

Foundations for Learning Grants Program

**Promotion of School Readiness through Early Childhood Emotional,
Behavioral and Social Development**

CFDA #84.215H

Information and Application Procedures for Fiscal-Year 2007

Application Deadline: April 13, 2007



Frequently Asked Questions
[Pages 24-27]

U.S. Department of Education
Office of Safe and Drug-Free Schools

OMB No. 1890-0009 Expiration Date: 06/30/2008



UNITED STATES DEPARTMENT OF EDUCATION

OFFICE OF SAFE AND DRUG-FREE SCHOOLS

ASSISTANT DEPUTY SECRETARY

Dear Colleague:

Thank you for your interest in the Foundations for Learning Grants Program (CFDA 84.215H) administered by the U.S. Department of Education's Office of Safe and Drug-Free Schools.

This program is authorized by the Elementary and Secondary Education Act (ESEA) as amended by the No Child Left Behind Act (NCLB) of 2001. NCLB represents the President's education reform plan and contains four basic principles: stronger accountability for results, increased flexibility and local control, expanded options for parents, and an emphasis on teaching methods and other strategies that have been proven to work.

The Foundations for Learning Program supports the President's vision by helping young children to become ready for school through early childhood social, emotional, and behavioral development. We encourage you to consider the four important principles embodied in the NCLB as you develop your application.

We look forward to receiving your application for support under the Foundations for Learning Program.

Sincerely,

A handwritten signature in cursive script that reads "Deborah A. Price".

Deborah A. Price

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I. APPLICATION SUBMISSION PROCEDURES

Application Transmittal Instructions

Applications for grants under this grant competition may be submitted electronically or in paper format by mail or hand delivery. The electronic submission of applications is voluntary. However, if you choose to submit your application electronically you must use the site listed below. **Note:** You may not submit your application by e-mail or facsimile.

Attention Electronic Applicants: Please note that you must follow the application procedures as described in the Notice Inviting Applications for this grant competition, published in the Federal Register on February 20, 2007. 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 (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 Grants.gov 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 on February 20, 2007, the Grants.gov Submission Procedures and Tips document on pages 9-11 of this application package, and the Grants.gov Web site (www.grants.gov).

You may access the electronic application for the Foundations for Learning Grants Program at the following Web sites: www.grants.gov or www.ed.gov/programs/learningfoundations/index.html.

Applications Sent by Mail

You must mail the original and two copies of the application on or before the deadline date. To help expedite our review of your application, we would appreciate your voluntarily including an additional copy of your application. Please mail copies to: U.S. Department of Education, Application Control Center, Attention: CFDA # 84.215H, 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 Service.

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

Applications Delivered by Commercial Carrier

Special Note: Due to 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 or United Parcel Service should be mailed to: U.S. Department of Education, Application Control Center – Stop 4260, Attention: CFDA #84.215H, 7100 Old Landover Road, Landover, MD 20785-1506.

Applications Delivered by Hand

You or your courier must hand deliver the original and two copies of your 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 copy of your application. Please hand deliver copies to: U.S. Department of Education, Application Control Center, Attention: CFDA #84.215H, 550 12th 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.

Grants.gov Submission Procedures and Tips for Applicants

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 may take five or more business days to complete. You may begin working on your application while completing the registration process, but you cannot submit an application until all of the registration steps are complete. For detailed information on the registration steps, go to www.grants.gov/applicants/get_registered.jsp. **Note:** Your organization will need to update its Central Contractor Registry (CCR) registration annually.
2. **Submit Early** – We strongly recommend that you do not wait until the last day to submit your application. Grants.gov will put a date and 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 D-U-N-S number on your application that was used when your organization registered with the CCR.
3. **Verify Submission is OK** – You will want to verify that Grants.gov and the Department of Education received your Grants.gov submission timely and that it was validated successfully. To see the date and time your application was received, log in to Grants.gov and click on the Track My Application link. For a successful submission, the date and time received should be earlier than 4:30 p.m. (Washington, DC time) on the deadline date, and the application status should be Validated, Received by Agency, or Agency Tracking Number Assigned.

If the date and 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 (www.grants.gov/help/submit_application_faqs.jsp#10). For more detailed information on why an application may be rejected, please review the Application Error Tips document (www.grants.gov/section910/ApplicationErrorTips.pdf). If you discover your application is late or has been rejected, please see the instructions below.

Note: You will receive a series of confirmations both online and via e-mail about the status of your application. Please do not rely solely on e-mail to confirm whether your application has been received timely and validated successfully.

Submission Problems – What should you do?

If you have problems submitting to Grants.gov before the deadline date, contact Grants.gov Customer Support at 800/518-4726 or use the customer support available on the Web site (www.grants.gov/applicants/applicant_help.jsp).

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

If electronic submission is required, you must submit an electronic application before 4:30 p.m. (Washington, DC time), 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 that 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 log on to Grants.gov to upload and submit the application. You must provide on your application the D-U-N-S number that was used when your organization registered with the CCR.

Please go to www.grants.gov/applicants/applicant_help.jsp for help with Grants.gov. For additional tips related to submitting grant applications, please refer to the Grants.gov Submit Application FAQs found on Grants.gov (www.grants.gov/help/submit_application_faqs.jsp).

Dial-Up Internet Connections

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

MAC Users

If you do not have a Windows operating system, you will need to use the Citrix solution discussed on Grants.gov or a Windows Emulation program to submit an application using Grants.gov. For additional information, review the FAQs for non-Windows users (www.grants.gov/resources/download_software.jsp#non_window). To view the white paper for

Macintosh users published by Pure Edge, go to www.grants.gov/section678/PureEdgeSupportforMacintosh.pdf or contact Grants.gov Customer Support (www.grants.gov/contactus/contactus.jsp) for more information. If electronic submission is required and you are concerned about your ability to submit electronically as a non-Windows user, please follow 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.

II. PROGRAM BACKGROUND INFORMATION

General Information

ELIGIBILITY

Eligible applicants under this competition are local educational agencies (LEAs); local councils; community-based organizations (CBOs), including faith-based organizations, provided that they meet the applicable statutory and regulatory requirements; other public and nonprofit private entities; or a combination of such entities.

AUTHORITY

This grant program is authorized under Title V, Part D, Subpart 14, Section 5542 of the Elementary and Secondary Education Act of 1965, as amended by the No Child Left Behind Act of 2001 (Public Law 107-110).

NOTE TO APPLICANTS

The official documents governing this competition are the Notice Inviting Applications and the Correction Notice published in the Federal Register (See Section III [Legal and Regulatory Documents] of this application package). These notices also are available electronically at the following Web sites: www.ed.gov/legislation/FedRegister and www.gpoaccess.gov/nara.

NOTICE OF NONDISCRIMINATION

All applicants under this grant competition should familiarize themselves with all federal statutes related to nondiscrimination, as outlined in Item 6 of Standard Form 424B, to ensure that their proposed activities are compliant. For instance, an applicant may determine through a needs assessment that first-year students are the specific student population identified for services provided under this grant. Subsequently, the applicant must ensure that neither male nor female first-year students are excluded on the basis of sex. In this example, the applicant would need to be in compliance with Title IX of the Education Amendments of 1972, as amended (20 U.S.C. subsections 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex.

RESOURCES

Any questions related to the requirements of this grant competition should be directed to Earl Myers, Jr. of the Office of Safe and Drug-Free Schools (OSDFS) at 202/708-8846. The OSDFS Web site is located at www.ed.gov/osdfs.

GRANT AWARDS AND PROJECT PERIOD

The project period for this grant is 18 months. Applicants must submit an ED Form 524 and a detailed budget narrative that covers the entire 18-month period. We intend the project and budget periods for projects funded under this grant competition to be June 12, 2007 – December 11, 2008. However, awards may be made as late as September 30, 2007. No continuation

awards will be provided for projects funded under this competition. The Department estimates making up to 4 new awards under this competition. We estimate that projects will be funded for approximately \$200,000 to \$300,000, depending upon the scope of work. These figures are only estimates and do not bind the Department of Education to a specific number of grants or amount of any grant.

APPLICATION REQUIREMENTS

Applications submitted under this program must include the following:

1. A description of the population that the applicant intends to serve and the types of services to be provided under the grant;
2. A description of the manner in which services under the grant will be coordinated with existing similar services provided by public and nonprofit private entities within the State; and
3. An assurance that--
 - services under the grant will be provided by or under the supervision of qualified professionals with expertise in early childhood development;
 - these services will be culturally competent;
 - these services shall will be provided in accordance with the permissible uses of funds as described elsewhere in this notice;
 - funds will be used to supplement, and not supplant, non-Federal funds; and
 - parents of students participating in services will be involved in the design and implementation of the services.

LIMITATIONS

- Grant funds may be used only to pay for services that cannot be paid for using other Federal, State, or local public resources or through private insurance.
- A grantee may not use more than 3 percent of the amount of the grant to pay the expenses of administering the authorized activities, including assessment of children's eligibility for services.

PARTICIPATION OF FAITH-BASED ORGANIZATIONS

Faith-based organizations are eligible to apply for grants under this competition provided they meet all statutory and regulatory requirements.

DEFINITIONS

(1) The term “eligible child” means a child who has not attained the age of 7 years, and to whom two or more of the following characteristics apply:

- The child has been abused, maltreated, or neglected.
- The child has been exposed to violence
- The child has been homeless.
- The child has been removed from childcare, Head Start, or preschool for behavioral reasons or is at risk of being so removed.
- The child has been exposed to parental depression or other mental illness.
- The family income with respect to the child is below 200 percent of the poverty line.
- The child has been exposed to parental substance abuse.
- The child has had early behavioral and peer relationship problems.
- The child had a low birth weight.
- The child has a cognitive deficit or development disability.

(2) The term “parent” includes a legal guardian or other person standing in loco parentis (such as a grandparent or stepparent with whom the child lives, or a person who is legally responsible for the child’s welfare).

(3) The term “local council” means a council that is established or designated by a local government entity, Indian tribe, regional corporation, or native Hawaiian entity, as appropriate, which is composed of representatives of local agencies directly affected by early learning programs, parents, key community leaders, and other individuals concerned with early learning issues in the locality, such as elementary education, child care resource and referral services, early learning opportunities, child care, and health services.

(4) The term “local educational agency” (LEA) means:

- A public board of education or other public authority legally constituted within a State for either administrative control or direction of, or to perform a service function for, public elementary or secondary schools in a city, county, township, school district, or other political subdivision of a State, or for such a combination of school districts or counties that is recognized in a State as an administrative agency for its public elementary or secondary schools.
- The term includes any other public institution or agency having administrative control and direction of a public elementary or secondary school.
- The term includes an elementary or secondary school funded by the Bureau of Indian Affairs but only to the extent that including the school makes the school eligible for programs for which specific eligibility is not provided to such school in another provision of law and the school does not have a student population that is smaller than the student population of the local educational agency receiving assistance under the Elementary and Secondary Education Act with the smallest

student population, except that the school shall not be subject to the jurisdiction of any State educational agency other than the Bureau of Indian Affairs [20 U.S.C. 8011 (18)].

- The term includes educational service agencies and consortia of those agencies.
- The term includes the State educational agency in a State in which the State is the sole educational agency for all public schools.

(5) The term “non-profit” refers to an agency, organization, or institution, that is owned and operated by one or more corporations or associations whose net earnings do not benefit, and cannot lawfully benefit, any private shareholder or entity.

(6) The term “community-based organization” means a public or private nonprofit organization of demonstrated effectiveness that is representative of a community or significant segments of a community and provides educational or related services to individuals in the community.

TRAVEL BUDGET

Applicants must budget for the project director to attend a project director’s meeting (two days) during the first year and attendance by the project director and at least one additional staff member to attend the OSDFS National Conference (three days). These meetings will usually be held in Washington, DC. For planning purposes, applicants should include funds for transportation, lodging and per diem costs.

E-MAIL ADDRESSES

As part of our review of your application, we may need to contact you with questions for clarification. Please be sure your application contains valid e-mail addresses for the project director and authorized representative or another party designated to answer questions in the event the project director and authorized representative are unavailable.

REVIEW OF APPLICATIONS AND NOTIFICATION OF AWARD

The review of applications and notification of awards for this grant competition requires approximately 6 to 8 weeks. We expect to notify successful applicants by early June 2007. Unsuccessful applicants will be notified within 60 days of the award start date.

HUMAN SUBJECTS RESEARCH

Please see Item 3 of the instructions for Supplemental Information for Standard Form 424 in Section IV of this application package. Projects funded under this grant program may be subject to protection of human subjects research requirements. If you have any questions about your responsibilities under these requirements, please contact ED’s protection of human subjects coordinator at 202/245-6153.

THE U.S. DEPARTMENT OF EDUCATION’S (ED) EXPECTATIONS

By submitting an application for this program, applicants agree to fully cooperate with any evaluation efforts conducted by ED and its contractors. At a minimum, grantees are expected to: maintain records on how their program is operating; maintain records on the extent to which their program objectives are being met; include specific performance measures in their evaluation plan; and make ongoing project information, findings, and products available to ensure the dissemination of knowledge gained from this effort during the grant period.

The Government Performance and Results Act (GPRA)

The Government Performance and Results Act of 1993 (GPRA) 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 their progress to the Congress. In so doing, it is expected that the 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.

We have identified the following key GPRA performance measures for assessing the effectiveness of this program at the end of these 18 month grants:

1. The percentage of eligible children served by the grant attaining measurable gains in emotional, behavioral, and social development will increase; and)
2. The percentage of eligible children and their families served by the grant receiving individualized support from child-serving agencies or organizations will increase.

Grantees will be expected to collect data on the performance measure above that applies to their project, and report that data to the Department in their annual performance report and final performance report (www.ed.gov/fund/grant/apply/appforms/ed524b_coverfill.pdf and www.ed.gov/fund/grant/apply/appforms/ed524b_statusfill.pdf).

Tips for Preparing and Submitting an Application

A. Before You Begin

- Read this application package carefully and make sure you follow all of the instructions.
- Use the tools we have provided to help you including:
 - ✓ Frequently Asked Questions section in this application package
 - ✓ Resources related to this specific grant competition on our Web site at www.ed.gov/programs/learningfoundations/index.html
 - ✓ General grant application technical assistance resources on our Web site at www.ed.gov/admins/grants/apply/techassist/index.html
- If there is information that you do not understand, contact the competition manager for this grant competition.

B. Preparing Your Application

- Be thorough in your program description. Write so that someone who knows nothing about your organization or your program plan can understand what you are proposing.
- Organize your application according to the selection criteria and respond comprehensively.
- Make sure your budget narrative provides enough detail about planned expenditures so ED staff can easily determine how the funds will be spent.
- Link your planned expenditures to the goals and objectives of your program. Do not request funds for miscellaneous purposes and make sure you demonstrate that your proposed expenditures are necessary to carry out your program.

C. Submitting Your Application

- Use the checklist provided in this application package to ensure your application is complete before submitting it.
- Make sure all required forms are included and signed by an authorized representative of your organization.
- Transmit your application by the deadline date. If you submit your application electronically, you must use the Grants.gov Web site. If you use the U.S. Postal Service, make sure you have a legible postmark date. If you use an overnight carrier, get a receipt.

D. What Happens Next?

- In approximately two weeks (depending on the volume of applications we receive), you should receive a postcard from ED's Application Control Center acknowledging receipt of your application and giving you its assigned number. Please refer to this number if you need to contact us about your application.
- OSDFS staff members screen each application to ensure that all program eligibility requirements are met and all forms are included.
- Your application will be assigned to a three-person panel of independent reviewers and will receive a score from 0 to 100 depending how well it addresses the selection criteria.

- A Grant Award Notification will be sent to applicants whose proposals score within the funding range. Unsuccessful applicants will receive a notification letter. All applicants will receive information on how to get access to peer reviewers' comments. Please be sure your application contains valid e-mail addresses.

General Information Regarding The Foundations for Learning Program

Success in school is often subject to a child's ability to recognize and regulate his or her own emotions and behavior. This self-discipline allows children to develop self-direction, resolve conflict with peers, and cooperate with others. Studies have shown that a number of risk factors, such as poverty, parental depression and substance abuse, abuse and neglect, homelessness, low birth weight, and other medical causes may affect a child's readiness for school. When more than one of these risk factors is present, the probability of early school failure increases.

According to information provided in Section 2 of the Foundations for Learning Act as introduced by the 107th Congress in 2001, kindergarten teachers are reporting an increase in the number of children unprepared to cope with the demands of school not because of academic capability, but the lack of social skills and emotional self-regulation necessary to succeed. In Rimm-Kaufman Pianta and Cox (2000), 46 percent of kindergarten teachers reported that at least half of their class had difficulty following direction, 34 percent reported that half of the class or more had difficulty working as part of a group, and 20 percent said that at least half of the class had problems with social skills.¹ However, through early interventions, children can gain skills that may result in later savings in public expenditures for special education, income support, and criminal justice. Early interventions may also increase the likelihood children will follow a more favorable developmental and academic path.

Head Start programs and other childcare providers can also help to shape a child's emotional and social development. In a recent study entitled *Neurons to Neighborhoods*, conducted by the Board on Children, Youth, and Families of the Institute of Medicine, it was determined that more than 32 percent of all young children are affected by at least one risk factor such as low income, low maternal education, or single-parent status, and 16 percent are in families with two or more socio-demographic risks. Teachers and child care providers are likely to find that, while some children do very well despite exposure to these risks, other children struggle with a range of emotional and behavioral difficulties that make the tasks of teaching and care giving very difficult. Therefore, childcare and early childhood education providers need to promote social skills for children in order to reduce challenging behavior in the classroom and facilitate a positive learning climate.²

Parents are likely to be the most influential adults in their children's lives and are responsible for promoting their children's healthy development. Research demonstrates that a child's development is deeply influenced by the relationships with parents, the behavior of parents, and the environment in the home. A report published by the National Center for Children in Poverty indicates that parents can become more effective in encouraging healthy emotional development in their young children once their own barriers such as poor parenting practices, substance abuse, domestic violence, depression, inappropriate expectations about child development, and other stressors have been addressed.³

Programs that prepare children for school should also be sensitive and responsive to their cultural diversity. The National Center for Children in Poverty explains that those who provide services and supports to young children and families have a special obligation to be responsive to ethnic

and cultural strengths and customs and to facilitate understanding among different ethnic and cultural groups.³

For children to succeed in the transition to school, they must be able to: accurately identify emotions in themselves and others, relate to teachers and peers in positive ways, manage feelings of anger, frustration, and distress when faced with emotionally charged situations, enjoy academic learning and approach it enthusiastically, and work attentively, independently, and cooperatively in a structured classroom environment.⁴ The Foundations for Learning Grant program will support projects that help children become ready for school. Grants under the program will focus on a child's emotional, social, and behavioral development and will coordinate with services through community resources for individualized support to children and their families.

¹ Rimm-Kauffman, S., Pianta, R., & Cox, M. (2000), Teachers' Judgments of Problems in the Transition to Kindergarten, *Early Childhood Research Quarterly*, 15 (2), 147-166.

^{2, 4} Knitzer, J. (2002). *Ready to Enter (What Research Tells Policymakers About Strategies to Promote Social and Emotional School Readiness Among Three- and Four-Year-Old Children)*, New York, NY. National Center for Children in Poverty, Columbia University Mailman school of Public Health.

³ Knitzer, J. (2001). *Building Services and Systems to Support the Healthy Emotional Development of Young Children (Promoting the Emotional Well-being of Children and Families Policy Paper No. 1)*. New York, NY: National Center for Children in Poverty, Columbia University Mailman School of Public Health.

Funding Priority

In accordance with 34 CFR 75.105 (b)(2)(iv), this priority is from section 5542 of the Elementary and Secondary Education Act of 1965, as amended by the No Child Left Behind Act of 2001, 20 U.S.C. 7269a (ESEA).

Absolute Priority

For FY 2005 and any subsequent year in which we make awards on the basis of the list of unfunded applications from this competition, this priority is an absolute priority. Under 34 CFR 75.105(c)(3) we consider only applications that meet this priority. This priority is: Grants to local educational agencies, local councils, community-based organizations, including faith-based organizations, and other public and nonprofit private entities, or a combination of such entities, to assist eligible children to become ready for school.

To be eligible for funding, a project must propose one or more of the following:

1. To deliver services to eligible children and their families that foster eligible children's emotional, behavioral, and social development;
2. To coordinate and facilitate access by eligible children and their families to the services available through community resources, including mental health, physical health, substance abuse, educational, domestic violence prevention, child welfare, and social services;
3. To provide ancillary services such as transportation or child care in order to facilitate the delivery of any other authorized services or activities;
4. To develop or enhance early childhood community partnerships and build toward a community system of care that brings together child-serving agencies or organizations to provide individualized supports for eligible children and their families;
5. To evaluate the success of strategies and services provided pursuant to the grant in promoting young children's successful entry to school and to maintain data systems required for effective evaluations; and
6. To pay for the expenses of administering the grant activities, including assessment of children's eligibility for services.

APPLICATION REQUIREMENTS

Applications submitted under this program must include the following:

1. A description of the population that the applicant intends to serve and the types of services to be provided under the grant;
2. A description of the manner in which services under the grant will be coordinated with existing similar services provided by public and nonprofit private entities within the State; and
3. An assurance that--
 - services under the grant will be provided by or under the supervision of qualified professionals with expertise in early childhood development;
 - these services will be culturally competent;
 - these services shall will be provided in accordance with the permissible uses of funds as described elsewhere in this notice;
 - funds will be used to supplement, and not supplant, non-Federal funds; and
 - parents of students participating in services will be involved in the design and implementation of the services.

Selection Criteria

The following selection criteria will be used to evaluate applications. For ease of reading by the reviewers, applicants should develop their narrative description to follow the sequence of criteria provided below. The maximum number of possible points for all selection criteria is 100. **Note:** *The criteria contain weighted subcriteria. Applicants must address each subcriterion to qualify for the maximum number of points for each criterion.*

- 1) Significance - 15 points
- 2) Quality of the Project Design - 35 points
- 3) Quality of the Project Services - 30 points
- 4) Quality of the Management Plan - 5 points
- 5) Quality of the Project Evaluation - 15 points

1. Significance (15 points)

- A. 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. (15 points)

In your proposal, reviewers will look at the quality and feasibility of the applicant's plan to develop or enhance early childhood community partnerships in order to build a community system of care.

2. Quality of the Project Design (35 points)

- A. The extent to which the design of the proposed project reflects up-to-date knowledge from research and effective practice. (10 points)
- B. The extent to which the proposed project encourages parental involvement. (10 points)
- C. The extent to which the proposed project is designed to build capacity and yield results that will extend beyond the period of Federal financial assistance. (15 points)

In your proposal, reviewers will look at the quality of the applicant's plan to comprehensively address the emotional, behavioral, and social development of eligible children.

3. Quality of the Project Services (30 points)

- A. In determining the quality of services to be provided by the proposed project, 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. (5 points)
- B. The likely impact of the services to be provided by the proposed project on the intended recipients or those services. (10 points)
- C. 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. (15 points)

In your proposal, reviewers will look for evidence that the applicant is likely to achieve success with respect to performance measures for this program.

4. Quality of the Management Plan (5 points)

- A. 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. (5 points)

In your proposal, reviewers will look at the applicant's ability to coordinate existing similar services.

5. Quality of the Project Evaluation (15 points)

- A. The extent to which the methods of evaluation are thorough, feasible, and appropriate to the goals, objectives, and outcomes of the proposed project. (5 points)
- B. The extent to which the methods of evaluation include the use of objective performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data to the extent possible. (10 points)

In your proposal, reviewers will look at the quality of the applicant's plan to provide (a) reliable data that accurately measures changes in emotional, behavioral, and social development, and (b) individualized services.

Frequently Asked Questions

What is the goal of this grant competition?

- The goal of this grant competition is to provide funds to support projects that assist eligible children become ready for school.

Who is eligible to apply?

- Eligible applicants under this competition are local educational agencies (LEAs); local councils; community-based organizations (CBOs), including faith-based organizations, provided that they meet the applicable statutory and regulatory requirements; other public and nonprofit private entities; or a combination of such entities.

What is the deadline date for applications under this grant competition?

- April 13, 2007.

May I get an extension of the deadline date?

- Waivers for individual applications failing to meet the deadline will not be granted, regardless of the circumstances. Under very extraordinary circumstances the Department may change the closing date for a grant competition. When this occurs, the Department announces such a change in a notice published in the Federal Register.

How is the term “eligible child” defined?

- The term “eligible child” means a child who has not attained the age of 7 years, and to whom *two or more* of the following characteristics apply:
 - The child has been abused, maltreated, or neglected.
 - The child has been exposed to violence
 - The child has been homeless.
 - The child has been removed from childcare, Head Start, or preschool for behavioral reasons or is at risk of being so removed.
 - The child has been exposed to parental depression or other mental illness.
 - The family income with respect to the child is below 200 percent of the poverty line.
 - The child has been exposed to parental substance abuse.
 - The child has had early behavioral and peer relationship problems.
 - The child had a low birth weight.
 - The child has a cognitive deficit or development disability

What are the project and budget periods for these grants?

- The project period for this program is 18 months. No continuation awards will be provided. A single budget should be submitted for the entire 18-month period.

How much money is available under this grant competition?

- The Administration has requested \$982,000 for new awards under this program for FY 2007. The actual level of funding, if any, depends on final congressional action. This figure is only an estimate and does not bind the Department to any specific level of funding.

How many new awards will be made?

- It is estimated that 4 new awards will be made.

What is the average amount of each grant?

- Projects will be funded for approximately \$200,000 to \$300,000, depending upon the scope of work. These figures are only estimates and do not bind the Department of Education to a specific number of grants or amount of any grant.

Is there a matching requirement?

- No.

Is there a restricted indirect cost rate for this program?

- No. For this grant competition, you may charge indirect costs using the rate negotiated with your cognizant federal agency (e.g., Department of Education, Department of Health and Human Services, Department of the Interior). Individuals who apply for any grant competition through the Department of Education are not allowed to budget for an indirect cost rate.

You are encouraged to give priority to direct services to students by limiting the indirect costs charged to the project. You will not be penalized for failure to reduce indirect costs nor will you gain a competitive advantage if you do.

If you claim indirect costs in the budget for your proposed project and do not have a negotiated rate with the federal government, you have 90 days from the time you transmit your application to submit the necessary paperwork to the Department to receive a negotiated indirect cost rate. For more information about indirect cost rates, please visit www.ed.gov/about/offices/list/ocfo/intro.html.

Can grant funds be used to support professional development activities?

- Yes, as long as the activities directly support the purposes of the grant.

Are there guidelines for how much money can be spent on consultants? What is the daily limit and is there a cap?

- There is no daily limit or cap for consultant fees. Information related to these fees should be included on ED Form 524 under the Contractual budget category. Also, applicants should be sure to fully substantiate all expenditures in the budget narrative.

May I use funds from this grant to provide meals for the children participating in the program?

- No, funds may not be used to purchase food, provide incentives for participation, or purchase any other item not directly related to the program.

What steps can I take to maximize my chances of receiving a grant?

- Before preparing your application, read the application package carefully and completely.
- Follow all of the instructions exactly.
- If you're uncertain about any aspects of this application package, contact the competition manager for clarification.
- Absolute priorities establish the parameters for applications under a grant competition. If your application does not meet the absolute priority for this grant competition, it will not be considered for funding.
- A panel of three persons will review your application. Be sure to organize your application clearly, provide requested information in a comprehensive manner, and respond to each selection criterion thoroughly. Reviewers are not allowed to give you "the benefit of the doubt"; therefore, if it is not in your application, they cannot award points for it.
- Be sure that your application includes a budget request (ED Form 524) and a complete narrative justification for the entire 18-month period.
- Be sure to mail in your application on or before the deadline date of April 13, 2007.

How does the Freedom of Information Act affect my application?

- The Freedom of Information Act (FOIA) provides that any person has the right to request access to federal agency records or information. All U.S. Government agencies are required to disclose records upon receiving a written request for them, except for those records that are protected from disclosure by the nine exemptions listed in the FOIA. All applications submitted for funding consideration under this grant competition are subject to the FOIA. To read the text of the Freedom of Information Act, visit www.usdoj.gov/04foia/foiastat.htm.

Who do I contact for more information about this grant competition?

- Earl Myers, Jr., Education Program Specialist, U.S. Department of Education, 400 Maryland Avenue, SW – Room 3E254, Washington, DC 20202-6450, Phone: 202/708-8846, Fax: 202/205-5722, E-mail: earl.myers@ed.gov.

III. LEGAL AND REGULATORY DOCUMENTS

Notice Inviting Applications **Federal Register Publication Date – February 20, 2007**

4000-01-U
DEPARTMENT OF EDUCATION
Office of Safe and Drug-Free Schools

Overview Information

Foundations for Learning Grant Competition

Notice inviting applications for new awards for fiscal year (FY) 2007.

Catalog of Federal Domestic Assistance (CFDA) Number: 84.215H

Dates:

Applications Available: February 20, 2007.

Deadline for Transmittal of Applications: April 13, 2007.

Deadline for Intergovernmental Review: June 12, 2007.

Eligible Applicants: Local educational agencies (LEAs), local councils, community-based organizations, provided that they meet the applicable statutory and regulatory requirements and other public and nonprofit private entities, or a combination of such entities.

Estimated Available Funds: The Administration's budget request for FY 2007 does not include funds for this program. However, we are inviting applications to allow enough time to complete the grant process before the end of the current fiscal year if Congress appropriates funds for this program. Contingent upon the availability of funds and the quality of applications, we may make additional awards in FT 2008 and subsequent years based on the list of unfunded applications from this competition.

Estimated Range of Awards: \$200,000 - \$300,000.

Estimated Average Size of Awards: \$245,500.

Estimated Number of Awards: 4.

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

Project Period: Up to 18 months.

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program: This program supports projects to help eligible children become ready for school.

Priorities: In accordance with 34 CFR 75.105 (b)(2)(iv), this priority is from section 5542 of the Elementary and Secondary Education Act of 1965, as amended by the No Child Left Behind Act of 2001, 20 U.S.C. 7269a (ESEA).

Absolute Priority: For FY 2007 and any subsequent year in which we make awards based on the list of unfunded applications from this competition, this priority is an absolute priority. Under 34 CFR 75.105(c)(3) we consider only applications that meet either of the absolute priorities. This priority is: Grants to local educational agencies, local councils, community-based organizations, including faith-based organizations, and other public and nonprofit private entities, or a combination of such entities, to assist eligible children to become ready for school.

To be eligible for funding, a project must propose one or more of the following:

- (1) To deliver services to eligible children and their families that foster eligible children's emotional, behavioral, and social development;
- (2) To coordinate and facilitate access by eligible children and their families to the services available through community resources, including mental health, physical health, substance abuse, educational, domestic violence prevention, child welfare, and social services;
- (3) To provide ancillary services such as transportation or child care in order to facilitate the delivery of any other authorized services or activities;
- (4) To develop or enhance early childhood community partnerships and build toward a community system of care that brings together child-serving agencies or organizations to provide individualized supports for eligible children and their families;
- (5) To evaluate the success of strategies and services provided pursuant to the grant in promoting young children's successful entry to school and to maintain data systems required for effective evaluations; and
- (6) To pay for the expenses of administering the grant activities, including assessment of children's eligibility for services.

Program Authority: 20 U.S.C. 7269a.

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

II. Award Information

Type of Award: Discretionary grants.

Estimated Available Funds: The Administration's budget request for FY 2007 does not include funds for this program. However, we are inviting applications to allow enough time to complete the grant process before the end of the current fiscal year if Congress appropriates funds for this program. Contingent upon the availability of funds and the quality of applications, we may make additional awards in FT 2008 and subsequent years based on the list of unfunded applications from this competition.

Estimated Range of Awards: \$200,000 - \$300,000.

Estimated Average Size of Awards: \$245,500.

Estimated Number of Awards: 4.

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

Project Period: Up to 24 months.

III. Eligibility Information

Eligible Applicants: Local educational agencies (LEAs), local councils, community-based organizations, provided that they meet the applicable statutory and regulatory requirements and other public and nonprofit private entities, or a combination of such entities.

2. Cost Sharing or Matching: This program does not involve cost sharing or matching but does involve supplement-not supplant funding provisions. 20 U.S.C. 7269a(b)(3)(D).

IV. Application Submission Information

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

You also may contact ED Pubs at its Web site: www.ed.gov/pubs/edpubs.html or you may contact ED Pubs at its e-mail address: edpubs@inet.ed.gov.

You may also access the electronic version of the application at the following Web sites: www.grants.gov or www.ed.gov/programs/learningfoundations/index.html.

If you request an application from ED Pubs, be sure to identify this competition as follows: CFDA Number 84.215H.

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

2. Content and Form of Application Submission:

a. Statutory Application Requirements:

Applications submitted under this program must include the following--

(1) A description of the population that the applicant intends to serve and the types of services to be provided under the grant;

(2) A description of the manner in which services under the grant will be coordinated with existing similar services provided by public and nonprofit private entities within the State; and

(3) An assurance that--

- services under the grant will be provided by or under the supervision of qualified professionals with expertise in early childhood development;
- these services will be culturally competent;

- these services will be provided in accordance with the permissible uses of funds as described elsewhere in this notice;
- funds will be used to supplement, and not supplant, non-Federal funds; and
- parents of students participating in services will be involved in the design and implementation of the services.

b. Page Limit: The program narrative section should not exceed 25 double-spaced pages using a standard font no smaller than 12-point, with 1-inch margins (top, bottom, left, and right). The narrative should follow the format and sequence of the selection criteria.

c. Other: Other requirements concerning the content of an application, together with the forms you must submit, are in the application package for this program.

3. Submission Dates and Times:

Applications Available: February 20, 2007.

Deadline for Transmittal of Applications: April 13, 2007.

Applications for grants under the Foundations for Learning Grants Program may be submitted electronically using the Grants.gov Apply site (Grants.gov), or in paper format by mail or hand delivery. For information (including dates and times) about how to submit your application electronically, or by mail or hand delivery, please refer to section IV. 6. Other Submission Requirements in this notice.

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

Individuals with disabilities who need an accommodation or auxiliary aid in connection with the application process should contact the person listed under For Further Information Contact in Section VII of this notice.

Deadline for Intergovernmental Review: June 12, 2007.

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

5. Funding Restrictions:

Limitations on Use of Funds

(1) Grant funds may be used only to pay for services that cannot be paid for using other Federal, State, or local public resources or through private insurance.

(2) A grantee may not use more than 3 percent of the amount of the grant to pay the expenses of administering the authorized activities, including assessment of children's eligibility for services.

We reference regulations outlining funding restrictions in the Applicable Regulations section of this notice.

6. **Other Submission Requirements:** Applications for grants under the Foundations for Learning Grants Program may be submitted electronically or in paper format by mail or hand delivery.

a. Electronic Submission of Applications.

To comply with the President's Management Agenda, we are participating as a partner in the Government-wide Grants.gov Apply site. The Foundations for Learning Grants Program, CFDA Number 84.215H, is included in this project. We request your participation in Grants.gov.

If you choose to submit your application electronically, you must use the Government-wide Grants.gov Apply site at www.grants.gov. Through this site, you will be able to download a copy of the application package, complete it offline, and then upload and submit your application. You may not e-mail an electronic copy of a grant application to us.

You may access the electronic grant application for the Foundations for Learning Grants Program at www.Grants.gov. You must search for the downloadable application package for this competition by the CFDA number. Do not include the CFDA number's alpha suffix in your search (e.g., search for 84.215, not 84.215H).

Please note the following:

- Your participation in Grants.gov is voluntary.
- When you enter the Grants.gov site, you will find information about submitting an application electronically through the site, as well as the hours of operation.
- Applications received by Grants.gov are date and time stamped. Your application must be fully uploaded and submitted and must be date and time stamped by the Grants.gov system no later than 4:30 p.m., Washington, DC time, on the application deadline date. Except as otherwise noted in this section, we will not consider your application if it is date and time stamped by the Grants.gov system later than 4:30 p.m., Washington, DC time, on the application deadline date. When we retrieve your application from Grants.gov, we will notify you if we are rejecting your application because it was date and time stamped by the Grants.gov system after 4:30 p.m., Washington, DC time, on the application deadline date.
- The amount of time it can take to upload an application will vary depending on a variety of factors, including the size of the application and the speed of your Internet connection. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the submission process through Grants.gov. You should review and follow the Education Submission Procedures for submitting an application through Grants.gov that are included in the application package for this competition to ensure that you submit your application in a timely manner to the Grants.gov system. You can also find the Education Submission Procedures pertaining to Grants.gov at <http://e-Grants.ed.gov/help/GrantsgovSubmissionProcedures.pdf>.
- To submit your application via Grants.gov, you must complete all steps in the Grants.gov registration process (see www.grants.gov/applicants/get_registered.jsp). These steps include (1) registering your organization, a multi-part process that includes registration with the Central Contractor Registry (CCR); (2) registering yourself as an Authorized Organization Representative (AOR); and (3) getting authorized as an AOR by your organization. Details on these steps are outlined in the Grants.gov 3-Step Registration Guide (see www.grants.gov/section910/Grants.govRegistrationBrochure.pdf). You also must provide on your application the same D-U-N-S Number used with this registration. Please note that the registration process may take five or more business days to complete, and you must have completed all registration steps to allow you to submit successfully an application via Grants.gov. In addition you will need to update your CCR registration on an annual basis. This may take three or more business days to complete.

- You will not receive additional point value because you submit your application in electronic format, nor will we penalize you if you submit your application in paper format.
- If you submit your application electronically, you must submit all documents electronically, including all information you typically provide on the following forms: Application for Federal Assistance (SF 424), the Department of Education Supplemental Information for SF 424, Budget Information--Non-Construction Programs (ED 524), and all necessary assurances and certifications. Please note that two of these forms--the SF 424 and the Department of Education Supplemental Information for SF 424--have replaced the ED 424 (Application for Federal Education Assistance).
- If you submit your application electronically, you must attach any narrative sections of your application as files in a .DOC (document), .RTF (rich text), or .PDF (Portable Document) format. If you upload a file type other than the three file types specified in this paragraph or submit a password-protected file, we will not review that material.
- Your electronic application must comply with any page-limit requirements described in this notice.
- After you electronically submit your application, you will receive from Grants.gov an automatic notification of receipt that contains a Grants.gov tracking number. (This notification indicates receipt by Grants.gov only, not receipt by the Department). The Department then will retrieve your application from Grants.gov and send a second notification to you by e-mail. This second notification indicates that the Department has received your application and has assigned your application a PR/Award number (an ED-specified identifying number unique to your application).
- We may request that you provide us original signatures on forms at a later date.
- Application Deadline Date Extension in Case of Technical Issues with the Grants.gov System: If you are experiencing problems submitting your application through Grants.gov, please contact the Grants.gov Support Desk at 800/518-4726. You must obtain a Grants.gov Support Desk Case Number and must keep a record of it.

If you are prevented from electronically submitting your application on the application deadline date because of technical problems with the Grants.gov system, we will grant you an extension until 4:30 p.m., Washington, DC time, the following business day to enable you to transmit your application electronically or by hand delivery. You also may mail your application by following the mailing instructions described elsewhere in this notice.

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

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

b. Submission of Paper Applications by Mail.

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

By mail through the U.S. Postal Service:

U.S. Department of Education, Application Control Center, Attention: (CFDA Number 84.215H)
400 Maryland Avenue, SW., Washington, DC 20202-4260

or

By mail through a commercial carrier:

U.S. Department of Education, Application Control Center, Stop 4260, Attention: (CFDA Number 84.215H), 7100 Old Landover Road, Landover, MD 20785-1506

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

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

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

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

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

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

c. Submission of Paper Applications by Hand Delivery.

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

U.S. Department of Education, Application Control Center, Attention: (CFDA Number 84.215H)
550 12th Street, SW., Room 7041, Potomac Center Plaza, Washington, DC 20202-4260

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

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

- (1) You must indicate on the envelope and--if not provided by the Department--in Item 11 of the SF 424 the CFDA number, including suffix letter, if any, of the competition under which you are submitting your application; and
- (2) The Application Control Center will mail to you a notification of receipt of your grant application. If you do not receive this notification within 15 business days from the application deadline date, you should call the U.S. Department of Education Application Control Center at 202/245-6288.

V. Application Review Information

1. Selection Criteria: The selection criteria for this program are from the Notice of Final Priorities and Selection Criteria and are listed in the application package.

VI. Award Administration Information

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

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

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

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

3. Reporting: If funded, you are expected to collect data on the key GPRA performance measures for this program and report those data to the Department in your annual performance report and final performance report. At the end of your project period, you must submit a final performance report, including financial information, as directed by the Secretary. If you receive a multi-year award, you must submit an annual performance report that provides the most current performance and financial expenditure information as specified by the Secretary in 34 CFR 75.118. We also may require more frequent performance reports in accordance with 34 CFR 75.720(c).

4. Performance Measures: We have identified the following key GPRA performance measures for assessing the effectiveness of the Foundations for Learning grants program: (1) The percentage of eligible children served by the grant attaining measurable gains in emotional, behavioral, and social development will increase; and (2) The percentage of eligible children and their families served by the grant receiving individualized support from child-serving agencies or organizations will increase.

Applicants are encouraged to demonstrate a strong capacity to provide reliable data on these indicators in responding to the selection criteria, “Quality of project services” and “Quality of the project evaluation.”

VII. Agency Contact

For Further Information Contact: Earl Myers, Jr., U.S. Department of Education, 400 Maryland Avenue, SW., room 3E254, Washington, DC 20202-6450. Telephone: 202/708-8846 or by e-mail: earl.myers@ed.gov.

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

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

VIII. Other Information

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

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

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

Dated:

A handwritten signature in black ink, appearing to read "Deborah A. Price". The signature is written in a cursive style with a large, prominent initial "D".

Deborah A. Price,
Assistant Deputy Secretary for
Safe and Drug-Free Schools.

Authorizing Legislation – No Child Left Behind Act of 2001

Subpart 14—Grants to Improve the Mental Health of Children

SEC. 4121. Promotion of School Readiness Through Early Childhood Emotional and Social Development

(a) **AUTHORIZATION-** The Secretary, in consultation with the Secretary of Health and Human Services, may award grants (to be known as Foundations for Learning Grants') to local educational agencies, local councils, community-based organizations, and other public or nonprofit private entities to assist eligible children to become ready for school.

(b) **APPLICATIONS-** To be eligible to receive a grant under this section, a local educational agency, local council, community-based organization, or other public or nonprofit private entity, or a combination of such entities, shall submit an application to the Secretary at such time, in such manner, and accompanied by such information as the Secretary may reasonably require. The application shall include each of the following:

- (1) A description of the population that the applicant intends to serve and the types of services to be provided under the grant.
- (2) A description of the manner in which services under the grant will be coordinated with existing similar services provided by public and nonprofit private entities within the State.
- (3) An assurance that —
 - (A) services under the grant shall be provided by or under the supervision of qualified professionals with expertise in early childhood development;
 - (B) such services shall be culturally competent;
 - (C) such services shall be provided in accordance with subsection (c);
 - (D) funds received under this section shall be used to supplement, and not supplant, non-Federal funds; and
 - (E) parents of students participating in services under this section will be involved in the design and implementation of the services.

(c) **USES OF FUNDS-** A local educational agency, local council, community-based organization, or other public or nonprofit private entity that receives funds under this section may use such funds to benefit eligible children, for one or more of the following:

- (1) To deliver services to eligible children and their families that foster eligible children's emotional, behavioral, and social development and take into consideration the characteristics described in subsection (f)(1).
- (2) To coordinate and facilitate access by eligible children and their families to the services available through community resources, including mental health, physical health, substance abuse, educational, domestic violence prevention, child welfare, and social services.
- (3) To provide ancillary services such as transportation or child care in order to facilitate the delivery of any other services or activities authorized by this section.
- (4) To develop or enhance early childhood community partnerships and build toward a community system of care that brings together child-serving agencies or organizations to provide individualized supports for eligible children and their families.
- (5) To evaluate the success of strategies and services provided pursuant to this section in promoting young children's successful entry to school and to maintain data systems required for effective evaluations.
- (6) To pay for the expenses of administering the activities authorized under this section, including assessment of children's eligibility for services.

(d) LIMITATIONS-

(1) SERVICES NOT OTHERWISE FUNDED- A local educational agency, local council, community-based organization, or other public or nonprofit private entity may use funds under this section only to pay for services that cannot be paid for using other Federal, State, or local public resources or through private insurance.

(2) ADMINISTRATIVE EXPENSES- A grantee may not use more than 3 percent of the amount of the grant to pay the administrative expenses described in subsection (c)(6).

(e) EVALUATIONS- The Secretary shall directly evaluate, or enter into a contract for an outside evaluation of, each program carried out under this section and shall disseminate the findings with respect to such evaluation to appropriate public and private entities.

(f) DEFINITIONS- In this section:

(1) ELIGIBLE CHILD- The term eligible child' means a child who has not attained the age of 7 years, and to whom two or more of the following characteristics apply:

(A) The child has been abused, maltreated, or neglected.

(B) The child has been exposed to violence.

(C) The child has been homeless.

(D) The child has been removed from childcare, Head Start, or preschool for behavioral reasons or is at risk of being so removed.

(E) The child has been exposed to parental depression or other mental illness.

(F) The family income with respect to the child is below 200 percent of the poverty line.

(G) The child has been exposed to parental substance abuse.

(H) The child has had early behavioral and peer relationship problems.

(I) The child had a low birth weight.

(J) The child has a cognitive deficit or developmental disability.

(2) LOCAL COUNCIL- The term local council' means a council that is established or designated by a local government entity, Indian tribe, regional corporation, or native Hawaiian entity, as appropriate, which is composed of representatives of local agencies directly affected by early learning programs, parents, key community leaders, and other individuals concerned with early learning issues in the locality, such as elementary education, child care resource and referral services, early learning opportunities, child care, and health services.

(3) PROVIDER OF EARLY CHILDHOOD SERVICES- The term provider of early childhood services' means a public or private entity that has regular contact with young children, including child welfare agencies, child care providers, Head Start and Early Head Start providers, preschools, kindergartens, libraries, mental health professionals, family courts, homeless shelters, and primary care providers.

IV. GENERAL APPLICATION INSTRUCTIONS AND INFORMATION

Preparing the Application

A completed application for assistance under this competition consists of two parts: a detailed narrative description of the proposed project and budget, and all forms and assurances that must be submitted in order to receive a grant. An application under this program should address the specific needs of the applicant and propose activities specifically designed to meet those needs. We strongly discourage applicants from using “form” applications or proposals that address general rather than specific local needs. Identical or substantially similar applications are not responsive to the scoring criteria.

A panel of non-federal readers with experience in school-based prevention programs or other youth development specialty will review each eligible application submitted by the deadline. The panel will award points ranging from 0 to 100 to each application depending on how well the selection criteria are addressed. Be sure you provide a comprehensive response to each factor under each selection criterion. Applications that fail to do so will be read, but our experience suggests they may not score well enough to be funded.

If you apply via Grants.gov, you will use the following Grants.gov narrative forms:

- ED Abstract Narrative Attachment Form
- Project Narrative Attachment Form
- Other Narrative Attachment Form
- Budget Narrative Attachment Form

The **ED Abstract Narrative Attachment Form** is where you will attach your program abstract.

The **Project Narrative Attachment Form** is where you will attach the narrative sections addressing the selection criteria that will be used to evaluate applications submitted for this grant competition.

The **Other Narrative Attachment Form** is where you will attach proposal appendices, such as curriculum vitae of key personnel, letters of commitment, and samples of evaluation instruments. The Grants.gov system will allow applicants to attach as many as 10 separate appendices in this section.

The **Budget Narrative Attachment Form** is where you will attach a detailed line item budget and any supplemental budget information.

All applicants should adhere to the following formatting guidelines:

- Use 1-inch margins. If you submit your application in paper format by mail or hand delivery, your application must be printed on 8 1/2” by 11” paper.
- Use consistent font no smaller than 12-point type throughout your document. You may use boldface type, underlining, and italics; however, do not use colored text.

- For the project narrative, your application should consist of the number and text of each selection criterion followed by the narrative. The text of the selection criterion, if included, does not count against any page limitation.
- Place a page number at the bottom right of each page beginning with 1, and number your pages consecutively throughout your document, beginning with the Abstract and ending with the Appendices. **Note:** Do not paginate any of the forms.

If you submit your proposal via Grants.gov, you will use your own word-processing software to complete the application for this grant competition.

D-U-N-S NUMBER INSTRUCTIONS

All applicants must obtain and use a D-U-N-S number, and all applicants applying through Grants.gov must register with Grants.gov. The D-U-N-S Number used on the application must be the same number that the applicant's organization used to register with Grants.gov. If the numbers are not the same, Grants.gov will reject the application.

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 to ensure 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.

You can obtain a D-U-N-S Number at no charge by calling 800/333-0505 or by completing the D-U-N-S Number Request Form, available online at www.dnb.com/US/duns_update/index.html. Dun & Bradstreet, a global information provider, has assigned D-U-N-S Numbers to more than 43 million companies worldwide. Customer service is available on Monday-Friday from 8:00 a.m. to 6:00 p.m. (Eastern Time) at 888/814-1435.

Organizing the Application

Supplemental Instructions for Standard Form 424

1. Application for Federal Assistance (SF Form 424): Use the Application for Federal Assistance and the Department of Education Supplemental Information for SF 424. This is the title page of your application. Be sure that Item 10 identifies the CFDA Number for this grant competition: 84.215H and the Title as Foundations for Learning Grants Program.

Under Item 3 in the ED Supplemental Information, indicate whether the proposed project includes human subjects research activities, and if so, whether any or all of the proposed activities are exempt. For additional guidance, see instructions for ED Supplemental Information in the required forms section of this application package or call ED's protection of human subjects coordinator at 202/245-6153.

If you submit your proposal for this grant competition via Grants.gov, please complete the SF424 (Application for Federal Assistance) first. Grants.gov will insert the correct CFDA and program name automatically where needed.

If you submit your proposal in paper format by mail or hand delivery, you will need to insert the correct CFDA number and program name where requested.

2. Abstract: Include a concise, one-page, double-spaced abstract following the Table of Contents. This is a key element and should include a brief narrative describing a brief summary of the project goals and objectives and the intended outcomes of the project. Clearly mark this page with the applicant's name as shown in Item 1 of SF Form 424. If you submit your application via Grants.gov, attach this document to the **ED Abstract Narrative Attachment Form**.

3. Project Narrative: This section should be no more than 25 double-spaced typewritten pages. The narrative must contain evidence that the applicant meets either of the two absolute priorities, and should contain and follow in sequence the information requested for each selection criterion. Applicants should review Section II for a discussion of the selection criteria and the chief considerations for this specific grant competition. A timeline or schedule of tasks and events, responsible person(s), project milestone(s), and/or completion dates should be included in the narrative. Include a Table of Contents with page references. The Table of Contents does not count against any page limitations. If you submit your application via Grants.gov, attach this document to the **Project Narrative Attachment Form**.

4. Budget Narrative: Use the Budget Information Form (ED Form 524) provided in the required forms section of this application package to prepare a budget for the project. **Note:** One budget must be submitted for the entire 18-month period.

You must include a detailed budget narrative that supports and explains the information provided in ED Form 524. Use the same budget categories as those on ED Form 524 and explain the basis used to estimate costs for all budget categories, and how the cost items relate to the proposed project's goals, objectives, and activities. All expenditures must be necessary to carry out the goals and objectives of the project, reasonable for the scope and complexity of the project, and allowable under the terms and conditions of the grant and in accordance with government cost principles.

The Budget Information Form and accompanying narrative should provide enough detail for ED staff to easily understand how costs were determined and if the budget is commensurate with the scope of the project. If you submit your application via Grants.gov, attach this document to the **Budget Narrative Attachment Form**.

For this grant competition, you may charge indirect costs using the rate negotiated with your cognizant federal agency (e.g., Department of Education, Department of Health and Human Services, Department of the Interior). Be sure to include evidence of a federally negotiated indirect cost rate. Individuals who apply for any grant competition through ED are not allowed to budget for an indirect cost rate. If you budget for contractual services, please note that indirect costs may be applied only to the first \$25,000 of each subcontract, regardless of the period covered by the subcontract.

You are encouraged to give priority to direct services to students by limiting the indirect costs charged to the project. You will not be penalized for failure to reduce indirect costs nor will you gain competitive advantage if you do.

If you claim indirect costs in the budget for your proposed project and do not have a negotiated rate with the federal government, you have 90 days from the time you transmit your application to submit the necessary paperwork to the Department to receive a negotiated indirect cost rate. For more information about indirect cost rates, please visit www.ed.gov/about/offices/list/ocfo/intro.html.

5. Appendices: If you submit your application via Grants.gov, the **Other Narrative Attachment Form** is where you will attach proposal appendices that applicants may choose to submit in support of their capacity and preparation to undertake the proposed project, such as curriculum vitae of key personnel, letters of commitment, and samples of evaluation instruments. The Grants.gov system will allow applicants to attach as many as 10 separate appendices in this section.

If you submit your application in paper format via mail or hand delivery, information provided in this section includes forms and other material required by ED in order for an application to be eligible for funding as well as any other information that applicants may choose to submit in support of their capacity and preparation to undertake the proposed project.

The following items are **not** part of the appendices and may not be included:

- Budget or program narrative information that the applicant wishes to have reviewed as part of its response to one or more scoring criteria—all such information must be included in the narrative portion of the application
- Videotapes, CD-ROMs, photographs, or floppy disks—they will not be reviewed and we will not return them.

This section **must** include the following:

- GEPA 427, Equitable Access to and Participation in Federally Assisted Programs
- Letter of Transmittal to State Single Point of Contact (if your state participates)
- Proof of federally negotiated indirect cost rate (if you are claiming indirect costs)

This section **may** include the following:

- Other information the applicant wishes to include in support of its capacity, experience, and readiness to undertake the proposed project, including:
- Resumes of key personnel. If personnel have yet to be hired for this proposed project, include a narrative description of expected staff qualifications.
- Letters of commitment that reflect each person's awareness of their role in the proposed project. Each letter should indicate a willingness to put forth the necessary time and effort to make the project work efficiently and effectively.
- Relevant prior grant experience.

6. Assurances and Certifications: If you submit your application electronically, you must complete all forms posted on Grants.gov.

If you submit your application in paper format via mail or hand delivery, you **must** fill out, have signed by the person authorized to sign for the institution, and submit the following forms:

- Assurances, Non-Construction Programs (Standard Form, 424B)
- Grants.gov Lobbying Form (formerly ED Form 80-0013)
- Disclosure of Lobbying Activities (Standard Form-LLL)
- Survey on Ensuring Equal Opportunity for Applicants (private, nonprofit organizations only)

Note: If Item 2 of the Grants.gov Lobbying Form applies because of lobbying activities related to a previous grant, or are anticipated to occur with this project if it is funded, you must submit Standard Form LLL. If your organization does not engage in lobbying, please submit Standard Form LLL and indicate as “Not Applicable.”

Standard Forms and Instructions

- Application for Federal Assistance (Standard Form 424)
- Department of Education Supplemental Form for the Standard Form 424
- Department of Education Budget Information – Non-Construction Programs (ED Form 524)
- Grants.gov Lobbying Form
- Disclosure of Lobbying Activities (Standard Form LLL)
- Faith-Based EEO Survey

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 16e, 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 1890-0017. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, 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

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>

Instructions for Department of Education Supplemental Information for Standard Form 424

1. Project Director. Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.

2. Novice Applicant. Check “Yes” or “No” only if assistance is being requested under a program that gives special consideration to novice applicants. Otherwise, **leave blank**.

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

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

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

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

3a. If Human Subjects Research is Exempt from the Human Subjects Regulations. Check “Yes” if all the research activities proposed are designated to be exempt from the regulations. Insert the exemption number(s) corresponding to one or more of the six exemption categories listed in I. B. “Exemptions.” In addition, follow the instructions in II. A. “Exempt Research Narrative” in the attached page entitled “Definitions for Department of Education Supplemental Information for SF 424.”

3a. If Human Subjects Research is Not Exempt from Human Subjects Regulations. Check “No” if some or all of the planned research activities are covered (not exempt). In addition, follow the instructions in II. B. “Nonexempt Research Narrative” in the page entitled “Definitions for Department of Education Supplemental Information for SF 424.”

3a. Human Subjects Assurance Number. If the applicant has an approved Federal Wide (FWA) on file with the Office for Human Research Protections (OHRP), U.S. Department of Health and Human Services, that covers the specific activity, insert the number in the space provided. If the applicant does not have an approved assurance on file with OHRP, enter “None.” In this case, the applicant, by signature on the SF-424, is declaring that it will comply with 34 CFR 97 and proceed to obtain the human subjects assurance upon request by the designated ED official. If the application is recommended/selected for funding, the designated ED official will request that the applicant obtain the assurance within 30 days after the specific formal request.

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

Paperwork Burden Statement. According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0017. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, 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, S.W. Room 7076, Washington, D.C. 20202-4260.

Definitions for Department of Education Supplemental Information for Standard Form 424

Definitions:

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

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

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

PROTECTION OF HUMAN SUBJECTS IN RESEARCH

I. Definitions and Exemptions

A. Definitions.

A research activity involves human subjects if the activity is research, as defined in the Department's regulations, and the research activity will involve use of human subjects, as defined in the regulations.

—Research

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

—Human Subject

The regulations define human subject as “a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information.” (1) *If an activity involves obtaining information about a living person by manipulating that person or that*

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

B. Exemptions.

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

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

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. ***If the subjects are children, exemption 2 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 3 of Department of Education Supplemental Information for SF 424, the applicant must provide a human subjects “exempt research” or “nonexempt research” narrative. Insert the narrative(s) in the space provided. If you have multiple projects and need to provide more than one narrative, be sure to label each set of responses as to the project they address.

A. Exempt Research Narrative.

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

B. Nonexempt Research Narrative.

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

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

disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable.

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

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

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

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

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

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

Copies of the Department of Education’s Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, 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: <http://www.ed.gov/about/offices/list/OCFO/humansub.html>

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

Instructions for Department of Education Budget Information – Non-Construction Programs (ED Form 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.

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.

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

INSTRUCTIONS FOR SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS

Provide the applicant's (organization) name and D-U-N-S number and the grant name and CFDA number.

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

Paperwork Burden Statement

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

Intergovernmental Review of Federal Programs

This grant competition is subject to the requirements of Executive Order 12372 and the regulations in 34 CFR Part 79. One of the objectives of the Executive Order is to foster an intergovernmental partnership and a strengthened federalism. The Executive Order relies on processes developed by state and local governments for coordination and review of proposed federal financial assistance.

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 state under the Executive Order. The name and address of each State Single Point of Contact is listed below. **Note: A copy of the applicant's letter to the State Single Point of Contact must be included with the application.**

To view a list of states that participate in the intergovernmental review process, visit www.whitehouse.gov/omb/grants/spoc.html.

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

Any state process recommendation and other comments submitted by a State Single Point of Contact and any comments from state, area-wide, regional, and local entities must be received by April 20, 2007, at the following address: The Secretary, EO 12372—CFDA #84.215H, U.S. Department of Education, 400 Maryland Avenue, SW, Room 7W300, Washington, DC 20202-0124. Recommendations or comments may be hand-delivered until 4:30 p.m. (Eastern Time) on April 20, 2007. Please do not send applications to this address.

States that are not listed have chosen not to participate in the intergovernmental review process, and therefore do not have a State Single Point of Contact. If you are located within one of these states, you are exempt from this requirement.

General Education Provisions Act (GEPA) Section 427

Section 427 of GEPA affects applicants for new discretionary grant awards under this program. All applicants for new awards must include information in their applications to address this provision, summarized below, in order to receive funding under this program.

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 section allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation that you may address: *gender, race, national origin, color, disability, or age*. Based on local circumstances,

you can determine whether these or other barriers may prevent your students, teachers, or others from equitable access or participation. Your description 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.

NOTE: A general statement of an applicant's nondiscriminatory hiring policy is not sufficient to meet this requirement. Applicants must identify potential barriers and explain steps they will take to overcome these barriers.

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 eliminate barriers it identifies.

Examples

The following examples 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 audiotape 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 tends 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 Public Reporting Burden

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for the GEPA 427 is OMB No. 1890-0007. The time required to complete GEPA 427 is estimated to average 1.5 hours per response, including the time to review instructions, search existing data sources, gather and maintain the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate or suggestions for improving this form, please write to: U.S. Department of Education, Washington, DC 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to: U.S. Department of Education, Office of Safe and Drug-Free Schools, 400 Maryland Avenue, SW, Washington, DC 20202-6450.

Application Preparation Checklist

Application for Federal Assistance (SF Form 424) is completed according to the instructions and includes the nine-digit D-U-N-S Number and Tax Identification Number.

All required forms are signed in black or blue ink and dated by an authorized official and the signed original is included with your submission.

One signed original and two copies of the application, including all required forms and appendices plus one voluntarily submitted additional copy, are included. All copies are unbound and each page is consecutively numbered.

Deadline Date: **April 13, 2007**. See Sections I and IV of this application package for complete application transmittal instructions and general application instructions and information.

EACH COPY OF THE APPLICATION MUST INCLUDE THE FOLLOWING:

- Application for Federal Assistance (SF Form 424) - Page 1
- Department of Education Supplemental Information Form for the SF 424
- Project Abstract - Page 2 (one page maximum)
- Project Narrative (up to 25 pages double-spaced)
- All applications must include the required forms, assurances, and certifications, including:
 - Budget Information Form (ED Form 524) and detailed budget narrative
 - Assurances, Non-Construction Programs (ED Form 424B)
 - Grants.gov Lobbying Form
 - Disclosure of Lobbying Activities (Standard Form–LLL)
- Narrative response to GEPA 427
- Faith-Based EEO Survey
- Copy of letter to State Single Point of Contact (see page 56)
- Proof of federally negotiated indirect cost rate (if you are claiming indirect costs)
- Resumes of key personnel
- Letters of commitment

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is OMB No. 1890-0009, Expiration Date: 06/30/2008. The time required to complete this information collection is estimated to average 32 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 or suggestions for improving this form, please write to: U.S. Department of Education, Washington, DC 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to: U.S. Department of Education, Office of Safe and Drug-Free Schools, 400 Maryland Avenue, SW, Washington, DC 20202-6450.