U.S. DEPARTMENT OF EDUCATION

Office of Postsecondary Education
Washington, DC 20006

Archived Information

APPLICATION FOR GRANTS UNDER THE TRIO DISSEMINATION PARTNERSHIP PROGRAM

(CFDA NUMBER: 84.344)

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CLOSING DATE: APRIL 7, 2003

TRIO Dissemination Partnership Program

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Dear Applicant:

Thank you for your interest in applying for a grant under the TRIO Dissemination Partnership (Dissemination) Program. This letter highlights some items in the application package that will be important in applying for a grant under this program. Please read carefully the entire application package before you prepare your application.

Included in this application package are: the forms and instructions necessary for preparing an application, the program statute, and a copy of the "Notice Inviting Applications for New Awards."

Please note the following provisions:

1. Eligible applicants include institutions of higher education or other private and public institutions and organizations that were conducting a Federally funded TRIO project prior to the enactment of the Higher Education Amendments of 1998 (October 7, 1998).

2. All applicants for multi-year awards must provide detailed budget information for each year of the grant period. The Department will determine the funding levels for each year of the grant at the time of the initial award. Grants are awarded for three years. An annual performance report will be used to demonstrate progress.

3. All applicants must adhere to the **Part III, Program Narrative, page limitation of forty-five (45) pages double-spaced**. Applications with narratives that exceed this number will not be reviewed, and will be returned to the applicant. To further expedite the review process, we request that you follow the suggested format for Part III, which is provided in the application booklet. Please submit a **signed original and four (4) copies of your application along with a clearly labeled disk of the application in a standard word document.**

4. All previously funded grantees under this program are eligible to apply under this competition. However, no prior experience points will be awarded. In addition, as the purpose of the Dissemination Program is to increase the impact of the TRIO programs in order to reach more TRIO eligible students previously funded grantees must identify new partners and, as appropriate, select a new component or strategy.

Applications must be postmarked or hand delivered on or before the deadline date. Detailed mailing instructions are provided in the "Application Transmittal Instructions." Applications submitted late <u>will not be accepted</u>. The Department is required to enforce the established deadline to ensure fairness to all applicants. No changes or additions to the applications will be accepted after the deadline date.

For additional information, please contact Eileen S. Bland of the Office of Federal TRIO Programs, U.S. Department of Education, 1990 K Street, NW, Suite 7000, Washington, DC 20202-8510, ATTN: CFDA 84.344. Ms. Bland may also be reached by telephone at (202) 502-7600 or by Internet at TRIO@ED.GOV.

Sincerely,

Wilbert Bryant
Deputy Assistant Secretary
for Higher Education Programs

DEPARTMENT OF EDUCATION

(CFDA No.: 84.344)

Office of Postsecondary Education.

TRIO Dissemination Partnership (TRIO Dissemination) Program

Notice inviting applications for new awards for fiscal year (FY) 2003.

PURPOSE OF PROGRAM: The TRIO Dissemination Program provides grants to TRIO Program grantees to enable them to work with institutions and organizations that are serving low-income and first-generation college students, but do not have TRIO Program grants. The purpose of the TRIO Dissemination Program is to promote the replication or adaptation of successful TRIO Program components, practices, strategies, and activities by institutions and organizations that are not TRIO Program grantees. The TRIO Programs consist of Talent Search, Educational Opportunity Centers, Upward Bound, Student Support Services, Ronald E. McNair Postbaccalaureate Achievement Programs, and the Training Program for Federal TRIO Programs.

For FY 2003, we encourage applicants to design projects that focus on the invitational priorities in the Priorities section of this application notice.

ELIGIBLE APPLICANTS: Institutions of higher education and private and public institutions and organizations that were carrying out a Federal TRIO grant before October 7, 1998, the date of enactment of the Higher Education Amendments of 1998.

APPLICATIONS AVAILABLE: March 6, 2003.

DEADLINE FOR TRANSMITTAL OF APPLICATIONS: April 7, 2003.

DEADLINE FOR INTERGOVERNMENTAL REVIEW: June 9, 2003.

ESTIMATED AVAILABLE FUNDS: The Administration has requested $5.5 million for this program for FY 2003. The actual level of funding, if any, depends on final congressional action. However, we are inviting applications to allow enough time to complete the grant process if Congress appropriates funds for this program.

SUPPLEMENTARY INFORMATION: All previously funded grantees under this program are eligible to apply under this competition. However, no prior experience points will be awarded. In addition, as the purpose of the Dissemination Program is to increase the impact of the TRIO Programs in order to reach more TRIO-eligible students, previously funded grantees must identify new partners and, as appropriate, select a new component or strategy.

ESTIMATED RANGE OF AWARDS: $150,000 - $200,000 for Year 1 of the project period.

ESTIMATED AVERAGE SIZE OF AWARDS: $179,000 per year.

MAXIMUM AWARD: We will reject any application that proposes a budget exceeding $200,000 for Year 1 of the project period. The Assistant Secretary for Postsecondary Education may change the maximum amount through a notice published in the *Federal Register*.

ESTIMATED NUMBER OF AWARDS: 25 - 30.

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

PROJECT PERIOD: Up to 36 months.

PAGE LIMIT: The application narrative (Part III of the application) is where you, the applicant, address the selection criteria reviewers use to evaluate your application. You must limit Part III to the equivalent of no more than 45 pages, using the following standards:

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

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

We will reject your application if –

- You apply these standards and exceed the page limit;

or

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

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

PRIORITIES

Invitational Priorities: We are particularly interested in applications that meet one or more of the following invitational priorities.

Invitational Priority 1 – Advance the awareness of underserved groups in the benefits of TRIO Programs.

Projects that have developed successful partnerships with institutions and organizations serving significant numbers or percentages of TRIO-eligible students in economically depressed areas for the purposes of increasing access, retention and completion rates of these students in secondary and postsecondary education. TRIO institutions and organizations that have been successful in making the TRIO programs more visible and accessible to these potential participants are encouraged to assist other institutions in adopting successful intervention models.

Invitational Priority 2 – Effective use of educational technology.

Projects designed to share effective strategies for using technology in a variety of ways, including innovative technology-based instructional programs; use of technology to provide better access to educational opportunities; and technology-based programs to equip disadvantaged students with the knowledge and skills to compete for jobs in the emerging world economy that require the use of new and sophisticated technologies.

Invitational Priority 3 – Business and community partnerships and K-12 collaborations.

Projects to assist communities with large numbers of low-income, first-generation college students to develop effective business and community partnerships and K-12 collaborations.

Invitational Priority 4 – Increased participation of underrepresented groups in graduate study.

Projects designed to share successful TRIO strategies for increasing the access, retention, and completion rates of low-income, first generation college students and students from the following ethnic and racial groups that are currently underrepresented in graduate education: Black (non-Hispanic), Hispanic, American Indian, and Alaska Native.

Under 34 CFR 75.105(c)(1) we do not give an application that meets the invitational priorities a competitive or absolute preference over other applications.

FOR APPLICATIONS AND FURTHER INFORMATION CONTACT: Eileen S. Bland or Virginia Mason, Office of Federal TRIO Programs, U.S. Department of Education, 1990 K Street, NW, Suite 7000, Washington, DC 20006-8510. Telephone: (202) 502-7600 or via Internet:

TRIO@ed.gov

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

Individuals with disabilities may obtain this document an alternative format (e.g., Braille, large print, audiotape, or computer diskette) on request to the contact person listed under FOR APPLICATIONS AND FURTHER INFORMATION CONTACT.

Individuals with disabilities also may obtain a copy of the application package in an alternative format by contacting those persons. However, the Department is not able to reproduce in an alternative format the standard forms included in the application package.

Electronic Access to This Document

You may view this document, as well as all other Department of Education documents published in the Federal Register, in text or Adobe Portable Document Format (PDF) on the Internet at the following site:

www.ed.gov/legislation/FedRegister

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

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

http://www.access.gpo.gov/nara/ .

PROGRAM AUTHORITY: 20 U.S.C. 1070a-11 and 1070a-18.

Dated:

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Sally L. Stroup,
Assistant Secretary
Office of Postsecondary Education.

Introduction, Program Goals, and Eligibility

Introduction

The Higher Education Amendments of 1998 gave us the opportunity to expand and leverage the success of the TRIO programs by authorizing the TRIO Dissemination Partnership (Dissemination) Program. Through grant awards under this program, TRIO grantees, with proven and promising programs and practices, have the opportunity to work with other institutions and organizations that are serving TRIO-eligible students and do not have TRIO grants.

Many students from low-income families depend on the TRIO programs to succeed academically in high school and college. Although Federal funding for the TRIO programs has increased substantially over the last few years, it is estimated that TRIO serves fewer than seven (7) percent of eligible youth and adults. Thus, the need for services similar to that provided by TRIO projects is largely unmet. Further, for over 35 years the TRIO programs have implemented effective educational and human service programs, practices, strategies, and activities that meet the unique needs of TRIO-eligible students.

Program Goals

In authorizing the Dissemination Program, the Congress provided a means for increasing the impact of the TRIO programs in order to reach more low-income, first-generation college students. This program, designed to encourage the replication of successful practices of TRIO programs, can provide occasion and incentive for institutions and organizations to adapt demonstrably valuable TRIO program components, practices, strategies, and activities. However, even the most successful intervention models need a receptive environment if they are to spread to other institutions and agencies. Thus, this program seeks to make available both the structure and the funding that will facilitate this.

Our aim for this grant competition is that several successful, widely useful, and generally adaptable TRIO models will be replicated or adapted at other institutions and organizations. The leaders of many TRIO projects have had the opportunity to talk and write about their programs' successful and innovative strategies or to conduct occasional workshops. Yet few have found it possible to work intensively with individual institutions or organizations to get local adaptations of their models firmly established. Though this strategy for dissemination will impact a comparatively small number of institutions and organizations, it provides the conditions most likely to result in actual adaptation of the models and practices.

Eligibility

Institutions of higher education and other private and public institutions and organizations that were conducting a Federally funded TRIO project prior to the enactment of the Higher Education Amendments of 1998 (October 7, 1998) are eligible to receive grants. Grantee institutions and organizations must work in partnership with other institutions and organizations. Those institutions and organizations must serve TRIO-eligible students, but must not be receiving TRIO project grants. An application must include signed, written statements from the partner institutions and organizations stating that the partners have agreed to replicate or adapt the promising TRIO program components, practices, strategies, or activities. The statements must also describe the rationale for the partners' inclusion in the project and their commitment to the project plan.

Conceptual Framework for TRIO Dissemination Partnership Program

Definition of a TRIO Dissemination Project

The dissemination approach appropriate for this competition is a mentoring approach. The grantee project communicates, transfers information, and provides technical assistance regarding promising and effective TRIO program components, practices, strategies, and activities to the partner institutions and organizations.

However, before a TRIO applicant can propose to disseminate a "best practice" (a promising or effective practice) the applicant must be able to:

(1) demonstrate that the practice (or project component) is effective in improving educational opportunity or student learning at the applicant's institution or organization; and

(2) show that the project component (practice) can be replicated (or adapted) at institutions and organizations.

Evidence/Documentation of "Best Practice"

A TRIO "best practice" is a program component, practice, strategy, or activity for which there is clear evidence of success in improving educational opportunity or student learning. To determine if a project component, practice, strategy, or activity should be disseminated, the applicant first needs to determine what claims can be made. Then, the applicant needs to present the evidence or outcomes that support the claims and describe the evaluation methods used.

An empirical claim of effectiveness attributes specific results to program components and presents objective and convincing evidence of the practice's impact on the individuals served. To further support the claim, the applicant should present baseline or comparative data that can demonstrate the impact of the program component or practice and the significance of that impact. In addition, the applicant should describe the evaluation methods and instruments used and show that the instruments and measurement procedures are valid for the program and have adequate technical strength. (Note: The Department of Education reserves the right to conduct a pre-award on-site visit to prospective grantees to verify the validity of claims made in this regard.)

Replication of "Best Practice"

An applicant can assess the extent to which the "best practice" can be replicated or adapted at other institutions and organizations by answering the following questions:

Is there a match between the "best practice" offered by the TRIO project and the needs of the partner institutions and/or organizations?

Can the practice be easily transported to another environment that may or may not be similar to that of the TRIO project?

Is the "best practice" unique and/or does it represent a more effective method?

Is the "best practice" self-sufficient, or is it dependent on the particular charisma or the support of one individual? Can anyone develop the skills to successfully implement the practice?

Is the practice or activity cost-effective? Can the partner institutions and/or organizations implement it with current or readily available resources?

Is the practice or activity self-sustaining beyond the life of the grant?

Components of a Good Dissemination Project

Disseminators have learned that their efforts yield the strongest and most lasting results when the project includes some of the following:

- a good product with proven or promising results
- a match between the experience and knowledge of the TRIO grantee and the needs of the partner institutions and/or organizations
- a mutual understanding that the promising practice or component will be adapted to the particular circumstances of the partner institutions and/or organizations
- substantial involvement of the partner institutions and/or organizations in developing the application
- a readiness on behalf of the partner institutions and/or organizations to take action
- an action plan which includes on-site technical assistance
- systematic contact and communication between the TRIO grantee and the partner institutions and/or organizations, including face to face contact
- clear roles and responsibilities between the TRIO grantee and the partner institutions and/or organizations
- well defined objectives for the project
- a strong evaluation plan that will document the effectiveness of the practice (or program component) at the adapting sites.

Roles and Responsibilities of the TRIO Grantee and the Partner Institutions and Organizations

<u>TRIO Grantee</u>

- has a clear understanding of how the program component or practice is implemented and can be replicated or adapted to other settings
- has substantial documentation of program strategies and processes
- allows partner institutions to view program activities
- serves as coach/mentor for the partner institutions and/or organizations
- communicates expectations to partner institutions and/or organizations and provides follow-up
- provides materials (manuals, resource documents) to adapting sites
- monitors program implementation, reviews progress and evaluates performance through: start-up meetings, on-site monitoring, face to face meetings, on-going communications through email, telephone, listservs, etc.
- collects evaluation data from each adapting site (i.e., how access to postsecondary education or student achievement was improved at each adapting site).

<u>Each Partner Institution and Organization</u>

- is willing and able to receive assistance from the TRIO project
- has participated in developing the application
- is prepared and committed to implement model over the agreed time period
- has support from highest levels in the organization
- will implement practice (model) and provide input for program revisions
- will provide opportunity for students and staff to participate in the practice
- is open and flexible to changes in organizational structure
- attends project activities (i.e., in-service training, workshops, on-site mentoring)
- provides commitment of resources
- will collect needed data at all stages of the project to evaluate impact of new practices (models)
- is committed to leveraging resources to continue implementation beyond the grant period.

Project Configuration

Program components, practices, strategies, and activities proposed for dissemination should address a topic of broad or national interest. To the extent possible, they should be of substantial scope and impact and applicable to a variety of institutional settings. The partner institutions and/or organizations should be prepared and committed to implement the proposed practices or components.

We recommend that applicants **identify at least three, but not more than six**, institutions and/or organizations that wish to replicate or adapt the best practice or promising model. Based on the estimated funding levels for these grants and the conceptual design for the program, we believe applicants can work effectively with three to six other institutions and/or organizations over a three-year period. Nonetheless, if appropriate to the proposed project, an applicant may choose to work with fewer or more partners.

Project Phases

Because of the nature of a dissemination grant, we anticipate that the funding levels may vary from year to year based on the project design presented in the application. We anticipate that there will be three distinct phases for most projects, though each phase will not correspond directly to the budget periods. For example, budget year one may include both the planning/start-up period and some initial implementation activities.

I. Planning/Start-up Period.

We anticipate that most projects may need some time at the beginning of the grant period to do the following:

- Solidify commitments between the TRIO grant and the partner institutions and organizations;
- Meet with Department of Education staff to discuss expectations and evaluation strategies;
- Clarify the data that all partner institutions and/or organizations must collect in common and the criteria that will be used across all sites to determine success;
- Confirm timelines for project activities;
- Revise (adapt) project materials for use at partner sites; and
- Resolve outstanding issues regarding implementation of program models at partner sites.

II. Implementation of Program Component (Best Practice)

- Carry out action plan for technical assistance and implementation of project model at partner sites; and
- Collect local data from each site that reflects its particular problems and achievements in implementing the program model.

III. Follow-up evaluation

- Collect data on the impact of the program model on the participants served; and
- Write a final evaluation report of the program model to be submitted to the Department of Education.

Further, to ensure that these dissemination projects develop strong collaborations, we recommend that the TRIO grantee and the partner institutions and organizations commit to the following:

The TRIO grantee will:

- Attend a two-day orientation workshop in Washington, DC in the Fall of 2003.
- Host a workshop for teams from the partner institutions and/or organizations. These workshops should provide opportunities to learn about the workings of the TRIO program and see it in operation.
- Visit each of the partners at least twice, at appropriate intervals, over the project period. These visits shall be for the purpose of coaching staff at the partner institutions and/or organizations on the design and implementation of the model.
- Be available to the partner institutions and/or organizations to answer questions and provide advice.
- Collect evaluation data from the partners needed to prepare interim and final evaluation reports.
- Submit interim progress reports and a final evaluation report to the Department of Education.

Each partner institution and/or organization will:

- Attend a two-day orientation workshop in Washington, DC in the Fall of 2003.
- Send a team to the TRIO grantee's workshop.
- Design and implement an appropriately adapted version of the TRIO model by the end of the project period.
- Host technical assistance visits from the TRIO grantee.
- Collect evaluation data per the requirements of the TRIO grantee.

Invitational Priorities for Fiscal Year 2003 Competition

The Department of Education is interested in funding dissemination grants that can successfully transport promising and effective TRIO program components, practices, strategies, and activities to institutions and organizations to improve educational practices and services to TRIO-eligible students. In considering the areas in which the TRIO programs can make substantial contributions to the educational success of TRIO-eligible students, the Department of Education has developed a list of invitational priorities for this competition. Although the Secretary strongly encourages applications that address one or more of the following invitational priorities, an application that meets one or more of these invitational priorities does not receive a competitive or absolute preference over other applications. Further, all the priorities listed are of equal interest to the Secretary and are not listed in order of importance.

Advance the awareness of underserved areas in the benefits of TRIO Programs. The Secretary invites applications from TRIO projects that have developed linkages which allow for the development of successful partnerships with institutions and organizations serving significant numbers or percentages of TRIO-eligible students in economically depressed areas for the purposes of increasing access, retention and completion rates of these students in secondary and postsecondary education. These underserved groups face numerous obstacles, which negatively impact their successful engagement in the educational process, and are excellent candidates for the services offered through the TRIO programs. TRIO institutions and organizations that have been successful in making the TRIO programs more visible and accessible to these potential participants are encouraged to assist other institutions and organizations in adapting successful intervention models.

Effective use of educational technology. The Secretary invites applications from TRIO grantees that have developed promising technology-mediated education opportunities for TRIO-eligible students, especially for those who have not always been well served by traditional educational strategies. Applications designed to share effective strategies for using technology in a variety of ways are encouraged, including innovative technology-based instructional programs; use of technology to provide better access to educational opportunities; and technology-based programs to equip TRIO-eligible students with the knowledge and skills to compete for jobs in the emerging world economy that requires the use of new and sophisticated technologies.

Business and community partnerships and K-12 collaborations. The Secretary invites applications from TRIO projects that have established effective partnerships and collaborations with the local schools and communities that can be used or adapted by other communities with large numbers of TRIO-eligible students. A number of studies have shown that students from low-income and first-generation families and their parents need and want to know much more about how to prepare for and plan for college. Studies show that parents do not feel they have the information they need to encourage and guide their children to attend college. They want more information about college preparatory and advanced placement courses, as well as the cost of college and how to pay for it. Thus, local schools, community-based organizations, businesses, and institutions of higher education need to work together to help students and their parents gain this knowledge. Further, these collaborations are needed to strengthen academic programs and student services in the schools and the communities, so the students are prepared, academically and financially, to enter and succeed in college.

Increased participation of underrepresented groups in graduate study. The Secretary invites applications from TRIO grantees that have proven strategies for increasing the participation of low-income, first generation college students and students from the following groups that are currently underrepresented in graduate education: Black (non-Hispanic), Hispanic and American Indian/Alaskan Native in graduate study. Unless more members of these groups enroll in graduate programs and complete degrees, their current underrepresentation on college faculties can only continue, with negative impact on the performance and retention of all students. Hence, applications designed to disseminate strategies for increasing the access, retention, and completion rates of low-income, first generation college students and students from the groups identified above as being underrepresented in graduate students are encouraged.

Selection Criteria

Applications for TRIO Dissemination Partnership grants will be judged on the basis of the eight EDGAR selection criteria in 34 CFR 75.210. Each selection criterion and selected factors are presented below in bold type, followed by a discussion of how it applies to the competition. The external reviewers of your application will use the following criteria and factors to evaluate the quality of your application. The numeric weight assigned each criterion or factor is indicated in parenthesis. The maximum total number of points for all the criteria is 100.

1) **NEED FOR PROJECT (18 points).**
The need for the proposed project, as determined by the following factors:

a) **(10 points) the extent to which the proposed project will focus on serving or otherwise addressing the needs of disadvantaged individuals; and**

b) **(8 points) the extent to which specific gaps or weaknesses in services, infrastructure, or opportunities have been identified and will be addressed by the proposed project, including the nature and magnitude of those gaps or weaknesses.**

Describe the nature and magnitude of the problems or needs you wish to address and their local and national impact. State whether the problem is occurring in the community, educational system, or social infrastructure. Describe in detail how the proposed project may impact TRIO-eligible students. You should also discuss the needs of the institutions and/or organizations that have agreed to participate in this project and discuss their reasons for wishing to replicate or adapt the TRIO practices or models.

You should also discuss to what extent the same problems affect institutions and organizations serving TRIO-eligible students around the country, and any attempts to remedy the situation that you made in the past and the results. Further, discuss what might be the national consequences of a successful completion of your project and the extent to which other institutions or organizations are likely to benefit from your experience in ways that would enable them to improve their own programs and services.

2) **SIGNIFICANCE (20 points).**
The significance of the proposed project, as determined by the following factors:

a) **(7 points) 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;**

b) **(7 points) the extent to which the proposed project involves the development or demonstration of promising new strategies that build on, or are alternatives to, existing strategies;**

c) **(6 points) the potential replicability of the proposed project or strategies, including as appropriate, the potential for implementation in a variety of settings.**

The goal for the TRIO Dissemination Partnership Program is to leverage and expand the success of the TRIO programs. Therefore, an applicant must be able to clearly demonstrate or prove that the TRIO practice (or project component) proposed for dissemination has achieved its aims in its original setting. An applicant should include in the application previous evaluation data that focus as much as possible on precisely how the project practice has improved educational opportunity or student achievement for TRIO-eligible students.

In addition, in responding to this criterion, an applicant should discuss the following:

How this proposed project differs from and improves upon previous efforts;

The potential contribution of the project to increasing the knowledge within the education community about effective strategies and practices for serving low-income, first-generation, and disabled students;

How information, materials, processes, or techniques can be used to implement effective programs.

The potential for the TRIO practice or model to be replicated or adapted at other institutions and organizations.

An applicant should also keep in mind that if the original project activities have been heavily dependent on external funding, it may be difficult for other institutions or organizations to adapt them on their own, even with the limited funds this program makes available to partner institutions. This may reduce the potential for the successful implementation of your project components and practices at other sites.

3) QUALITY OF THE PROJECT DESIGN (22 points).
The quality of the design of the proposed project, as determined by the following factors:

a) (8 points) the extent to which the goals, objectives and outcomes to be achieved by the proposed project are clearly specified and measurable;

b) (8 points) 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; and

c) (6 points) the extent to which performance feedback and continuous improvement are integral to the design of the proposed project.

Your narrative should offer reviewers a clear description of who will do what, when, and where, and with what anticipated results. The project's goals and objectives should be clearly identified and measurable.

Projects should describe how they would leverage resources beyond the Federal resources to build partnerships in the community and share in the knowledge learned. These partnerships should be developed in order to help students who are not being served by the current TRIO programs to achieve the goals and objectives of the TRIO programs.

You should present a clear and convincing plan that emphasizes the merits of the proposed TRIO practices or component. The professional development and technical assistance plan should be innovative, but relatively simple to implement. The plan should describe how the technical assistance and training would increase the knowledge and skills of staff at the adapting sites and the role of the TRIO project in assisting with implementing the practices and models.

Another important element is the set of screening criteria that will be used by the grantee to select adapting partners. Partners should be selected not only for their interest in being part of the project but also because they provide evidence that they are committed to adapting the project practices or models. Commitment takes a variety of forms. It includes strong support from the highest levels of the administration and the pledge of adequate resources at the adapting site to successfully implement the model. It also includes the participation of an active site leader with both the time and resources needed and the skills to coordinate the sustained involvement of administrators, faculty, and staff at the adapting site.

You also should describe how the project staff will work with key individuals at the adapting sites to facilitate organizational change; how they will share skills and knowledge to build the capacity of others; and how they will collaborate with the adapting sites to ensure project success.

In this section you should provide information on the administrative processes of the project. Personnel management and timelines should be described in detail. A description of the lines of authority for the project should be included. An implementation chart or timetable containing objectives, activities, staff, and milestones for completing the critical elements of the projects are essential.

Further, we recommend that you include your response to the GEPA requirements in this section of the application (refer to pages 30 - 31 of this application package for guidance on how to address these requirements).

4) **QUALITY OF PROJECT PERSONNEL (10 points).**
The quality of personnel who will carry out the proposed project, as determined by the qualifications, including relevant training and experience, of key project personnel. In determining the quality of the project personnel, the Secretary considers the extent to which the applicant encourages applications for employment from persons who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability.

Include the name(s) and qualifications of the individual(s) who will direct the project, adapting site leaders, and any consultants. In addition to short vitae and job descriptions for key personnel, you should provide a brief narrative summary of each individual's background, with a special focus on those experiences related to the topic of your application.

It is expected that some staff from the ongoing TRIO projects will be involved in implementing the dissemination project. Project staff may need to be released from some of their regular duties and responsibilities in order to work on the dissemination project. Thus, you need to present a plan for realigning project responsibilities and for hiring replacement staff as needed to ensure the continued success of the ongoing TRIO project. The plan also should clearly indicate the percentage of time for each position to be supported under the Dissemination project.

5) **ADEQUACY OF RESOURCES (9 points).**
The adequacy of resources of the proposed project, as determined by the following factors:

   a) **(3 points) the relevance and demonstrated commitment of each partner in the proposed project to the implementation and success of the project;**

b) **(3 points) the extent to which the costs are reasonable in relation to the objectives, design, and potential significance of the proposed project; and**

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

The budget request and other available resources should be tied to the goals and objectives of the project. It should be clear that the resources and personnel needed to carry out the tasks and activities described in the application have been appropriately allocated. A detailed budget justification should itemize the grant support requested and those resources committed from other sources including the adapting sites.

The Department is especially interested in projects designed to be cost-effective, since this increases the likelihood that successful efforts may be continued beyond the grant period and replicated by others. Cost-effectiveness does not imply insufficient resources to accomplish the project's goals and objectives. Costs should be allocated, and will be judged, in comparison to the scope of the project and its anticipated benefits.

It is important to provide evidence that the plans you propose have the support of those who will authorize them, those who will carry them out, and those who will be affected by them. Please include, in an appendix, letters of commitment and support from senior administrators of the applicant institution or organization and from the proposed partners. <u>Applicants are advised that the quality of the letters of support and commitment is important, not the quantity.</u>

You should include a clear and convincing plan for long-term continuation of the project at each of the adapting sites. The plan should outline how the adapting institutions will integrate the TRIO practice or model into their operations after the Federal funding ends.

6) **QUALITY OF THE PROJECT EVALUATION (21 points).**
The quality of the evaluation to be conducted of the proposed project, as determined by the following factors:

a) **(7 points) 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;**

b) **(7 points) the extent to which the methods of evaluation will provide performance feedback and permit periodic assessment of progress toward achieving intended outcomes; and**

c) **(7 points) the extent to which the evaluation will provide guidance about effective strategies suitable for replication or testing in other settings.**

Evaluation is an important part of the project. Your application should include a detailed description of the project objectives and evaluation design. The evaluation should be designed to help staff determine not only the extent to which the TRIO practice or component has been adapted, but also the extent to which it has produced the intended effects on the partners. As you develop your evaluation plan, place yourself in the position of the recipient of your final evaluation report. What would count as solid quantitative and qualitative evidence that your project had succeeded or failed to achieve all of its goals? It may be difficult, within the term of the grant, to assess accomplishment of long-range objectives, but you should be able to identify some short-term indicators. Developing such evidence should not be put off until the last stages of a project. It must be a consideration from the design stage onward.

The evaluation plan should indicate the data that all partner institutions and/or organizations will be asked to collect in common and the criteria that will be used by the partners to determine success. In addition, each partner should collect local data that will reflect its particular problems and achievements. This plan should be developed by the prospective project director in collaboration with the proposed partners and should reflect the student (participant)-centered focus of the program components to be implemented.

A project must have both a formative evaluation and a strong summative evaluation, documenting the project's effects on the participants. Strong qualitative and quantitative evidence should show if the project has achieved its goals and objectives. You must describe how the evaluation data will be used to provide continuous feedback for improvements to the project design from the inception of the grant.

The Fund for the Improvement of Postsecondary Education (FIPSE) has developed a short bibliography of books and articles on program evaluation to assist applicants and grantees with evaluation designs. These references clarify formative and summative evaluation. They address evidence, measurement, and sampling questions, and discuss the immediate and long-range outcomes you can expect, based on your project objectives. The bibliography is available on the Department of Education web site at: http://www.ed.gov/offices/OPE/FIPSE.

Information on the Awards Process

INTRODUCTION: The following information supplements that provided in the "Dear Applicant" letter and the "Notice Inviting Applications for New Awards."

A. Criteria and Priority for Funding

All applications for funding under the Dissemination Program will be evaluated as *new submissions* according to the selection criteria outlined on pages 22 – 27 of this package. Further, applicants are encouraged to address the invitational priorities discussed on pages 20 - 21.

B. Length of Awards

Applicants for new awards may apply for a maximum of three years (36 months) of funding.

C. Evaluation of Applications for Awards

A panel of three experts who are not employees of the Federal government will review each application. Each reviewer will prepare a written evaluation of the application and assign points for each selection criterion. The Department will use the reviewers' comments and scores in making funding decisions, however, rank order scores will not necessarily determine the final order in which applications will be selected for grants. Final funding determinations will include consideration of factors such as relevance and importance of the priorities proposed for implementation and the geographic distribution of the grants.

D. Selection of Grantees

Program staff of the Office of Federal TRIO Programs will make funding recommendations to the Deputy Assistant Secretary for Higher Education Programs and the Assistant Secretary for Postsecondary Education who approve the awards.

E. Notice to Successful Applicants

The Department's Office of Legislation and Congressional Affairs will inform the appropriate members of Congress regarding applicants approved for a grant under this program. Successful applicants will be notified by mail shortly after the Congress is notified. No funding information will be released before the Congress is notified.

F. Notice to Unsuccessful Applicants

Unsuccessful applicants will be notified in writing following the notice to successful applicants.

G. Post-Award Conference and Meeting

The Department of Education is often unable to award the full amount of funds requested. The amount of funds to be awarded will be based on the appropriateness of the expenditures, the reasonableness of the costs, and the need described in the application. Successful applicants should plan to attend a two-day orientation meeting in Washington, D.C. in the Fall of 2003.

Guidance on Section 427 of General Education Provisions Act (GEPA)

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

NOTICE TO ALL APPLICANTS

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

To Whom Does This Provision Apply?

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

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

What Does This Provision Require?

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

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

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

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

(1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.

(2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in braille for students who are blind.

(3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.

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

Estimated Burden Statement for GEPA Requirements

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1890-0007.** The time required to complete this information collection is estimated to average 1.5 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** Director, Grants Policy and Oversight Staff, U.S. Department of Education, 400 Maryland Avenue, SW (Room 3652, GSA Regional Office Building No. 3). Washington, DC 20202-4248.

Information on the Government Performance and Results Act (GPRA)

What is GPRA?

The Government Performance and Results Act of 1993 (GPRA) is a statute that requires all federal agencies to manage their activities with attention to the consequences of those activities. Each organization 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.

How has the Department of Education Responded to the GPRA Requirements?

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

Goal 1: *Create a culture of achievement.*
Goal 2: *Improve student achievement.*
Goal 3: *Develop safe schools and strong character.*
Goal 4: *Transform education into an evidence-based field.*
Goal 5: *Enhance the quality of and access to postsecondary and adult education.*
Goal 6: *Establish management excellence.*

The performance indicators for the Federal TRIO Programs are part of the Department's plan for meeting Goal 5: Enhance the quality of and access to postsecondary and adult education. One of the Department's objectives for Goal 5 is to "reduce the gaps in college access and completion among student populations differing by race/ethnicity, socioeconomic status, and disability while increasing the educational attainment of all."

What are the Performance Indicators for TRIO Dissemination Program?

The Department's specific goal for the Federal TRIO Programs is to increase participation and completion rates of disadvantaged persons through the academic pipeline. For this new dissemination program, the goal is to increase the effectiveness of the TRIO program through the replication and adaptation of successful program components and practices at institutions and organizations that do not have TRIO grants. The specific performance indicator for the TRIO Dissemination program is as follows:

The number of successful TRIO components and practices that are replicated or adapted by institutions and organizations that do not have TRIO grants will increase each multi-year grant period. (Baseline established in 2002 -- end of first multi-year grant cycle).

DUNS Number Instructions

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

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

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

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

Instructions for Completing the Application and Forms

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

Part I: Application Face Sheet

Part II: Budget Documents

Part III: Program Narrative

Part IV: Department of Education Assurances and Certifications

Part II -- Instructions for Budget Summary and Narrative

INSTRUCTIONS FOR ED FORM 524

General Instructions

This form is used to apply to individual U.S. Department of Education discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program specific instructions, if attached.

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

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

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

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

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

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

Section B - Budget Summary
Non-Federal Funds

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

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

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

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

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

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

1. Provide an itemized budget breakdown, by project year, for each budget category listed in Sections A and B.

2. If applicable to this program, enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period. In addition, enter the estimated amount of the base to which the rate is applied, and the total indirect expense.

3. If applicable to this program, provide the rate and base on which fringe benefits are calculated.

4. Provide other explanations or comments you deem necessary.

Supplemental Budget Summary and Narrative Instructions

The funds needed by each of the partner institutions and/or organizations should be included under "Other" and explained in the budget narrative. The extent of the applicant's (and partner institutions') contributions to each of these items should be clearly explained in the budget narrative.

For this competition, applicants may request funding for up to **three years (36 months)**. The Department requires that all applicants for multi-year awards provide detailed budget information for the total grant period request. <u>These summary budgets and detailed budget narratives are needed for each 12-month budget period</u>. Department staff will determine the funding levels for each year of the grant award at the time of the initial award.

As discussed in the section on page 7 under **Project Configuration**, funding for these dissemination activities may vary from year to year based on the project's action plan. Further, costs among projects will vary based on the scope of the project, particularly with regard to the number of partner institutions and/or organizations the TRIO project plans to work with. Nonetheless, we anticipate that **for the first budget period**, we will fund projects in the **range of $130,000 - $200,000**. These estimates include the costs of the grantee institution or organization (the TRIO project) plus the funds each of the partner institutions and/or organizations need.

The funding request may include all costs that are reasonable and associated with carrying out the objectives of the TRIO Dissemination Partnership Program. However, we also expect that the grantee institution or organization and the partner institutions and/or organizations will agree to substantial cost sharing to ensure that the project is successfully implemented. Among the costs that may be supported with grant funds are:

- Release time for staff from the TRIO project to work on this dissemination grant;
- Release time or replacement costs for staff at partner sites to participate in training and materials development;
- Staff travel costs, including a 2-day orientation meeting in Washington, DC for project director and representatives from the partner institutions, on-site visits to the TRIO project and technical assistance visits to adapting sites;
- Costs for conducting an evaluation of implementation efforts (may include an external evaluator);
- Purchasing materials;
- Equipment, only if the applicant demonstrates to the Secretary's satisfaction that the equipment is required to meet the objectives of the project more economically or efficiently; and
- Evaluation, including costs for an external evaluator, if needed.

In the descriptive budget narrative, explain amounts for individual direct object cost categories that may appear to be out of the ordinary and provide the following details:

Personnel/Salaries. Include a statement that shows the total commitment of time and the total salary to be charged to the project for each key member of the project staff. Provide a breakdown of project personnel that includes the position title, the percent of time and number of months committed to the project, and the total salary to be charged to the grant.

Fringe Benefits. Include an explanation and appropriate justification if the institution or organization's normal benefit contribution exceeds 20 percent of salaries.

Staff Travel. Travel expenditures should be detailed as to purpose, objective, and number of persons involved. Transportation costs should not exceed tourist class airfare. For automobile mileage, the established institution or organization rate should be used. Reimbursement is allowed for taxicab, bus, train, or limousine transportation. Per diem at the established institution or organization rate is permitted when an individual is away from home over night on official project business (See OMB Circular A-21, J.48.c – Commercial Air Travel). **No foreign travel will be authorized under the grant.**

Equipment. List items of equipment in the following format: Item, number of items, cost per unit, total cost. Equipment purchases will only be approved if they are necessary to carry out project activities and are fully justified. *(Please remember that equipment is defined as non-expendable personal property which has a usefulness of greater than one year and an acquisition cost of $5000 or more per unit. However, consistent with an applicant's policy, lower limits may be established.)*

Supplies. Itemize costs for project supplies.

Other. Provide a breakdown of all direct costs not clearly covered by other budget categories. Examples are computer-use charges, equipment rental, communication costs, printing, and consultant services. If the project proposes to use consultants, identify the consultants that will work on the project and the scope of work to be performed by each consultant. Provide a detailed breakdown of the costs (daily fees to be paid, estimated number of days of services, and all travel expenses, including per diem). Cost allowances for consultant fees, honoraria, per diem, and travel should not exceed amounts permitted by comparable institutional or organization policies.

Also, provide in this section a detailed breakdown of funds needed by each of the adapting institutions and/or organizations.

Training Stipends. Include here any stipends to be paid to staff in the projects. Stipends may be paid to staff at the partner institutions and organizations that receive training or participate in professional development activities related to the implementation of the project models.

Indirect Costs. Indirect costs are limited to eight percent (8%) of a modified total direct cost base (refer to section 75.562 (c) of the Education Department General Administrative Regulations (EDGAR)).

Part III – Instructions for Preparing Program Narrative

Abstract

The narrative section of the application should begin with a short abstract (summary) of the proposed project that includes:
(1) a description of the TRIO program component or practice being adapted;
(2) a list of the institutions and/or organizations that have agreed to replicate or adapt the program model; and
(3) the goals, objectives, and intended outcomes for the proposed dissemination project.

The header for the abstract should include the project name and address along with the name, telephone number, fax number, and electronic mail address for the project director (contact).

Response to Selection Criteria

The application should include narratives from the TRIO project and each of the partner institutions. External reviewers will review each application using the eight selection criteria previously described on pages 22 – 27 of this package. For this reason, to the extent possible, applicants are encouraged to organize the narrative according to these criteria. Please remember that the program narrative should be no more than **45 double-spaced pages.**

In addition, the application should include information not to exceed 3- to 5-page double-spaced pages from each of the proposed partner institutions and/or organizations:*

- States the reasons for wishing to participate in the dissemination project and the level of readiness to do so, the activities for implementing the model and an action plan for the TRIO project's visits to the partner institution (organization);
- Provides a brief statement of the qualifications of the members of the team; and
- Includes a statement of support from the CEO or appropriate vice president/provost-level officer indicating commitment of continued funding for the program component model if it is successfully adapted.

*(This information is not considered a part of the selection criteria narrative response of 45 double-spaced pages.)

Part IV – Department of Education Assurances and Certifications

Applicants should include signed copies of the following assurance and certification forms with the application.

(1) Assurances – Non-Construction Programs (Standard Form 424 B);

(2) Certification Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements (ED Form 80-0013);

(3) Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Covered Transactions (ED 80-0014); and

(4) Disclosure of Lobbying Activities (Standard Form LLL)

In addition, all applicants must include information in their applications to address the new provisions in Section 427 of the Department of Education's General Education Provisions Act (GEPA). Refer to pages 20 - 21 of this package for specific information.

INSTRUCTIONS FOR TRANSMITTING APPLICATIONS:

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

Applications Sent by Mail

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

U.S. Department of Education
Application Control Center
Attention: CFDA# 84.344
Washington, DC 20202-4725

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

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

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

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

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

Special Note: Due to recent disruptions to normal mail delivery, the Department encourages you to consider using an alternative delivery method (for example, a commercial carrier, such as Federal Express or United Parcel Service; U. S. Postal Service Express Mail; or a courier service) 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 instructions for "Applications Delivered by Hand."

Applications Delivered by Hand

You or your courier must hand deliver the original and number of copies requested of the application by 4:30 p.m. (Washington, DC time) on or before the deadline date.

To help expedite our review of your application, we would appreciate your voluntarily including an additional copy of your application.

U.S. Department of Education
Application Control Center
Attention: CFDA# 84.344
7th and D Streets, SW
ROB-3, Room 3671
Washington, DC 20202-4725

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. The Center accepts application deliveries through the D Street entrance only. A person delivering an application must show identification to enter the building.

Executive Order 12372 -- Intergovernmental Review

Appendix

Intergovernmental Review of Federal Programs

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

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

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

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

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

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

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

The list below, prepared by the U.S. Department of Education is an unofficial version of the State Single Point of Contact (SPOC) List published by the Office of Management and Budget (OMB). The Department has made every effort to ensure the accuracy of the information contained in this unofficial version. It reflects those changes made by OMB as of 08/15/01. The only official and up to date version of the State Single Point of Contact (SPOC) List is posted on the Grants Management section of the OMB web site: **http://www.whitehouse.gov/omb/grants/spoc.html**. You may review and/or download the Adobe pdf (portable document format) version of this document at the aforementioned site. Please include this statement in any reproduction of this unofficial list.

You are strongly encouraged to access the Intergovernmental Review (SPOC List) link to the Grants Management Information section of the OMB web page regularly in the course of completing grant applications to be submitted to your designated State Single Point of Contact (SPOC). If you do not have access to the Internet, please use the list below to contact the office or individual listed in order to confirm the State Single Point of Contact (SPOC).

STATE SINGLE POINTS OF CONTACT (SPOCs)

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

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

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

ARKANSAS Tracy L. Copeland Manager, State Clearinghouse Office of Intergovernmental Services Department of Finance and Administration 1515 W. 7th Street, Room 412 Little Rock, Arkansas 72203 Telephone: (501) 682-1074 FAX: (501) 682-5206 tlcopeland@dfa.state.ar.us	**CALIFORNIA** Grants Coordination State Clearinghouse Office of Planning and Research P.O. Box 3044, Room 222 Sacramento, California 95812-3044 Telephone: (916) 445-0613 FAX: (916) 323-3018 state.clearinghouse@opr.ca.gov
DELAWARE Charles H. Hopkins Executive Department Office of the Budget 540 S. Dupont Highway , 3rd Floor Dover, Delaware 19901 Telephone: (302) 739-3323 FAX: (302) 739-5661 chopkins@state.de.us	**DISTRICT OF COLUMBIA** Luisa Montero-Diaz Office of Partnerships and Grants Development Executive Office of the Mayor District of Columbia Government 414 4th Street, NW, Suite 530 South Washington, DC 20001 Telephone: (202) 727-8900 FAX: (202) 727-1652 opgd.eom@dc.gov
FLORIDA Jasmin Raffington Florida State Clearinghouse Department of Community Affairs 2555 Shumard Oak Blvd. Tallahassee, Florida 32399-2100 Telephone: (850) 922-5438 FAX: (850) 414-0479 clearinghouse@dca.state.fl.us	**GEORGIA** Georgia State Clearinghouse 270 Washington Street, SW Atlanta, Georgia 30334 Telephone: (404) 656-3855 FAX: (404) 656-7901 gach@mail.opb.state.ga.us
ILLINOIS Virginia Bova Department of Commerce and Community Affairs James R. Thompson Center 100 West Randolph, Suite 3-400 Chicago, Illinois 60601 Telephone: (312) 814-6028 FAX: (312) 814-8485 vbova@commerce.state.il.us	**IOWA** Steven R. McCann Division of Community and Rural Development Iowa Department of Economic Development 200 East Grand Avenue Des Moines, Iowa 50309 Telephone: (515) 242-4719 FAX: (515) 242-4809 steve.mccann@ided.state.ia.us
KENTUCKY Ron Cook Department for Local Government	**MAINE** Joyce Benson State Planning Office

1024 Capital Center Drive, Suite 340 Frankfort, Kentucky 40601 Telephone: (502) 573-2382 FAX: (502) 573-2512 ron.cook@mail.state.ky.us	184 State Street 38 State House Station Augusta, Maine 04333 Telephone: (207) 287-3261 Telephone: (207) 287-1461 (direct) FAX: (207) 287-6489 joyce.benson@state.me.us
MARYLAND Linda Janey Manager, Clearinghouse and Plan Review Unit Maryland Office of Planning 301 West Preston Street – Room 1104 Baltimore, Maryland 21201-2305 Telephone: (410) 767-4490 FAX: (410) 767-4480 linda@mail.op.state.md.us	**MICHIGAN** Richard Pfaff Southeast Michigan Council of Governments 535 Griswold, Suite 300 Detroit, Michigan 48226 Telephone: (313) 961-4266 FAX: (313) 961-4869 pfaff@semcog.org
MISSISSIPPI Cathy Mallette Clearinghouse Officer Department of Finance and Administration 1301 Woolfolk Building, Suite E 501 North West Street Jackson, Mississippi 39201 Telephone: (601) 359-6762 FAX: (601) 359-6758	**MISSOURI** Carol Meyer Teresa Kirchhoff Federal Assistance Clearinghouse Office of Administration P.O. Box 809 Truman Building, Room 840 Jefferson City, Missouri 65102 Telephone: (573) 751-4834 FAX: (573) 522-4395 meyerc@mail.oa.state.mo.us kirchhofft@mail.oa.state.mo.us
NEVADA Heather Elliott Department of Administration State Clearinghouse 209 E. Musser Street, Room 200 Carson City, Nevada 89701 Telephone: (775) 684-0209 FAX: (775) 684-0260 Helliot@govmail.state.nv.us	**NEW HAMPSHIRE** Jeffrey H. Taylor Director New Hampshire Office of State Planning Attn: Intergovernmental Review Process Mike Blake 2½ Beacon Street Concord, New Hampshire 03301 Telephone: (603) 271-2155 FAX: (603) 271-1728 Jtaylor@osp.state.nh.us
NEW MEXICO Ken Hughes Local Government Division Room 201, Bataan Memorial Building Santa Fe, New Mexico 87503 Telephone: (505) 827-4370 FAX: (505) 827-4948 khughes@dfa.state.nm.us	**NORTH CAROLINA** Jeanette Furney Department of Administration 1302 Mail Service Center Raleigh, North Carolina 27699-1302 Telephone: (919) 807-2323 FAX: (919) 733-9571 jeanette.furney@ncmail.net
NORTH DAKOTA Jim Boyd Division of Community Services	**RHODE ISLAND** Kevin Nelson Department of Administration

600 East Boulevard Ave, Dept 105 Bismarck, North Dakota 58505-0170 Telephone: (701) 328-2094 FAX: (701) 328-2308 jboyd@state.nd.us	Statewide Planning Program One Capitol Hill Providence Rhode Island 02908-5870 Telephone: (401) 222-2093 FAX: (401) 222-2083 knelson@doa.state.ri.us
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Changes to this list can be made only after OMB is notified by a State's officially designated representative. E-mail messages can be sent to grants@omb.eop.gov. If you prefer, you may send correspondence to the following postal address:

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

Important Notice to Prospective Participants in U.S. Department of Education Contract and Grant Programs

GRANTS

Applicants for grants from the U.S. Department of Education (ED) have to compete for limited funds. Deadlines assure all applicants that they will be treated fairly and equally, without last minute haste. For these reasons, ED must set strict deadlines for grant applications. Prospective applicants can avoid disappointment if they understand that:

Failure to meet a deadline will mean that an applicant will be rejected without any consideration.

The rules, including the deadline, for applying for each grant are published, individually, in the Federal Register. A one-year subscription to the Register may be obtained by sending $555.00 to: Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402-9371. (Send check or money order only, no cash or stamps.) In addition, the Federal Register is available on-line for free on Government Printing Office (GPO) Access: http://www.access.gpo.gov/nara. Depository Library location and Federal Register services: http://www.nara.gov/fedreg.

The instructions in the Federal Register must be followed exactly. Do not accept any other advice you may receive. No ED employee is authorized to extend any deadline published in the Register. No ED employees are authorized to extend any deadline published in the Federal Register. Questions regarding submission of applications may be addressed to:

U.S. Department of Education
Application Control Center
Washington, D.C. 20202-4725

CONTRACTS

Competitive procurement actions undertaken by the ED are governed by the Federal Acquisition Regulations and implementing Department of Education Acquisition Regulations.

Generally, prospective competitive procurement actions are synopsized in the Commerce Business Daily (CBD). Prospective offerors are therein advised of the nature of the procurement and where to apply for copies of the Request for Proposals (RFP). All of ED's RFP's are now available on-line for downloading at the following url: http://www.ed.gov/offices/ocfo/contracts/currrfp.html.

Offerors are advised to be guided solely by the contents of the CBD synopsis and the instructions contained in the RFP. Questions regarding the submission of offers should be addressed to the Contracts Specialist identified on the face page of the RFP. Offers are judged in competition with others, and failure to conform with any substantive requirements of the RFP will result in rejection of the offer without any consideration whatever.

Do not accept any advice you receive that is contrary to instructions contained in either the CBD synopsis or the RFP. No ED employee is authorized to consider a proposal which is non-responsive to the RFP. A subscription to the CBD is available for $208.00 per year via second class mailing or $261.00 per year via first class mailing.

Information included in the Federal Acquisition Regulation is contained in Title 48, Code of Federal Regulations, Chapter 1 ($49.00). The foregoing publication may be obtained by sending your check or money order only, no cash or stamps, to:

Superintendent of Documents
U.S. Government Printing Office
Washington, D.C. 20402-9371

In addition, the Commerce Business Daily is available on-line for free at the following url: http://cbdnet.access.gpo.gov/. The Federal Acquisition Regulations are available on-line at the following url: http://www.arnet.gov/far/. In an effort to be certain this important information is widely disseminated, this notice is being included in all ED mail to the public. You may therefore, receive more than one notice. If you do, we apologize for any annoyance it may cause you.

ED FORM 5348, 7/01

Application Forms Section

Electronic versions of these forms, including PDF fill-able versions, are also available online at http://www.ed.gov/offices/OCFO/grants/appforms.htm