: (313) 961-4869  <a href="mailto:pfaff@semcog.org">pfaff@semcog.org</a></p>
<p><b>MISSISSIPPI</b>  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><b>MISSOURI</b>  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  <a href="mailto:igr@mail.ia.state.mo.us">igr@mail.ia.state.mo.us</a></p>
<p><b>NEVADA</b>  Michael Stafford  Department of Administration  State Clearinghouse  209 E. Musser Street, Room 200  Carson City, Nevada 89701  Telephone: (775) 684-0209  FAX: (775) 684-0260  <a href="mailto:mstafford@budget.state.nv.us">mstafford@budget.state.nv.us</a></p>	<p><b>NEW HAMPSHIRE</b>  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  <a href="mailto:irp@nh.gov">irp@nh.gov</a></p>
<p><b>NEW YORK</b>  Linda Shkrell  Office of Public Security  Homeland Security Grants Coordination  633 3<sup>rd</sup> Avenue  New York, NY 10017  Telephone: (212) 867-1289  FAX: (212) 867-1725</p>	<p><b>NORTH DAKOTA</b>  Jim Boyd  ND Department of Commerce  1600 East Century Avenue, Suite 2  P.O. Box 2057  Bismarck, North Dakota 58502-2057  Telephone: (701) 328-2676  FAX: (701) 328-2308  <a href="mailto:jboyd@state.nd.us">jboyd@state.nd.us</a></p>

<p><b>RHODE ISLAND</b>  Joyce Karger  Department of Administration  One Capitol Hill  Providence Rhode Island 02908-5870  Telephone: (401) 222-6181  FAX: (401) 222-2083  <a href="mailto:jkarger@doa.state.ri.us">jkarger@doa.state.ri.us</a></p>	<p><b>SOUTH CAROLINA</b>  SC Clearinghouse  Budget and Control Board  Office of State Budget  1201 Main Street, Suite 950  Columbia, South Carolina 29201  Telephone: (803) 734-0494  FAX: (803) 734-0645  <a href="mailto:clearinghouse@budget.state.sc.us">clearinghouse@budget.state.sc.us</a></p>
<p><b>TEXAS</b>  Denise S. Francis  Director, State Grants Team  Governor's Office of Budget and Planning  P.O. Box 12428  Austin, Texas 78711  Telephone: (512) 305-9415  FAX: (512) 936-2681  <a href="mailto:dfrancis@governor.state.tx.us">dfrancis@governor.state.tx.us</a></p>	<p><b>UTAH</b>  Sophia DiCaro  Utah State Clearinghouse  Governor's Office of Planning and Budget Utah  Capitol Complex  Suite E210, P.O. Box 142210  Salt Lake City, Utah 84114-2210  Telephone: (801) 538-1027  FAX: (801) 538-1547  <a href="mailto:ddicaro@utah.gov">ddicaro@utah.gov</a></p>
<p><b>WEST VIRGINIA</b>  Fred Cutlip, Director  Community Development Division  West Virginia Development Office  Building #6, Room 553  Charleston, West Virginia 25305  Telephone: (304) 558-4010  FAX: (304) 558-3248  <a href="mailto:fcutlip@wvdo.org">fcutlip@wvdo.org</a></p>	<p><b>WISCONSIN</b>  Jeff Smith  Section Chief, Federal/State Relations  Wisconsin Department of Administration  101 East Wilson Street, 6<sup>th</sup> Floor  P.O. Box 7868  Madison, Wisconsin 53707  Telephone: (608) 266-0267  FAX: (608) 267-6931  <a href="mailto:jeffrey.smith@doa.state.wi.us">jeffrey.smith@doa.state.wi.us</a></p>
<p><b>AMERICAN SAMOA</b>  Pat M. Galea'i  Federal Grants/Programs Coordinator  Office of Federal Programs/Office of the  Governor  Department of Commerce  American Samoa Government  Pago Pago, American Samoa 96799  Telephone: (684) 633-5155  Fax: (684) 633-4195  <a href="mailto:pmgaleai@samoatelco.com">pmgaleai@samoatelco.com</a></p>	<p><b>GUAM</b>  Director  Bureau of Budget and Mgmt. Research  Office of the Governor  P.O. Box 2950  Agana, Guam 96910  Telephone: 011-671-472-2285  FAX: 011-671-472-2825  <a href="mailto:jer@ns.gov.gu">jer@ns.gov.gu</a></p>
<p><b>NORTH MARIANA ISLANDS</b>  Ms. Jacoba T. Seman  Federal Programs Coordinator  Office of Management and Budget  Office of the Governor  Saipan, MP 96950  Telephone: (670) 664-2289  FAX: (670) 664-2272  <a href="mailto:omb.jseman@saipan.com">omb.jseman@saipan.com</a></p>	<p><b>PUERTO RICO</b>  Jose Caballero / Mayra Silva  Puerto Rico Planning Board  Federal Proposals Review Office  Minillas Government Center  P.O. Box 41119  San Juan, Puerto Rico 00940-1119  Telephone: (787) 723-6190  FAX: (787) 722-6783</p>
<p><b>VIRGIN ISLANDS</b>  Ira Mills  Director, Office of Management and  Budget  # 41 Norre Gade Emancipation Garden  Station, Second Floor  Saint Thomas, Virgin Islands 00802  Telephone: (340) 774-0750  FAX: (787) 776-0069  <a href="mailto:irmills@usvi.org">irmills@usvi.org</a></p>	

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

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

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

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

### ***NOTICE TO ALL APPLICANTS***

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

#### **To Whom Does This Provision Apply?**

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

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

#### **What Does This Provision Require?**

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs. This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation in, the Federally-funded project or activity.

The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

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

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

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

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

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

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

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **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.

## APPLICATION FORMS AND INSTRUCTIONS

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

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

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

Part III: Application Narrative.

Part IV: Assurances and Certifications --

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

Certifications Regarding Lobbying (ED Form 80-0013).

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Covered Transactions (ED Form 80-0014) and Instructions.

Disclosure of Lobbying Activities.

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



# Application for Federal Education Assistance (ED 424)



U.S. Department of Education

Form Approved  
OMB No. 1890-0017  
Exp. 04/30/2008

## Applicant Information

### 1. Name and Address

Legal Name: \_\_\_\_\_

Address: \_\_\_\_\_

City

State

County

ZIP Code + 4

Organizational Unit

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

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

4. Catalog of Federal Domestic Assistance #: **84.** |\_\_\_\_| |\_\_\_\_| |\_\_\_\_| |\_\_\_\_|

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

5. Project Director: \_\_\_\_\_

Address: \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip code + 4 \_\_\_\_\_

Tel. #: ( ) \_\_\_\_\_ - \_\_\_\_\_ Fax #: ( ) \_\_\_\_\_ - \_\_\_\_\_

E-Mail Address: \_\_\_\_\_

## Application Information

### 10. Type of Submission:

*-PreApplication*                      *-Application*  
 Construction                       Construction  
 Non-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.

12. Proposed Project Dates: \_\_\_\_/\_\_\_\_/\_\_\_\_      \_\_\_\_/\_\_\_\_/\_\_\_\_  
**Start Date:**                      **End Date:**

## 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 preapplication/application are true and correct. The document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached assurances if the assistance is awarded.

a. Authorized Representative (*Please type or print name clearly.*)  
\_\_\_\_\_  
b. Title: \_\_\_\_\_  
c. Tel. #: ( ) \_\_\_\_\_ - \_\_\_\_\_ Fax #: ( ) \_\_\_\_\_ - \_\_\_\_\_  
d. E-Mail Address: \_\_\_\_\_

e. Signature of Authorized Representative \_\_\_\_\_ Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

6. Novice Applicant  Yes  No

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

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

A - State                              F - Independent School District  
B - Local                              G - Public College or University  
C - Special District                      H - Private, Non-profit College or University  
D - Indian Tribe                      I - Non-profit Organization  
E - Individual                      J - Private, Profit-Making Organization

K - Other (*Specify*): \_\_\_\_\_

9. State Application Identifier \_\_\_\_\_

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 #): \_\_\_\_\_

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

## 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://12.46.245.173/pls/portal30/catalog.REQ\\_FOR\\_12372.show](http://12.46.245.173/pls/portal30/catalog.REQ_FOR_12372.show)

## 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 13 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 13 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 13 a. you must provide the "nonexempt research" narrative. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

#### (1) **Human Subjects Involvement and Characteristics:**

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

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

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

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

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

(6) **Importance of the Knowledge to be Gained:** Discuss the importance of the knowledge gained or to be gained as a result of

the proposed research. Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

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

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



**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.
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**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) 377-3838 for additional information regarding calculating indirect cost rates or general indirect cost rate information.

4. Provide other explanations or comments you deem necessary.

## Paperwork Burden Statement

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

### PART III - APPLICATION NARRATIVE

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

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

## ASSURANCES - NON-CONSTRUCTION PROGRAMS

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

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

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

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

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§ 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §§874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
APPLICANT ORGANIZATION	DATE SUBMITTED

## CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans and Cooperative Agreements.

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

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal Loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan or cooperative agreement.

(2) If any funds other Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan or cooperative agreement, the undersigned shall complete and submit Standard Form – LLL, “Disclosure of Lobbying Activities,” in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance.

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

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

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

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

### Disclosure of Lobbying Activities

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352  
(See reverse for public burden disclosure)

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

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

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

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

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





# Survey on Ensuring Equal Opportunity FOR APPLICANTS

*Do not enter information below unless instructed to do so.*

OMB No. 1890-0014 Exp. 1/31/2006

**Purpose:** This form is for applicants that are nonprofit private organizations (not including private universities). Please complete it to assist the Federal government in ensuring that all qualified applicants, small or large, non-religious or faith-based, have an equal opportunity to compete for Federal funding. Information provided on this form will not be considered in any way in making funding decisions and will not be included in the Federal grants database.

### **Instructions for Submitting Survey**

**If submitting hard copy**, please place the completed survey in an envelope labeled "Applicant Survey." Seal the envelope and include it with your application package.

**If submitting electronically**, please include the PR Award Number assigned to your e-application in the box above entitled "*Do not enter information below unless instructed to do so.*" Place and seal the completed survey in an envelope and mail it to: Joyce I. Mays, Application Control Center, U.S. Department of Education, Room 7067 Potomac Center Plaza, 550 12th Street, Washington, DC 20202-4725

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

Yes  No

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

3 or Fewer  15-50  
 4-5  51-100  
 6-14  over 100

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

Less Than \$150,000  
 \$150,000 - \$299,999  
 \$300,000 - \$499,999  
 \$500,000 - \$999,999  
 \$1,000,000 - \$4,999,999  
 \$5,000,000 or more

4. Is the applicant a faith-based/religious organization?

Yes  No

5. Is the applicant a non-religious community-based organization?

Yes  No

6. Is the applicant an intermediary that will manage the grant on behalf of other organizations?

Yes  No

7. Has the applicant ever received a government grant or contract (Federal, State, or local)?

Yes  No

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

Yes  No

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## Survey Instructions on Ensuring Equal Opportunity for Applicant

1. 501(c)(3) status is a legal designation provided on application to the Internal Revenue Service by eligible organizations. Some grant programs may require nonprofit applicants to have 501(c)(3) status. Other grant programs do not.
2. For example, two part-time employees who each work half-time equal one full-time equivalent employee. If the applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.
3. Annual budget means the amount of money your organization spends each year on all of its activities.
4. Self-identify.
5. An organization is considered a community-based organization if its headquarters/service location shares the same zip code as the clients you serve.
6. An “intermediary” is an organization that enables a group of small organizations to receive and manage government funds by administering the grant on their behalf.
7. Self-explanatory.
8. Self-explanatory.

### Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0014. The time required to complete this information collection is estimated to average five (5) minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4651. **If you have comments or concerns regarding the status of your individual submission of this form, write directly to:** Joyce I. Mays, Application Control Center, U.S. Department of Education, Room 7067 Potomac Center Plaza, 550 12th Street, Washington, DC 20202.

**NOTICE TO ALL APPLICANTS:  
Program Performance Measures Under The Government Performance  
And Results Act (GPRA)**

## What is GPRA

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

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

As required by GPRA, the United States Department of Education (the Department) has prepared a strategic plan for 2002-2007. This plan reflects the Department's priorities and integrates them with its mission and program authorities and describes how the Department will work to improve education for all children and adults in the United States. The Department's goals, as listed in the plan, are:

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

## DUNS Number Instructions

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

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

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

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

## **GRANT APPLICATION RECEIPT ACKNOWLEDGEMENT**

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

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

## **GRANT AND CONTRACT FUNDING INFORMATION**

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

ED Internet Home Page

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

(WWW address)