

**DATED MATERIAL – OPEN IMMEDIATELY**

**Closing Date:  
March 1<sup>st</sup>, 2007**

**Fiscal Year 2007**

**GRANT APPLICATION  
FOR THE  
NATIONAL PROFESSIONAL DEVELOPMENT PROGRAM**

CFDA No. 84.195 N  
OMB No. 1890-0008  
Expiration Date: 6/30/2008



**U.S. Department of Education  
Washington, DC 20202**

**Office of English Language Acquisition, Language Enhancement  
and Academic Achievement for Limited English Proficient  
Students**

# **NATIONAL PROFESSIONAL DEVELOPMENT PROGRAM**

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Dear Colleague:

Thank you for your interest in the National Professional Development Program 2007 competition. This program is designed to support professional development activities that will improve classroom instruction for limited English proficient students and assist teachers and other educational personnel working with such children to meet high professional standards.

This year represents the largest level of new available funding in the program's history. It provides a great opportunity for institutions of higher education with States, schools and their other collaborative partners to build their professional development capacity, through systemic approaches with long-term results, to ensure that all teachers and other educational personnel are effectively prepared to serve limited English proficient students.

We in OELA and the Department of Education are pleased to announce three invitational priorities under the competition that respond to national professional development needs for improving instruction for limited English proficient students and closing the achievement gap between those students and their peers.

The priorities for the 2007 National Professional Development Program competition are:

- Projects designed to improve a teacher education program in order to better prepare all teachers to provide effective instruction to LEP students. In such projects, IHEs would collaborate with both a local educational agency and a State educational agency on such activities as: (1) professional development to improve the ability of higher education faculty in preparing prospective teachers to teach LEP students, and (2) the development of teacher education curricula that (a) are aligned with State content standards and State English language proficiency standards and (b) prepare all teacher candidates in an institution to provide instruction that accelerates LEP students' acquisition of language (including the acquisition of academic language skills), literacy, and content knowledge.
- Projects that conduct post-training assessment and collect post-training data on the effectiveness of program graduates and completers in order to determine the impact of the project on the academic achievement and English language development of K-12 LEP students.
- Projects that support high-quality professional development for secondary content teachers to help these teachers improve academic achievement and literacy and language development of LEP students, including by preparing teachers to provide instruction that reflects aligned State English language proficiency standards and State content standards and assessments.

OELA is particularly interested in applications that respond to the invitational priorities. Regardless of the priority or priorities that you may select, however, as you develop your professional development plan it is important to consider the primary purpose of Title III: To ensure that all limited English proficient students:

- Attain English proficiency;
- Develop high levels of academic attainment in English; and

- Meet the same challenging State academic content and student academic achievement standards as all children are expected to meet.

The enclosed materials include the forms you will need to complete your application, instructions for completing the forms, and additional information that you will need to complete the application. Applicants should organize the application contents, including the program narrative, in accordance with the instructions provided in this package.

You may request funding for a multi-year award of up to 60 months. If you do request a multi-year award, you must explain why a multi-year project is needed and must provide objectives, activities, and a detailed budget for each year of the proposed project. If you are selected for an award the Department will establish, at the same time of the initial award, the funding level for each year of the grant.

Future continuation awards will rely heavily on the annual performance reports, which must be submitted before each year of continued funding. We will provide specific reporting requirements to funded applicants at a later date.

Applicants should pay careful attention to the Performance Measures listed in the Application Notice, and consider the measures in planning program objectives, activities and evaluation.

We are encouraging you to submit your application electronically. Electronic copies must be uploaded on Grants.gov by 4:30 pm, Washington DC time on the closing date and then processed by Grants.gov successfully. For additional information on electronic submission procedures, see the Grants.gov Submission Procedures and Tips for Applicants . A copy of your application must not be emailed directly to the Department. If you choose to submit your application electronically, you must submit it via Grants.gov. We strongly suggest that you carefully check your submission to ensure that you have attached the correct files in the appropriate fields.

Also, it is important to note that project narratives that exceed the 30-page limit will not be reviewed. If you have questions about these or any other program requirement, please call Ana Garcia at (202) 245-7153, [ana.garcia@ed.gov](mailto:ana.garcia@ed.gov) or Trinidad Torres-Carrion at (202) 245-7134, [trinidad.torres-carrion@ed.gov](mailto:trinidad.torres-carrion@ed.gov)

We look forward to receiving your application and appreciate your efforts to improve the education of limited English proficient children.

Sincerely,

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Kathleen Leos  
Assistant Deputy Secretary and Director,  
Office of English Language Acquisition,  
Language Enhancement, and Academic Achievement  
for Limited English Proficient Students

**IMPORTANT – PLEASE READ FIRST**  
**U.S. Department of Education**  
***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, please go to: [http://www.grants.gov/applicants/get\\_registered.jsp](http://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/time stamp on your application and then process it after it is fully uploaded. The time it takes to upload an application will vary depending on a number of factors including the size of the application and the speed of your Internet connection, and the time it takes Grants.gov to process the application will vary as well. If Grants.gov rejects your application (see step three below), you will need to resubmit successfully before 4:30 pm on the deadline date.

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

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

If the date/time received is later than 4:30 p.m. Washington, D.C. time, on the closing date, your application is late. If your application has a status of “Received” it is still awaiting validation by Grants.gov. Once validation is complete, the status will either change to “Validated” or “Rejected with Errors.” If the status is “Rejected with Errors,” your application has not been received successfully. Some of the reasons Grants.gov may reject an application can be found on the Grants.gov site:

[http://www.grants.gov/help/submit\\_application\\_faqs.jsp#10](http://www.grants.gov/help/submit_application_faqs.jsp#10). For more detailed information on why an application may be rejected, you can review Application Error Tips <http://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 closing date, please contact Grants.gov Customer Support at 1-800-518-4726 or use the customer support available on the Web site: [http://www.grants.gov/applicants/applicant\\_help.jsp](http://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., unless you follow the procedures in the Federal Register notice and qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. (See the Federal Register notice for detailed instructions.)

#### HELPFUL HINTS WHEN WORKING WITH GRANTS.GOV

Please note, once you download an application from Grants.gov, you will be working offline and saving data on your computer. Please be sure to note where you are saving the Grants.gov file on your computer. You will need to logon to Grants.gov to upload and submit the application. You must provide on your application the DUNS number that was used when your organization registered with the CCR.

Please go to [http://www.grants.gov/applicants/applicant\\_help.jsp](http://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 the Grants.gov [http://www.grants.gov/help/submit\\_application\\_faqs.jsp](http://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 [http://www.grants.gov/resources/download\\_software.jsp#non\\_window](http://www.grants.gov/resources/download_software.jsp#non_window). Also, to view white paper for Macintosh users published by Pure Edge go to the following link: <http://www.grants.gov/section678/PureEdgeSupportforMacintosh.pdf>, and/or contact Grants.gov Customer Support (<http://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 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.)

### **INSTRUCTIONS FOR TRANSMITTING APPLICATIONS**

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

### **APPLICATIONS SUBMITTED ELECTRONICALLY**

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

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

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

### **APPLICATIONS SENT BY MAIL**

You must mail the original and two copies of the application on or before the deadline date to. **(Optional)** – To help expedite our review of your application, we would appreciate your voluntarily including an additional (Fill in), copies of your application.

Please mail copies to:

U.S. DEPARTMENT OF EDUCATION  
**Application Control Center**  
**Attention: CFDA# 84.195N**  
**400 Maryland Avenue, SW**  
**Washington, DC 20202 - 4260**

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

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

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

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

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

### **Applications Delivered by Commercial Carrier:**

**Special Note: Due to recent disruptions to normal mail delivery, the Department encourages you to consider using an alternative delivery method (for example, a commercial carrier, such as Federal Express or United Parcel Service; or U. S. Postal Service Express Mail) to transmit your application for this competition to the**

**Department. If you use an alternative delivery method, please obtain the appropriate proof of mailing under “Applications Sent by Mail,” then follow the mailing instructions under the appropriate delivery method.**

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

**U.S. Department of Education  
Application Control Center – Stop 4260  
Attention: CFDA# 84.195N  
7100 Old Landover Road  
Landover, MD 20785-1506**

### **APPLICATIONS DELIVERED BY HAND**

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

**Please hand deliver copies to:**

**U.S. DEPARTMENT OF EDUCATION  
Application Control Center  
Attention: CFDA# 84.195N  
550 12<sup>th</sup> Street, SW  
PCP - Room 7041  
Washington, DC 20202 – 4260**

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

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DEPARTMENT OF EDUCATION

Office of English Language Acquisition, Language Enhancement, and Academic Achievement for Limited English Proficient Students;

Overview Information

National Professional Development Program

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

Catalog of Federal Domestic Assistance (CFDA) Number: 84.195N

Dates:

Applications Available: December 15, 2006.

Deadline for Notice of Intent to Apply: February 1, 2007.

Deadline for Transmittal of Applications: March 1, 2007.

Deadline for Intergovernmental Review: May 1, 2007.

Eligible Applicants: Institutions of higher education (IHEs) in consortia with State educational agencies (SEAs) or local educational agencies (LEAs).

Note: Eligible applicants seeking to apply as a consortium should read and follow the regulations in 34 CFR 75.127 through 75.129.

Estimated Available Funds: The Administration has requested \$38,100,000 for new awards for this program for FY 2007. The actual level of funding, if any, depends on final Congressional action. However, we are inviting applicants to allow enough time to complete the grant process if Congress appropriates funds for this program.

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

Estimated Average Size of Awards: \$257,000.

Estimated Number of Awards: 148.

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

PROJECT PERIOD: UP TO 60 MONTHS.

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program: The purpose of the National Professional Development Program is to provide for professional development activities that will improve classroom instruction for limited English proficient (LEP) children and assist educational personnel working with such children to meet high professional standards, including standards for certification and licensure as teachers who work in language instruction education programs or serve LEP children.

Priorities: Under this competition we are particularly interested in applications that address the following priorities.

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

These priorities are as follows:

Invitational Priority #1. Projects designed to improve a teacher education program in order to better prepare all teachers to provide effective instruction to LEP students. In such projects, IHEs would collaborate with both an LEA and an SEA on such activities as: (1) professional development to improve the ability of higher education faculty in preparing prospective teachers to teach LEP students, and (2) the development of teacher education curricula that (a) are aligned with State content standards and State English language proficiency standards and (b) prepare all teacher candidates in an institution to provide instruction that accelerates LEP students' acquisition of language (including the acquisition of academic language skills), literacy, and content knowledge.

Invitational Priority #2. Projects that conduct post-training assessment and collect post-training data on the effectiveness of program graduates and completers in order to determine the impact of the project on the academic achievement and English language development of LEP students in grades kindergarten through 12.

Invitational Priority #3. Projects that support high-quality professional development for secondary content teachers to help these teachers improve academic achievement and literacy and language development of LEP students, including by preparing teachers to

provide instruction that reflects aligned State English language proficiency standards and State content standards and assessments.

Program Authority: 20 U.S.C. 6861.

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

Note: The regulations in 34 CFR part 86 apply to IHEs only.

## II. Award Information

Type of Award: Discretionary grants.

Estimated Available Funds: The Administration has requested \$38,100,000 for new awards for this program for FY 2007. The actual level of funding, if any, depends on final Congressional action. However, we are inviting applicants to allow enough time to complete the grant process if Congress appropriates funds for this program.

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

Estimated Average Size of Awards: \$257,000.

Estimated Number of Awards: 148.

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

Project Period: Up to 60 months.

## III. Eligibility Information

1. Eligible Applicants: IHEs in consortia with SEAs or LEAs.

Note: Eligible applicants seeking to apply as a consortium should read and follow the regulations in 34 CFR 75.127 through 75.129.

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

## IV. Application and Submission Information

1. Address to Request Application Package: Patrice Swann, U.S. Department of Education, 550 12<sup>th</sup> Street, SW., room 10070, Potomac Center Plaza, Washington, DC 20024-6121. Telephone: (202) 245-7130, or by e-mail: [patrice.swann@ed.gov](mailto:patrice.swann@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 a copy of the application package in an alternative format (e.g., Braille, large print, audiotape, or computer diskette) by contacting the program contact person listed in this section.

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

Notice of Intent to Apply: The Department will be able to develop a more efficient process for reviewing grant applications if it has a better understanding of the number of entities that intend to apply for funding under this competition. Therefore, the Secretary strongly encourages each potential applicant to notify the Department by sending a short e-mail message indicating the applicant's intent to submit an application for funding.

The e-mail does not need to include information regarding the content of the proposed application, only the applicant's intent to submit it. This e-mail notification should be sent to Yvonne Putney-Mathieu at: [yvonne.mathieu@ed.gov](mailto:yvonne.mathieu@ed.gov)

We will consider an application submitted by the deadline date for transmittal of applications, even if the applicant did not provide us notice of its intent to apply.

Page Limit: The application narrative (Part III of the application) is where you, the applicant, address the selection criteria that reviewers use to evaluate your application.

You must limit Part III to the equivalent of no more than 30 pages using the following standards.

- A "page" is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.
- Double space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, footnotes, quotations, references, and captions, as well as all text in charts, tables, figures, and graphs.

- Use a font that is either 12 point or larger or no smaller than 10 pitch (characters per inch).
- The page limit does not apply to Part I, the cover sheet; Part II, the budget section, including the narrative budget justification; Part IV, the assurances and certifications; or the one page abstract. 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.

3. Submission Dates and Times:

Applications Available: December 15, 2006.

Deadline for Notice of Intent to Apply: February 1, 2007.

Deadline for Transmittal of Applications: March 1, 2007.

Applications for grants under this 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.

Deadline for Intergovernmental Review: May 1, 2007.

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

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

6. Other Submission Requirements: Applications for grants under this program 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 Governmentwide Grants.gov Apply site. The National Professional Development Program, 84.195N, is included in this project. We request your participation in Grants.gov.

If you choose to submit your application electronically, you must use the Governmentwide Grants.gov Apply site at <http://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 National Professional Development Program at <http://www.grants.gov/> You must search for the downloadable application package for this program or competition by the CFDA number. Do not include the CFDA number's alpha suffix in your search (e.g., search for 84.195, not 84.195N).

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 [http://www.grants.gov/applicants/get\\_registered.jsp](http://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 <http://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 1-800-518-4726. 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 84.195 N  
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 84.195 N  
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 84.195 N)  
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

Selection Criteria: The selection criteria for this competition are from 34 CFR 75.210 of EDGAR. The maximum score for all of these criteria is 100 points. The maximum score for each criterion is indicated in parentheses.

(a) Need for project. (5 points)

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

(1) The extent to which the proposed project will provide services or otherwise address the needs of students at risk of educational failure.

(2) 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 and weaknesses.

(3) The extent to which the proposed project will prepare personnel for fields in which shortages have been demonstrated.

(b) Quality of the project design. (50 points)

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

(1) The extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable.

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

(3) The extent to which the design of the proposed project reflects up-to-date knowledge from research and effective practice.

(4) The extent to which the proposed project is part of a comprehensive effort to improve teaching and learning and to support rigorous academic standards for students.

(5) 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.

(c) Quality of project personnel. (5 Points)

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

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

(2) The qualifications, including relevant training and experience, of the project director or principal investigator.

(3) The qualifications, including relevant training and experience, of key personnel.

(d) Quality of the management plan. (10 points)

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

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

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

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

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

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

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

(2) 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.

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

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

## 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: 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 CFR 75.118.

(4) Performance Measures: In response to the Government Performance and Results Act (GPRA), the Department developed three quantitative measures for evaluating the overall effectiveness of the NPD Program. We will expect each IHE, in consortium with its partnering LEA or SEA, that carries out a project funded under this competition to document the extent to which the project is achieving against these performance measures. These measures are:

- (1) The percentage of pre-service program graduates who are placed in instructional settings serving limited English proficient students within one year of graduation.
- (2) The percentage of pre-service program graduates who meet NCLB Highly Qualified Teacher requirements.
- (3) The percentage of in-service teacher completers who are providing instructional services to limited English proficient students.

Grantees will be expected to report on progress in meeting these performance measures for the NPD Program in their Annual Performance Report and in their Final Performance Report.

In addition to the GPRA measures, the Department has developed two additional measures, program measures, used to help monitor the effectiveness of the NPD Program. We will expect each IHE, in consortium with its partnering LEA or SEA, that

carries out a project funded under this competition to document the extent to which the project is helping the Department meet these program measures. These measures are:

(1) The effectiveness of graduates/completers in the instructional setting.

(2) The degree to which IHE pre-service and in-service training programs are aligned with K-12 State standards and assessments, including English language proficiency standards and content standards.

Grantees will be expected to report on progress in meeting these performance measures for the NPD Program in their Annual Performance Report and in their Final Performance Report.

## VII. Agency Contact

### For Further Information Contact:

Ana Garcia  
U.S. Department of Education  
Potomac Center Plaza  
550 12<sup>th</sup> Street, SW. Room 10072  
Washington, DC 20024-6121  
(202) 245-7153  
[ana.garcia@ed.gov](mailto:ana.garcia@ed.gov).

or

Trini Torres-Carrion  
U.S. Department of Education  
Potomac Center Plaza  
550 12<sup>th</sup> Street, SW. Room 10082  
Washington, DC 20024-6121  
(202) 245-7134  
[trinidad.torres-carrion@ed.gov](mailto:trinidad.torres-carrion@ed.gov).

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

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

## VIII. Other Information

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

[www.ed.gov/news/fedregister](http://www.ed.gov/news/fedregister)

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

Note: The official version of this document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and the Code

of Federal Regulations is available on GPO Access at:

[www.gpoaccess.gov/nara/index.html](http://www.gpoaccess.gov/nara/index.html)

Dated:

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Kathleen Leos,  
Assistant Deputy Secretary and Director, Office of English  
Language Acquisition, Language Enhancement and  
Academic Achievement for Limited English Proficient  
Students.



Authorizing Statute  
No Child Left Behind Act of 2001

Title III —Language Instruction for limited English proficient and immigrant students

SEC. 3111. National Professional Development Project

The Secretary shall use funds made available under this section 3111c(1)C to award grants on a competitive basis, for a period of no more than 5 years, to institutions of higher education (in consortia with State educational agencies or local educational agencies) to provide for professional development activities that will improve classroom instruction for limited English proficient children and assist educational personnel working with such children to meet high professional standards, including standards for certification and licensure as teachers who work in language instruction educational programs or serve limited English proficient children.

Grants awarded under this subsection may be used –

- (1) Preservice professional development programs that will assist local schools and institutions of higher education to upgrade the qualifications and skills of educational personnel who are not certified or licensed, especially educational paraprofessionals;
- (2) For the development of curricula appropriate to the needs of the consortia participants involved; and
- (3) In conjunction with other Federal need-based student financial assistance programs, for financial assistance, and costs related to tuition, fees, and books for enrolling in courses required to complete the degree involved, to meet certification or licensing requirements for teachers who work in language instruction educational programs or serve limited English proficient children.

## NATIONAL PROFESSIONAL DEVELOPMENT PROGRAM (NPD)

### NON-REGULATORY GUIDANCE

#### Questions and Answers

**Q: Where can an applicant find information about professional development for educators of LEP students?**

A: Information on the NPD Program and professional development for educators of LEP students is available through: the National Clearinghouse for English Language Acquisition and Language Instruction Educational Programs:

[www.ncela.gwu.edu](http://www.ncela.gwu.edu)

[www.ncela.gwu.edu/oela/OELAprograms](http://www.ncela.gwu.edu/oela/OELAprograms)

**Q: Who is eligible to apply for a grant under the NPD Program?**

A: Only institutions of higher education (IHEs), applying in consortia arrangements with one or more local educational agencies (LEAs) or State educational agencies (SEAs), are eligible to apply for a grant under the NPD Program. This means the IHE would be the lead agency and the fiscal agent for the grant.

**Q: What activities are allowable under the NPD Program?**

A: Allowable activities are those that provide professional development for teachers and other educational personnel who are either serving or preparing to serve LEP students. Such activities may include, but are not limited to: collaborating with local school districts in designing high-quality professional development activities for new teachers; improving teacher training programs to reflect an aligned system of State English language proficiency standards, content standards and assessments; providing programs to assist regular classroom teachers to meet State certification requirements for teachers of LEP students; providing career ladder programs for paraprofessionals;

**Q: What should an applicant for the NPD Program consider in developing project objectives?**

A: Applicants should develop measurable project objectives, including benchmarks and associated performance measures, reflecting the NPD Program Measures and the NPD GPRA Measures.

Applicants should consider objectives in developing the program design, the management plan, the budget, and the evaluation plan.

**Q: How does the Department evaluate the NPD Program?**

A: In response to the Government Performance and Results Act (GPRA), the Department developed three quantitative measures for evaluating the overall effectiveness of the NPD Program. We will expect each IHE, in consortium with its partnering LEA and/or SEA that carries out a project funded under this competition, to document the extent to which the project is achieving against these performance measures. These measures are:

- (1) The percentage of pre-service program graduates who are placed in instructional settings serving limited English proficient students within one year of graduation.***
- (2) The percentage of pre-service program graduates who meet NCLB Highly Qualified Teacher requirements.***
- (3) The percentage of in-service teacher completers who are providing instructional services to limited English proficient students.***

Grantees will be expected to report on progress in meeting these performance measures for the NPD Program in their Annual Performance Report and in their Final Performance Report.

In addition to the GPRA measures, the Department has developed two additional measures, program measures, used to help monitor the effectiveness of the NPD Program. We will expect each IHE, in consortium with its partnering LEA or SEA

that carries out a project funded under this competition to document the extent to which the project is helping the Department meet these program measures. These measures are:

- (1) *The effectiveness of graduates/completers in the instructional setting.***
- (2) *The degree to which IHE pre-service and in-service training programs are aligned with K-12 State standards and assessments, including English language proficiency standards and content standards.***

Grantees will be expected to report on progress in meeting these performance measures for the NPD Program in their Annual Performance Report and in their Final Performance Report.

**Q: May an applicant propose training for more than one type of personnel?**

A: An applicant may propose training for more than one type of educational personnel, for example, higher education faculty that prepare mainstream teachers and in-service content teachers working toward ESL endorsement or certification. In determining the number and of types of personnel to be trained, applicants should consider the identified needs of the districts to be served and the capacity of the institution to provide services for multiple types of educational personnel. In addition, applicants should also consider that service to multiple types of personnel may require goals, objectives, project activities and evaluation activities for each type of personnel it proposes to serve.

**Q: What information may be helpful in preparing an application for the NPD Program?**

A: In responding to the selection criteria and priorities, applicants may wish to consider the following questions as a guide for preparing the application narrative.

- What are the specific responsibilities of districts, schools, IHE, States and other partnership organizations in planning, implementing, and evaluating the proposed project? How were teachers, administrators and others involved in planning and

designing the project? What resources and support will be provided by each of the contributing partners?

- How does the proposed program curriculum reflect State certification requirements, an aligned system of State K-12 English language proficiency standards, content standards and assessments?
- How does the proposed program curriculum reflect current research on effective strategies for the development of LEP students' language, literacy and content knowledge, including the development of academic language skills?
- How will the project build capacity to improve professional development in the IHE and in the target schools? For example, will project activities result in improved curricula related to preparing all teachers to provide instruction to LEP students; improved content knowledge of teachers; or improved field practice, assessment of teacher skills, or skills of higher education faculty?
- How will participants be prepared to collaborate with other educators, such as content teachers, English language development specialists, bilingual teachers, speech pathologists, administrators, counselors and others in designing instruction, assessing students and in providing support services for students?
- What are the expected outcomes for participant recruitment, participant progress in meeting project requirements, participant success in achieving program standards, graduate effectiveness in the instructional setting, and improved professional development in the school or the university?
- Do objectives reflect Program Measures and GPRA Measures? Will the project use multiple measures to assess participant and program effectiveness? What specific assessments and measures will the proposed project use to collect data on the effectiveness of the project in meeting its objectives, such as: field practice assessments; National or State assessments; surveys of graduates, mentor teachers, school administrators; rates of transfer from 2-year to 4-year institutions, graduation rates, placement rates; or achievement of K-12 students?

- How will the project assess progress and performance of participants and communicate meaningful, regular and timely feedback to participants?
- Does the management plan effectively demonstrate the relationship among project objectives and activities (including benchmarks and milestones), budget expenditures (such as personnel, travel, and supplies) for accomplishing project tasks?
- Will support services be provided for participants to ensure that they make progress and complete project requirements, such as special academic support, mentoring, enhanced advisement, test preparation, coordinated release time?

**Q: How does an applicant address the “Notice to all Applicants” concerning the Department of Education’s General Education Provision Act (GEPA)?**

A: First, read the “Notice to All Applicants” included in the Application Package. Be sure to note the three examples included in the second column. Second, it is recommended that the applicant respond on a separate sheet of paper entitled “GEPA”, or if submitting electronically attach your file to the “ED GEPA-427” form. The required response should include 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.

**Q: What information may be helpful in planning a budget?**

A: Project budgets should reflect proposed project activities. In addition to student support costs, budget items may include costs for the evaluation, personnel, supplies or equipment, and other costs to support developmental activities, such as curriculum development for the professional development program.

**Q: What information may be helpful in structuring the evaluation plan?**

A: A strong evaluation plan should be included in the application narrative and should be used, as appropriate, to shape the development of the project from the

beginning of the grant period. The plan should include benchmarks to monitor progress in meeting objectives, and outcome measures to assess the impact on teaching and learning or other important outcomes for the project participants. In addition, the plan should specify the individual and/or organization that have agreed to served as the evaluator for the project and describe the qualifications of the evaluator. The plan should describe the evaluation design, indicating:

- What types of data will be collected;
- When data will be collected;
- What data collection methods will be used;
- What instruments will be developed and when;
- How the data will be analyzed;
- When reports of results and outcomes will be available; and
- How the applicant will use the information collected through the evaluation to monitor progress of the funded project and to provide accountability information.

In order for the applicant to develop evaluation techniques that provide valid and reliable data on performance measures, it is important to review the ED 524 B Grant Performance Report Form. The form may be downloaded at:

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

**Q: How does an applicant comply with Executive Order 12372, the Intergovernmental Review of Federal Programs?**

A: This program is subject to the requirement 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 State Single Point of Contact to find out about, and to comply with, the State's process under executive Order 12372. You may locate the name and contact information of State Single Point of Contact on: <http://www.whitehouse.gov/omb/grants/spoc.html>

If your State requests this application for review, a copy of the cover letter sent to the State contact must be submitted with the application package. If the program

is not covered by Executive Order 12372, or the State has not selected the program for review, you must state the reasons in a letter that must be submitted with the application package.

**Q: What are the reporting requirements for NPD grantees?**

A: Grantees under the NPD Program must submit a final performance report at the end of the project period, 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 FR 75.118.

**Q: What is the estimated average award size?**

A: The estimated average size of award of \$ 257,000 is for each year of the grant period.

**Q: If awarded a grant, may a grantee count on receiving funding for the full period of five years?**

A: No, the actual level of program funding, if any, depends on final Congressional action each fiscal year and whether substantial progress has been made toward the program performance measures.

Reports submitted by grantees are used by the Department to report program progress to the Office of Management and Budget and to Congress. Their review of the grant performance data may vitally affect future funding for this program.

**Q: How are indirect costs calculated for the NPD Program?**

A: If you are requesting reimbursement for indirect costs, 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) indicate the beginning and ending dates covered by the Indirect Cost Rate Agreement. In addition, indicate whether ED or another Federal agency issued the approved agreement. An applicant must specify the name of



the Federal agency that issued the approved agreement. Indirect costs are limited to 8% on grants under the NPD Program.

**Q: How much time does it take to upload an application?**

A: 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.

**Q: What should an applicant do in order to submit an electronic application on time?**

You should review and follow the Education Submission Procedures for submitting an application through Grants.gov that are included in the application package for the NPD Program to ensure that you submit your application in a timely manner to the Grants.gov system.

**Q: Does an applicant need to register to apply electronically for the NPD Program?**

A: Yes. To submit your application via Grants.gov, you must complete all steps in the Grants.gov registration process. 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 <http://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.

**Q: If my organization registered with the Central Contract Registry last year, do we need to repeat the process?**

A: Yes. You will need to update your CCR registration on an annual basis. This may take three or more business days to complete.

**Q: How long does it take register in Grants.gov?**

A: 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.

**Q: Will an applicant receive additional points for submitting the NPD program application electronically?**

A: 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.

# General Application Instructions and Information

## (1) Summary instructions for narrative attachments to forms in Grants.gov

For this application the following Grant.gov forms will be used;

ED Abstract Form

Narrative Form

Budget narrative Form

The applicant can use any word processing package in preparing the application.

Applicant applying in hard copy will not use the forms but will structure their applications in the same format.

## (2) Supplemental instructions for the SF424 Cover Sheet and the ED Supplement to the SF424

All applicants must obtain and use a DUNS number, and all applicants applying through Grants.gov must register with Grants.gov. The DUNS 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.

### DUNS NUMBER INSTRUCTIONS

DUNS #: Please provide the applicant's DUNS Number. **You can obtain the DUNS # at no charge by calling 1-800-333-0505** or by completing the DUNS Number Request Form. The form can be obtained via the Internet at the following URL:

[http://www.dnb.com/US/duns\\_update/index.html](http://www.dnb.com/US/duns_update/index.html)

The DUNS 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 DUNS 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 DUNS Number has been entered correctly.

Duns & Bradstreet, a global information provider, has assigned DUNS Number to over 43 million companies worldwide. **Live help Monday-Friday 8am-6pm (EST) Dial 1-888-814-1435.**

*For applicants applying through Grants.gov:* Please complete the SF424 first. Grants.gov will automatically insert the correct CFDA and program name automatically wherever needed thereafter.

*For applicants applying by hardcopy application:* Applicants need to insert the correct CFDA number and program name wherever requested.

**Electronic submission requires that narratives and other files be attached to the following attachment forms as per the instruction in this document such as:**

- One Page Abstract must be attached to the "Department of Education Abstract Form"**
- Program Narratives must be attached to the "Program Narrative Attachment Form"**
- Budget Narratives must be attached to the "Budget Narrative Attachment Form"**

**NOTE: Please do not attach any narratives, supporting files, or application**

***components to the Standard Form (SF 424). Although this form accepts attachments, the Department of Education will only review materials/files attached to the attachment forms listed above.***

### **(3) Application Format Instructions**

#### **(a) Instructions for application abstract**

The abstract is a one page, single-spaced, description of the project for which you are requesting Federal funds. The following content is recommended for the abstract:

Applicant: Name of the applicant, (i.e. University of Kansas).

Title of the Program: (i.e. "Opportunity for All Teachers").

Participants: Number and type of participants projected to be served by the project (i.e. higher education faculty, in-service teachers):

- Served each year
- Served by the end of the project

Partners: Include applicable Local Educational Agencies (LEAs), State Educational Agency (SEA), and community-based organizations (CBO).

Project Description: Summarize project objectives, activities and expected outcomes.

Priorities: Indicate which, if any, of the invitational priorities your project will address.

Contact Information: Project Director's name, telephone and e-mail information.

If you are applying electronically via Grants.gov, attach the Project Abstract to the ED Abstract Form.

For applicants applying by hardcopy application: Please submit the same information and place it before the narrative.

#### **(b) Instructions for application narrative**

The program narrative is limited to 30 double-spaced pages. Refer to page limit requirements described in the Application Notice for specific format requirements.

Applications submitted under this program should be developed in accordance with the application requirements (i.e., General Requirements published in the Application Notice) Your program narrative should be organized around, and should address, all of the selection criteria, and priorities.

In describing the quality of the personnel, be sure to include position descriptions and not resumes.

Do not attach appendices.

### **Performance Measures**

In response to the Government Performance and Results Act (GPRA), the Department developed three quantitative measures for evaluating the overall effectiveness of the NPD Program. We will expect each IHE, in consortium with its partnering LEA or SEA, that carries out a project funded under this competition to document the extent to which the project is achieving against these performance measures. These measures are:

- (1) The percentage of pre-service program graduates who are placed in instructional settings serving limited English proficient students within one year of graduation.
- (2) The percentage of pre-service program graduates who meet NCLB Highly Qualified Teacher requirements.
- (3) The percentage of in-service teacher completers who are providing instructional services to limited English proficient students.

Grantees will be expected to report on progress in meeting these performance measures for the NPD Program in their Annual Performance Report and in their Final Performance Report.

In addition to the GPRA measures, the Department has developed two additional measures, program measures, used to help monitor the effectiveness of the NPD Program. We will expect each IHE, in consortium with its partnering LEA or SEA, that carries out a project funded under this competition to document the extent to which the project is helping the Department meet these program measures. These measures are:

- (1) The effectiveness of graduates/completers in the instructional setting.
- (2) The degree to which IHE pre-service and in-service training programs are aligned with K-12 State standards and assessments, including English language proficiency standards and content standards.

Grantees will be expected to report on progress in meeting these performance measures for the NPD Program in their Annual Performance Report and in their Final Performance Report.

The performance report will be submitted on the ED 524 B Form. You can access the form at

If you are applying electronically via Grants.gov, attach the Application Narrative to the Project Narrative Attachment Form

For applicants applying by hardcopy application will include the same information in the same format.

**(c) Instructions for budget narrative**

This part of your application contains information about the Federal funding you are requesting. A detailed budget and budget narrative are required for each year of funding requested. Please use the same categories in the same order as on the Ed 524.

Indirect Cost: Applicants are encouraged to use their accountant (or CPA) to calculate an indirect cost rate using information in the IRS Form 990, audited financial statements, actual cost data or a cost policy statement that such applicants are urged to prepare (but NOT submit to ED) during the application process. However, please remember that this program has a restricted indirect cost rate and your indirect cost rate must not exceed 8%.

If you are applying electronically via Grants.gov, attach the Budget Narrative to the Budget Narrative Attachment Form.

*For applicants applying by hardcopy application:* Applicants need to supply the same information in the same format. The budget narrative should follow the application narrative.

**(4) Instructions for grant application standard forms**

**INSTRUCTIONS FOR THE SF-424**

*Public reporting burden for this collection of information is estimated to average 60 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 (0348-0043), Washington, DC 20503.*

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

This is a standard form (including the continuation sheet) required for use as a cover sheet for submission of pre-applications and applications and related information under discretionary programs. Some of the items are required and some are optional at the discretion of the applicant or the Federal agency (agency). Required items are identified with an asterisk on the form and are specified in the instructions below. In addition to the instructions provided below, applicants must consult agency instructions to determine specific requirements.

Item	Entry:	Item	Entry:
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<p>1. <b>Type of Submission:</b> (Required): Select one type of submission in accordance with agency instructions.</p> <ul style="list-style-type: none"> <li>• Preapplication</li> <li>• Application</li> <li>• Changed/Corrected Application – If requested by the agency, check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this to submit changes after the closing date.</li> </ul>	<p>10. <b>Name Of Federal Agency:</b> (Required) Enter the name of the Federal agency from which assistance is being requested with this application.</p>
<p>2. <b>Type of Application:</b> (Required) <b>Select one type of application in accordance with agency instructions.</b></p> <ul style="list-style-type: none"> <li>• <b>New – An application that is being submitted to an agency for the first time.</b></li> <li>• <b>Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals.</b></li> <li>• <b>Revision - Any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided.</b>  A. Increase Award      B. Decrease Award  <b>C. Increase Duration      D. Decrease Duration</b>  <b>E. Other (specify)</b></li> </ul>	<p>11. <b>Catalog Of Federal Domestic Assistance Number/Title:</b> Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.</p>
<p>3. <b>Date Received:</b> Leave this field blank. This date will be assigned by the Federal agency.</p>	<p>12. <b>Funding Opportunity Number/Title:</b> (Required) Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement.</p>
<p>4. <b>Applicant Identifier:</b> Enter the entity identifier assigned by the Federal agency, if any, or applicant's control number, if applicable.</p>	<p>13. <b>Competition Identification Number/Title:</b> Enter the Competition Identification Number and title of the competition under which assistance is requested, if applicable.</p>
<p>5a. <b>Federal Entity Identifier:</b> Enter the number assigned to your organization by the Federal Agency, if any.</p>	<p>14. <b>Areas Affected By Project:</b> List the areas or entities using the categories (e.g., cities, counties, states, etc.) specified in agency instructions. Use the continuation sheet to enter additional areas, if needed.</p>
<p>5b. <b>Federal Award Identifier:</b> For new applications leave blank. For a continuation or revision to an existing award, enter the previously assigned Federal award identifier number. If a changed/corrected application, enter the Federal Identifier in accordance with agency instructions.</p>	<p>15. <b>Descriptive Title of Applicant's Project:</b> (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For preapplications, attach a summary description of the project.</p>
<p>6. <b>Date Received by State:</b> Leave this field blank. This date will be assigned by the State, if applicable.</p>	<p>16. <b>Congressional Districts Of:</b> (Required) 16a. Enter the applicant's Congressional District, and 16b. Enter all District(s) affected by the program or project. Enter in the format: 2 characters State Abbreviation – 2-3 characters District Number, e.g., CA-12 for California 12<sup>th</sup> district, NC-103 for North Carolina's 103<sup>rd</sup> district.</p> <ul style="list-style-type: none"> <li>• <b>If all congressional districts in a state are affected, enter "all" for the district number, e.g., MD-all for all congressional districts in Maryland.</b></li> <li>• If nationwide, i.e. all districts within all states are affected, enter US-all.</li> <li>• If the program/project is outside the US, enter 00-000.</li> </ul>
<p>7. <b>State Application Identifier:</b> Leave this field blank. This identifier will be assigned by the State, if applicable.</p>	<p>17. <b>Proposed Project Start and End Dates:</b> (Required) Enter the proposed start date and end date of the project.</p>
<p>8. <b>Applicant Information:</b> Enter the following in accordance with agency instructions:</p>	<p>18. <b>Estimated Funding:</b> (Required) Enter the 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.</p>
<p><b>a. Legal Name:</b> (Required): Enter the legal name of applicant that will undertake the assistance activity. This is the name that the organization has registered with the Central Contractor Registry. Information on registering with CCR may be obtained by visiting the Grants.gov website.</p>	<p>19. <b>Is Application Subject to Review by State Under Executive Order 12372 Process?</b> Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State</p>
<p><b>b. Employer/Taxpayer Number (EIN/TIN):</b> (Required): Enter the Employer or Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.</p>	<p>20. <b>Is the Applicant Delinquent on any Federal Debt?</b> (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.  If yes, include an explanation on the continuation sheet.</p>
<p><b>c. Organizational DUNS:</b> (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting the Grants.gov website.</p>	<p>21. <b>Authorized Representative:</b> (Required) To be signed and dated by the authorized representative of the applicant organization.</p>
<p><b>d. Address:</b> Enter the complete address as follows: Street address (Line 1 required), City (Required), County, State (Required, if country is US), Province, Country (Required), Zip/Postal Code (Required, if country is US).</p>	
<p><b>e. Organizational Unit:</b> Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the assistance activity, if applicable.</p>	
<p><b>f. Name and contact information of person to be contacted on matters involving this application:</b> Enter the name (First and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.</p>	
<p>9. <b>Type of Applicant:</b> (Required) <b>Select up to three applicant type(s) in accordance with agency instructions.</b></p>	

A. State Government B. County Government C. City or Township Government D. Special District Government E. Regional Organization F. U.S. Territory or Possession G. Independent School District H. Public/State Controlled Institution of Higher Education	M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education) N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education) O. Private Institution of Higher Education	Enter the name (First and last name required) title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant. A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)
I. Indian/Native American Tribal Government (Federally Recognized) J. Indian/Native American Tribal Government (Other than Federally Recognized) K. Indian/Native American Tribally Designated Organization L. Public/Indian Housing Authority	P. Individual Q. For-Profit Organization (Other than Small Business) R. Small Business S. Hispanic-serving Institution T. Historically Black Colleges and Universities (HBCUs) U. Tribally Controlled Colleges and Universities (TCCUs) V. Alaska Native and Native Hawaiian Serving Institutions W. Non-domestic (non-US) Entity X. Other (specify)	

**INSTRUCTIONS FOR  
DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 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 12<sup>TH</sup> STREET, S.W. ROOM 7076, WASHINGTON, D.C. 20202-4260.

## DEFINITIONS FOR DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424 (ATTACHMENT TO INSTRUCTIONS FOR SUPPLEMENTAL INFORMATION FOR SF 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 ED 524

## General Instructions

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

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

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

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

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

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

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

### **Indirect Cost Information:**

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

## Section B - Budget Summary Non-Federal Funds

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

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

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

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

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

## Section C - Budget Narrative [Attach separate sheet(s)] Pay attention to applicable program specific instructions, if attached.

1. Provide an itemized budget breakdown, and justification by project year, for each budget category listed in Sections A and B. For grant projects that will be divided into two or more

separately budgeted major activities or sub-projects, show for each budget category of a project year the breakdown of the specific expenses attributable to each sub-project or activity.

2. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
3. If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. Specify the estimated amount of the base to which the indirect cost rate is applied and the total indirect expense. Depending on the grant program to which you are applying and/or your approved Indirect Cost Rate Agreement, some direct cost budget categories in your grant application budget may not be included in the base and multiplied by your indirect cost rate. For example, you must multiply the indirect cost rates of "Training grants" (34 CFR 75.562) and grants under programs with "Supplement not Supplant" requirements ("Restricted Rate" programs) by a "modified total direct cost" (MTDC) base (34 CFR 75.563 or 76.563). Please indicate which costs are included and which costs are excluded from the base to which the indirect cost rate is applied.

When calculating indirect costs (line 10) for "Training grants" or grants under "Restricted Rate" programs, you must refer to the information and examples on ED's website at: <http://www.ed.gov/fund/grant/apply/appforms/appforms.html>. You may also contact (202) 377-3838 for additional information regarding calculating indirect cost rates or general indirect cost rate information.

4. Provide other explanations or comments you deem necessary.

#### Paperwork Burden Statement

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

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

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

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

**(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).**

**11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.**

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

MB 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.

## APPLICATION CHECKLIST

Does your application include each of the following?

- Application for Federal Assistance Cover Page SF 424 and ED Supplement Form for electronic applications.
- Program Abstract.
- Itemized Budget and narrative for each year of requested funding. (The budget narrative does not require double spacing or page numbers).
- Assurances Non-Construction Programs (SF-424B).
- Certification Regarding Lobbying (ED-80-0013) or the Grants.gov Lobbying Form for electronic applications.
- Disclosure of Lobbying Activities (SF-LLL), if applicable.
- Applicants narrative response to the "Notice to All Applicants" concerning the Department of Education's General Education Provisions Act (GEPA).
- Copy of letter to State Single Point of Contact (SPOC), if applicable.
- Table of Contents.
- Application Narrative.

**Note:** Have you addressed all application requirements, including selection criteria and priorities?

## 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 1890-0009. Expiration date: 6/30/2008. The time required to complete this information collection is estimated to average 25 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: 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: National Professional Development Program, U.S. Department of Education, 400 Maryland Avenue, S.W., PCP Room 10072, Washington, D.C. 20202-6510.

