

# Partnerships in Character Education Program

FY 2009 Information and Application Procedures  
**Application Deadline: February 24, 2009**  
CFDA #84.215S

---



Frequently Asked Questions: Pages 27-34

**Office of Safe and Drug-Free Schools**

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

OMB #1894-0006 Expiration Date: 9/30/2011



## **UNITED STATES DEPARTMENT OF EDUCATION**

Office of Safe and Drug-Free Schools

Assistant Deputy Secretary

Dear Colleague:

Thank you for your interest in the Partnerships in Character Education program (CFDA 84.215S) funded by the U.S. Department of Education's Office of Safe and Drug-Free Schools.

Character education is the shared responsibility of parents, teachers, and members of the community, who come together to support positive character development. In school, character education is a learning process that enables students and adults to understand, care about, and act on core ethical values such as respect, justice, civic virtue and citizenship, and responsibility for self and others.

This application package contains the instructions and forms needed to apply for the fiscal year 2009 Partnerships in Character Education program. Funds may be used for the development, implementation, and evaluation of character education programs developed by local and state education agencies. Please be sure that your application complies with all of the requirements for this competition.

We look forward to receiving your application.

Sincerely,

Deborah A. Price

## Table of Contents

<b>I. Application Submission Procedures</b>	<b>3</b>
Application Transmittal Instructions	
Grants.gov Submission Procedures and Tips for Applicants	
<b>II. Program Background Information</b>	<b>8</b>
General Information	
The Government Performance and Results Act (GPRA)	
Tips for Preparing and Submitting an Application	
Partnerships in Character Education Program	
Absolute and Competitive Preference Priorities	
Selection Criteria	
Frequently Asked Questions	
<b>III. Legal and Regulatory Documents</b>	<b>35</b>
Notice Inviting Applications	
Authorizing Legislation	
<b>IV. General Application Instructions</b>	<b>57</b>
Preparing the Application	
Organizing the Application	
Intergovernmental Review of Federal Programs	
General Education Provisions Act (GEPA) Section 427	
Paperwork Reduction Act	
Instructions for Standard Forms	
Checklist	

# I. Application Submission Procedures

---

## Application Transmittal Instructions

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

**Attention Electronic Applicants:** Please note that you must follow the application procedures as described in the Notice Inviting Applications for this grant competition, published in the *Federal Register* on December 22, 2008. Some programs may require electronic submission of applications, and those programs will have specific requirements and waiver instructions in the *Federal Register* notice.

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

Please note, as specified in the competition notice for the Partnerships in Character Education Program (PCEP), published in the Federal Register on December 22, 2008, the deadline for this competition is: February 24, 2009.

## 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 4:30:00 p.m. (Washington, DC time) on the application deadline date of February 24, 2009. If you submit your application through the Internet via the Grants.gov Web site, you will receive an automatic acknowledgment when we receive your application.

For more information on using Grants.gov, please refer to the Notice Inviting Applications that was published in the *Federal Register* on December 22, 2008, "Grants.gov Submission Procedures and Tips for Applicants" section in this application package, and the Grants.gov Web site (<http://www.grants.gov>). You may access the electronic application for the Partnerships in Character Education Program at <http://www.ed.gov/osdfs> or <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. Please mail copies to:

U.S. Department of Education  
Application Control Center  
Attention: CFDA #84.215S  
400 Maryland Avenue, SW.  
LBJ Basement Level 1  
Washington, DC 20202-4260

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

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

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

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

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

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

**Special Note:** Due to possible 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.

You must mail the original and two copies of the application on or before the deadline date. To help expedite our review of your application, we would appreciate your voluntarily including an additional copy of your application. Applications that are delivered by commercial carrier, e.g. Federal Express or United Parcel Service, should be mailed to:

U.S. Department of Education  
Application Control Center  
Attention: CFDA #84.215S  
400 Maryland Avenue, SW.  
LBJ Basement Level 1  
Washington, DC 20202-4260

### **Applications Delivered by Hand**

You or your courier must hand deliver the original and two copies of your application by 4:30:00 p.m. (Washington, DC time) on or before the deadline date. To help expedite our review of your application, we would appreciate your voluntarily including an additional copy of your application. Please hand-deliver copies to:

U.S. Department of Education  
Application Control Center  
Attention: CFDA #84.215S  
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 4:30:00 p.m. (Washington, DC time), except Saturdays, Sundays, and federal holidays.

## **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.

#### **ATTENTION – Microsoft Vista and Word 2007 Users**

Please note that Grants.gov does not currently support the new Microsoft Vista Operating system. The PureEdge software used by Grants.gov for forms is not compatible with Vista. Grants.gov will be reviewing this new product to determine if it can be supported in the future.

In addition, the new version of Microsoft Word saves documents with the extension .DOCX. The Grants.gov system does not process Microsoft Word documents with the extension.DOCX. When submitting Microsoft Word attachments to Grants.gov, please use the version of Microsoft Word that ends in .DOC. If you have any questions regarding this matter please email the Grants.gov Contact Center at [support@grants.gov](mailto:support@grants.gov) or call 1-800-518-4726.

- 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 4:30:00 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 4:30:00 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 4:30:00 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 4:30:00 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.)

## Attaching Files – Additional Tips

As described above, applicants should not upload a Word 2007 (.docx) file when attaching narrative files to their application. In addition, please ensure that you only attach the Education approved file types detailed in the Federal Register application notice (.doc, .pdf or .rtf). Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission. Finally, when attaching files, applicants should limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We recommend that you keep your file names to less than 50 characters.



## II. Program Background Information

---

### General Information

#### Overview

We will award grants under the PCEP competition to design and implement character education programs that are able to be: (1) integrated into classroom instruction and are consistent with State academic content standards; and (2) carried out in conjunction with other education reform efforts, taking into consideration the view of parents, students, students with disabilities (including those with mental or physical disabilities) and other members of the community, including members of private and nonprofit organizations.

#### Eligibility

##### Eligible Applicants:

- (1) A State educational agency (SEA) in partnership with —
  - (a) One or more local educational agencies; or
  - (b) One or more local educational agencies; and/or nonprofit organizations or entities, including an institution of higher education (IHE); or
- (2) A local educational agency (LEA) or consortium of local educational agencies; or a local educational agency in partnership with one or more nonprofit organizations or entities, including an institution of higher education.

Charter schools that are considered local educational agencies under State law are also eligible to apply.

#### PARTICIPATION BY PRIVATE SCHOOL CHILDREN AND TEACHERS.

Each eligible entity that receives a grant under this section shall provide, to the extent feasible and appropriate, for the participation of programs and activities under this section of students and teachers in private elementary and secondary schools.

#### Authority

This application package is based on 34 CFR Parts 74, 75, 77, 79, 80, 81, 82, 84, 85, 86, 97, 98, 99 and 299 of the Education Department General Administrative Regulations (EDGAR). This grant competition is authorized under Title V, Part D, Subpart 3, Section 5431 of the Elementary and Secondary Education Act of 1965 (ESEA), as amended by the No Child Left Behind Act of 2001 (Public Law 107-110).

## **Note to Applicants**

This is a complete application package for the PCEP. Together with the statute authorizing the program and the Education Department General Administrative Regulations (EDGAR) governing the program, this package contains all of the information, application forms, and instructions needed to apply for this grant.

## **Official Documents Notice**

The official document governing this grant competition is the Notice Inviting Applications published in the *Federal Register* (See Legal and Regulatory Documents Section in this application package). The notice is available on the Internet at the following addresses:

<http://www.ed.gov/legislation/FedRegister/index.html>  
[www.gpoaccess.gov/nara](http://www.gpoaccess.gov/nara) and <http://www.cetac.org>.

Applicants should clearly indicate in Block #11 of the Standard Form 424, the CFDA number and alpha suffix of this competition **84.215S**.

## **Notice of Nondiscrimination**

All applicants under this grant competition should familiarize themselves with all federal statutes related to nondiscrimination, as outlined in Item 6 of Standard Form 424B, to ensure that their proposed activities are compliant.

## **Resources**

Any questions related to this grant competition should be directed to Sharon J. Burton of the Office of Safe and Drug-Free Schools (OSDFS) at (202) 245-7867 or by email at [sharon.burton@ed.gov](mailto:sharon.burton@ed.gov). Additional information about the Department of Education's PCEP grant competition may be found at <http://www.ed.gov/programs/charactered/index.html>.

The Office of Safe and Drug-Free Schools will offer 1 ½ hour technical assistance call during which staff will take questions from prospective applicants on topics including eligibility requirements, application requirements, and the peer review process. Specific information on when this call will be held will be posted on our website at: <http://www.ed.gov/programs/charactered/index.html>.

For more information and resources about the PCEP grant competition, you may contact the Department's Character and Civic Education Technical Assistance Resource Center at 866-40-CETAC (23822) or visit the Web site at <http://www.cetac.org>.

## **Project Period**

Projects will be funded for up to 48 months (4 budget periods of 12 months each), of which no more than 12 months may be used for planning and program design. Grants awarded under this program will be funded for one year at a time. Decisions regarding additional years of funding for all grant awards will be made

on the basis of such factors as: a) whether or not grantees have made substantial progress towards achieving the goals and objectives of their project; and b) availability of funds. We suggest developing a timeline that starts on July 1, 2009 and runs through June 30, 2013.

Note: Applicants requesting four-year projects must submit ED Form 524 and a detailed budget narrative for each of the four years. Failure to submit ED Form 524 and a detailed budget narrative for each of the proposed project years will result in no funds being awarded for those years.

Please note that ED is not bound by any estimates contained in this application package.

### **Estimated Range of Awards**

It is estimated that a total of 2 new awards will be made under this competition. The estimated range of awards to SEAs is \$500,000 to \$750,000 for each 12-month budget period. For LEAs, the estimated range of awards is \$250,000 to \$500,000 for each 12 month budget period. Pursuant to Section 5431(a)(4) of the ESEA, SEAs must propose a total budget that is \$500,000 or more for a single budget period. This restriction does not apply to applications from LEAs. These figures are only estimates and do not bind the Department of Education to a specific number of grants. We expect that applicants who request funding at the higher end of these ranges will address the competitive preference priority to implement experimental or quasi-experimental evaluation designs.

In making awards under this program, the Secretary will consider the rank order of applicants and, to the extent practicable, ensure that awards under this program are equitably distributed among the geographic regions of the United States and among urban, suburban, and rural areas. Contingent upon the availability of funds, the Secretary may make additional awards in fiscal year 2010 from the rank-ordered list of nonfunded applications from this competition.

### **Priorities**

The FY 2009 PCEP competition includes **one absolute priority, one competitive preference priority and one invitational priority**. The responses to each priority should be identified within the Abstract of the Project Narrative. If you are using Grants.gov, responses to the selection criteria are uploaded in the Project Narrative Attachment Form. You may address the selection criteria in the abstract, but the actual responses to selection criteria are in the Project Narrative Attachment Form Section or, for hard copy applications, the Project Narrative Section.

### **Limitation on Administrative Costs**

An SEA may use not more than three percent (3%) of the total funds received in any fiscal year for administrative purposes. This requirement does not apply to LEAs.

## Indirect Costs

An applicant funded under this competition that wishes to recover indirect costs incurred for this project must use its negotiated indirect cost rate.

## Application Due Date

All applications **submitted electronically through theGrants.gov system must be submitted by February 24, 2009** at 4:30:00 p.m. Washington, DC time to be eligible for review. The U.S. Department of Education's Application Control Center must receive applications delivered by hand no later than 4:30 PM Washington, DC time on February 24, 2009. Applications sent by U.S. Mail must be postmarked on or before February 24, 2009 to be eligible for review. Applications may not be emailed or faxed.

Under very extraordinary circumstances, the Department may change the closing date for a competition. When this occurs, we announce such a change in a notice published in the *Federal Register*. Waivers for individual applications failing to meet the deadline will not be granted, except in the circumstances described in the section under electronic submission of applications.

## Required Meetings

### Meeting #1: Project Director Orientation Meeting

This one-day Project Director Orientation Meeting is intended to provide the grant Project Director with key information needed to manage and implement a discretionary grant awarded by the U. S. Department of Education. This meeting will be held within the first six months of the grant period.

Required Participant: Grant Project Director

Expenses for this meeting include:

- Round-trip airfare for one participant to Washington, D.C.;
- Lodging expenses for one participant for two nights in Washington, D.C.;
- Per diem expenses for one participant for three days in Washington, D.C.;
- and
- Funds for local ground transportation.

### Meeting #2: PCEP Annual Grantee Meeting

This two-day meeting will provide participants with information related to implementation and evaluation of character education programs at the state and local levels.

Required Participants: Project Director and Lead Evaluator

Expenses for this meeting include:

- Round-trip airfare for two participants to Washington, D.C.;
- Lodging expenses for two participants for three nights in Washington, D.C.;
- Per diem expenses for two participants for four days in Washington, D.C.; and
- Funds for local ground transportation.

NOTE: All meetings will be held in the same hotel where participants will be staying, or within easy walking/shuttle distance. Therefore, costs for rental cars are not necessary. This meeting is held on an annual basis.

**Attendance at both meetings by the required project staff is a PCEP grant requirement. All PCEP grantees regardless of size or location are required to meet this requirement. Grantees are also expected to attend the meetings in their entirety. Grantee participants that arrive late at the meeting, leave the meeting early, or fail to send the required project participants, will not be in compliance with this requirement. Cost for these meetings are to be included in the application budget on an annual basis.**

### **Meeting #3: Office of Safe and Drug-Free Schools National Conference**

Required Participants: Project Director

- Round-trip airfare for one participant to Washington, D.C.;
- Lodging expenses for one participant for two nights and three days in Washington, D.C.;
- Per diem expenses for one participant for three days in Washington, D.C.; and
- Funds for local ground transportation.

### **Project Director**

Applicants must provide the name of the person who will serve as project director, and indicate the percentage of the person's time that will be devoted to the grant. For example, if the Project Director works 40 hours per week and spends 20 hours per week on the project for PCEP grant activities, then the time commitment for the Project Director would be 50 percent. We suggest that applicants include this information in the budget narrative, or add the information to the Project Director line on the Department of Education Supplement to the SF424.

### **Applicant Contact Information**

As part of our review of your application, we may need to contact you with questions for clarification. Please be sure your application contains valid telephone numbers and e-mail addresses for the project director, authorized

representative, and any other party designated to answer questions in the event the project director and authorized representative are unavailable.

## **Page Limit**

Applicants are strongly encouraged to limit the application narrative to the equivalent of no more than 25 pages. The 25-page limit only applies to the response to the selection criteria.

## **Review of Applications and Notification of Awards**

A panel of non-federal evaluators reviews each application. Each reviewer will prepare a written evaluation of the application and assign points for each selection criterion. The review of applications and notifications of awards for this grant competition requires approximately six to eight weeks. We expect to notify successful applicants by late June 2009.

The Department's Office of Legislation and Congressional Affairs will inform the Congress regarding applicants selected to receive new PCEP grants. Successful applicants will receive award notices by mail shortly after the Congress is notified. No funding information will be released before the Congress is notified.

Unsuccessful applicants will be notified in writing within 60 days of the award start date, following the notice to successful applicants. All applicants (successful and unsuccessful) will receive copies of reviewers' scores and comments.

## **Expectations of Grantees**

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

## **Performance Reports**

All PCEP grantees are encouraged to submit annual and final project performance reports using the ED 524B form and the E-grants electronic reporting system. The e-Grants reporting system may be accessed at <http://e-grants.ed.gov>. The ED 524B form may be accessed at <http://www.ed.gov/fund/grant/apply/appforms/appforms.html>.

The ED 524B form contains four sections. The Executive Summary provides an overview of your grant. Section A is for project objectives and performance measures, Section B is for budget information, and Section C is for additional information and/or changes to the grant.

If grantees elect not to submit their report electronically, they may submit a hard copy of these reports to their assigned program officer by the required date. These performance reports will assist PCEP staff in determining whether or not the PCEP project is making substantial progress toward meeting the approved project objectives. Project directors will be responsible for submitting annual and final project performance reports.

## **Evaluation Reports**

In addition to the annual performance report, each eligible entity receiving a grant under this program is required to submit a comprehensive evaluation of the grant project, including its impact on students, students with disabilities (including those with mental or physical disabilities), teachers, administrators, parents and others to the Department of Education:

- By the end of **the second year** of the project; and
- **Not later than 1 year after the completion** of the grant period.

Factors that may be considered in evaluating the success of projects funded under this program include the following:

- A. Discipline issues
- B. Student academic achievement
- C. Participation in extracurricular activities
- D. Parental and community involvement
- E. Faculty and administration involvement
- F. Student and staff morale; and  
Overall improvements in school climate for all students, including students with disabilities (including those with mental or physical disabilities).

## **Human Subjects Research Activities**

Please see Item 3 of the Instructions for Supplemental Information for Standard Form 424 in Section IV of this application package. Projects funded under this grant competition may be subject to protection of human subjects research requirements. If you have any questions about your responsibilities under these requirements, please contact ED's protection of human subjects coordinator at (202) 260-3353.

## **Contracting for Services**

Generally, all procurement transactions by State or local educational agencies made with Partnerships in Character Education (PCEP) grant funds must be conducted in a manner providing full and open competition, consistent with the standards in Section 80.36 of the Education Department General Administrative Regulations (EDGAR). This section requires that grantees use their own procurement procedures (which reflect State and local laws and regulations) to

select contractors, provided that those procedures meet certain standards described in EDGAR.

Because grantees must use appropriate procurement procedures to select contractors, applicants should not include information in their grant applications about specific contractors that may be used to provide services or goods for the proposed project if a grant is awarded. However, with respect to the competitive priority for this grant competition, please make special note of the following instructions that are contained in the Federal Register Notice Requesting Applications.

Note: Due to the very short time frame that applicants have to select a proposed evaluator for the required competitive priority, we remind applicants that they can, under 34 CFR 80.36, use informal procedures to select a proposed contractor for this purpose. For example, §80.36 authorizes simple informal procedures to select contractors for contracts under the simplified acquisition threshold of \$100,000. 34 CFR 80.36(d)(1). The regulations only require that you request offers from an adequate number of sources.

In addition, even if you expect that the evaluation of your project would cost more than \$100,000, the regulations recognize special cases where a contractor must be selected within a very limited time period. Again, you need to request proposals from an adequate number of qualified sources and select the contractor, whose proposal is most advantageous to the program, considering price and other selection factors. In these situations, if informal solicitation does not result in an adequate number of proposals, you may select a single bidder so long as you document the facts that formed the basis for your decision. 34 CFR 80.36(d)(1), (3) & (4).

## **Definitions**

The following definitions apply to this competition:

Local Educational Agency (LEA) is defined under the No Child Left Behind Act, Sec. 9101 as:

- A. In General. A public board of education or other public authority legally constituted within a State for either administrative control of or direction of, or to perform service functions for public elementary schools or secondary schools in a city, county, township, school district, or other political subdivision of a State, or such combination of school districts or counties that is recognized in a State as an administrative agency for its public elementary schools or secondary schools; or
- B. Administrative Control and Direction. The term includes any other public institution or agency having administrative control and direction of a public elementary school or secondary school; or
- C. BIA Schools. The term includes an elementary school or secondary school funded by the Bureau of Indian Affairs but only to the extent that including the school makes the school eligible for programs for which specific eligibility is not provided to the school in another provision of law



and the school does not have a student population that is smaller than the student population of the local educational agency receiving assistance under this Act with the smallest student population, except that the school shall not be subject to the jurisdiction of any State educational agency other than the Bureau of Indian Affairs; or

- D. Educational Service Agencies. The term includes educational service agencies and consortia of those agencies; or
- E. State Educational Agency. The term includes the State educational agency in a State in which the State educational agency is the sole educational agency for all public schools.

State Educational Agency (SEA) is defined as:

The term "State education agency" means the agency primarily responsible for the State supervision of public elementary schools and secondary schools. In absence of this officer or agency, it is an officer or agency designated by the Governor or State law.

## **The Government Performance and Results Act (GPRA)**

The Government Performance and Results Act of 1993 (GPRA) is designed to address problems identified by the Congress more than a decade ago, including lack of performance data that can be used by federal program managers to improve program efficiency and effectiveness, and by Congress to ensure that spending decisions and oversight are informed by information about program performance. GPRA seeks to: improve public confidence in the capability of the federal government by systematically holding federal agencies accountable for achieving results; promote an increased focus on results and service quality; and, help federal managers improve program quality.

As required by GPRA, the Department of Education (ED) has developed a strategic plan that reflects organizational priorities and integrates those with our mission and program authorities. We also have developed GPRA measures for the individual programs we administer, including the PCEP. The GPRA measures for this program are:

1. The percentage of Character Education projects that use an experimental or quasi- experimental design for their evaluation.
2. The percentage of Character Education projects that use an experimental or quasi-experimental design for their evaluation that are conducted successfully, and that yield scientifically valid results.

The GPRA measures identified for the PCEP grants constitute the way in which we will measure the success of this initiative. Consequently, applicants for a grant under this program should give careful consideration to these measures in developing their projects, and particularly to how they will collect and report data for these measures.

Grantees will be expected to provide timely and accurate information, including any data that are necessary to track progress against these program performance measures. We may use these data in developing future budget proposals. We will also share these performance data with Congress. We may also publish results from individual grants to illustrate how grant sites are obtaining and utilizing scientifically valid evaluation results. However, please note that the Department is primarily interested in demonstrating when and how projects successfully conduct evaluations that yield valid results – whether such results show positive effects or not.

## Tips for Preparing and Submitting an Application

### A. Before You Begin

- Read this application package carefully and make sure you follow all of the instructions.
- Use the tools we have provided to help you including:
  - Frequently Asked Questions section in this application package;
  - Resources related to this grant competition on our Web site at <http://www.ed.gov/osdfs> or visit the Character Education and Civic Engagement Technical Assistance Center Web site at <http://www.cetac.org>;
  - General grant application technical assistance resources on our Web site at <http://www.ed.gov/admins/grants/apply/techassist/index.html>.
- If there is information that you do not understand, contact the competition manager for this grant competition.

### B. Preparing Your Application

- Make sure you are thorough in your project description design and evaluation. Write so that someone who knows nothing about your organization or your project plan can understand what you are proposing.
- Organize your application according to the selection criteria for this grant competition and respond comprehensively.
- Be sure your application includes a budget request (ED Form 524) for up to four 12-month periods, and that you have completed the budget narrative.
- Make sure your budget narrative provides enough detail about planned expenditures so ED staff can easily determine how the funds will be spent.
- Link your planned expenditures to the goals and objectives of your project. Do not request funds for miscellaneous purposes and make sure you demonstrate that your proposed expenditures are necessary to carry out your project.

### C. Submitting Your Application

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

## **D. Next Steps**

- If you submit your application by mail, you should receive a postcard in approximately two weeks (depending on the volume of applications that we receive) from ED's Application Control Center acknowledging receipt of your application and giving you its assigned number. If you submit your application electronically, the PR/Award number will be generated automatically when you submit your application. Please refer to this PR/Award number if you need to contact us about your application.
- Your application will be screened by the Office of Safe and Drug-Free Schools (OSDFS) staff to ensure that all program eligibility requirements are met, and all required forms are included and signed by the Authorized Representative.
- Your application will be assigned to a three-person panel of independent reviewers who evaluate and score your proposal according to the selection criteria in this application package. Your proposal will receive a score from 0 to 100 depending upon how well you respond to the requirements of the selection criteria. If you apply for consideration for the competitive preference priority, your proposal can receive a score up to 20 additional points, depending on the evaluation design proposed for the project.
- A grant award document will be sent to applicants whose proposals receive a score within the funding range. Unsuccessful applicants will receive a notification letter. Both successful and unsuccessful applicants will receive copies of the comments prepared by the peer reviewers. Please be sure your application contains valid e-mail and mailing address for both the Project Director and Authorized Representative.

## **Partnerships in Character Education Program**

Since 2002, through the PCEP, (under the Elementary and Secondary Education Act (ESEA) as amended by the No Child Left Behind Act (NCLB), the Secretary has been authorized to award grants to eligible entities to design and implement character education projects. The program supports character education projects that are integrated into regular classroom instruction, are consistent with State academic content standards, and are consistent with other educational reform efforts. Projects supported under this program should help students develop good character by teaching character elements such as caring, civic virtue, and citizenship, justice and fairness, respect, responsibility, trustworthiness, giving, or other elements of character. Projects must take into consideration the view of parents, students, students with disabilities (including those with mental or physical disabilities), and other members of the community, including members of private and nonprofit organizations, in the design and implementation of the character education project(s).

### **Absolute Priority**

This competition includes one absolute priority, one competitive preference priority, and one invitational priority that are explained in the following paragraphs. To be considered for funding, each applicant must address the absolute priority. Under 34 CFR 75.105 (c) (3), Title V-Part D, Subpart 3, Section 5431, the Secretary gives an absolute preference to applications that meet the following priority:

**Absolute Priority: Design and Implement Character Education Programs**

Under this absolute priority, grant applicants must design and implement character education programs that are able to be:

1. Integrated into classroom instruction and consistent with State academic content standards; and
2. Carried out in conjunction with other educational reform efforts.

### **Competitive Preference Priority**

In the interest of promoting the use of rigorous scientifically based research methods for evaluating the effectiveness of Partnerships in Character Education projects, we will award up to an additional 20 points to applicants that meet the following competitive preference priority (Note: Applicants proposing a quasi-experimental design may receive up to 10 additional points to their final score. Applicants proposing an experimental design may receive up to 20 additional points to their final score):

**Competitive Preference Priority:** The evaluations for projects under the competitive preference priority will utilize an experimental or quasi-experimental design to evaluate program effectiveness.

When using the priority to give competitive preference to an application, the Secretary will review applications using a two-stage process. In the first stage, the application will be reviewed without taking the priority into account. In the second stage of review, the applications rated highest in stage one will be reviewed for competitive preference. Under this priority, we give a total of up to 20 points to an applicant if they are proposing to use an experimental or quasi-experimental design.

**Note:** In general, depending on the implemented program or project, under a competitive preference priority, **random assignment evaluation methods will receive more points than matched comparison evaluation methods.**

Evaluation methods using an experimental design are best for determining project effectiveness. Thus, when feasible, the project should use an experimental design under which participants—e.g., students, teachers, classrooms, or schools—are randomly assigned to participate in the project activities being evaluated or to a control group that does not participate in the project activities being evaluated. If random assignment is not feasible, the project may use a quasi-experimental design with carefully matched comparison conditions. This alternative design attempts to approximate a randomly assigned control group by matching participants—e.g., students, teachers, classrooms, or schools—with non-participants having similar pre-program characteristics.

In cases where random assignment is not possible and participation in the intervention is determined by a specified cutting point on a quantified continuum of scores, regression discontinuity designs may be employed.

For projects that are focused on special populations in which sufficient number of participants are not available to support random assignment or matched comparisons group designs, single-subject designs such as multiple baseline or treatment-reversal or interrupted time series that are capable of demonstrating casual relationships can be employed.

Proposed evaluation strategies that use neither experimental designs with random assignment nor quasi-experimental designs using a matched comparison group nor regression discontinuity designs will not be considered responsive to the priority when sufficient numbers of participants are available to support these designs.

Evaluation strategies that involve too small a number of participants to support group designs must be capable of demonstrating the casual effects of an intervention or program on those participants.

The proposed evaluation plan should describe how the project evaluator will collect—before the project intervention commences and after it ends—valid and reliable data that measure the impact of participation in the program or in the comparison group.

In determining the quality of the proposed evaluation method and awarding points under the competitive preference priority, we will consider the extent to

which the applicant presents a feasible, credible plan that includes details such as the following:

- (1) The type of design to be used (that is, random assignment or matched comparison). If matched comparison, include in the plan a discussion of why random assignment is not feasible.
- (2) Outcomes to be measured.
- (3) A discussion of how the applicant plans to assign students, teachers, classrooms, or schools to the project and control group or match them for comparison with other students, teachers, classrooms, or schools.
- (4) A proposed evaluator, preferably independent, with the necessary background and technical expertise to carry out the proposed evaluation. An independent evaluator does not have any authority over the project and is not involved in its implementation.

## Definitions

For the purpose of this competition, the terms used in this competitive preference priority have the following definitions

Scientifically based research (section 9101(37) NCLB):

- (A) Means research that involves the application of rigorous, systematic, and objective procedures to obtain reliable and valid knowledge relevant to education activities and programs; and
- (B) Includes research that--
  - (i) Employs systematic, empirical methods that draw on observation or experiment;
  - (ii) Involves rigorous data analyses that are adequate to test the stated hypotheses and justify the general conclusions drawn;
  - (iii) Relies on measurements or observational methods that provide reliable and valid data across evaluators and observers, across multiple measurements and observations, and across studies by the same or different investigators;
  - (iv) Is evaluated using experimental or quasi-experimental designs in which individuals entities, programs, or activities are assigned to different conditions and with appropriate controls to evaluate the effects of the condition of interest, with a preference for random-assignment experiments, or other designs to the extent that those designs contain within-condition or across-condition controls;
  - (v) Ensures that experimental studies are presented in sufficient detail and clarity to allow for replication or, at a minimum, offer the opportunity to build systematically on their findings; and
  - (vi) Has been accepted by a peer-reviewed journal or approved by a panel of independent experts through a comparably rigorous, objective, and scientific review.

Random assignment or experimental design means random assignment of students, teachers, classrooms, or schools to participate in a project being evaluated (treatment group) or not participate in the project (control group). The

effect of the project is the difference in outcomes between the treatment and control groups.

Quasi-experimental designs include several designs that attempt to approximate a random assignment design.

Carefully matched comparison groups design means a quasi-experimental design in which project participants are matched with non-participants based on key characteristics that are thought to be related to the outcome.

Regression discontinuity design means a quasi-experimental design that closely approximates an experimental design. In a regression discontinuity design, participants are assigned to a treatment or control group based on a numerical rating or score of a variable unrelated to the treatment such as the rating of an application for funding. Eligible students, teachers, classrooms, or schools above a certain score ("cut score") are assigned to the treatment group and those below the score are assigned to the control group. In the case of the scores of applicants' proposals for funding, the "cut score" is established at the point where the program funds available are exhausted.

Single subject design means a design that relies on the comparison of treatment effects on a single subject or group of single subjects. There is little confidence that findings based on this design would be the same for other members of the population.

Treatment reversal design means a single subject design in which a pre-treatment or baseline outcome measurement is compared with a post-treatment measure. Treatment would then be stopped for a period of time; a second baseline measure of the outcome would be taken, followed by a second application of the treatment or a different treatment. For example, this design might be used to evaluate a behavior modification program for disabled students with behavior disorders.

Multiple baseline design means a single subject design to address concerns about the effects of normal development, timing of the treatment, and amount of the treatment with treatment-reversal designs by using a varying time schedule for introduction of the treatment and/or treatments of different lengths or intensity.

Interrupted time series design means a quasi-experimental design in which the outcome of interest is measured multiple times before and after the treatment for program participants only.



## **Requesting Competitive Preference**

**Applicants responding to the competitive preference priority should indicate that in the project Abstract** (see Priorities, Page 10)

## **Invitational Priority**

### Inclusion of Faith-based and Community Organizations

The Secretary is especially interested in applications that propose to engage faith-based and community organizations in the planning and development of character education programs and the delivery of services under this program.

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

## **Selection Criteria**

The following selection criteria will be used to evaluate applications under this grant competition. The maximum number of possible points for each criterion is indicated in parentheses. The maximum score for all of these criteria is 100 points.

### **1. Quality of the Project Design (30 points)**

In determining the quality of the project design, we will consider the following sub criteria:

- (a) The extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable. (10 points)
- (b) The extent to which the design for implementing and evaluating the proposed project will result in information to guide possible replication of project activities or strategies, including information about the effectiveness of the approach or strategies employed by the project. (10 points)
- (c) The extent to which the proposed project is designed to build capacity and yield results that will extend beyond the period of Federal financial assistance. (10 points)

Notes: Reviewers will look for a thorough description for the project including how the applicant will meet **all** requirements of the Absolute Priority (see page 20). The design should clearly describe activities, services and training to be provided by the project and the specific approaches to be used to meet the needs of the target population, including those of diverse cultural populations, if applicable. The sustainability plan for the program will be strongly considered, in terms of the development of an infrastructure that ensures that the program will be integrated within the existing district or state school curriculum.

## **2. Quality of the Management Plan (25 points)**

In determining the quality of the management plan to be implemented by the proposed project, we will consider the following sub criteria:

- (a) The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks. (15 points)
- (b) How the applicant will ensure that a diversity of perspectives are brought to bear in the operation of the proposed project, including those of parents, teachers, the business community, a variety of disciplinary and professional fields, students including students with disabilities (mental and physical) or others as appropriate. (10 points)

Notes: Applicants should describe partnerships or collaborative efforts among the organizations and entities of the grantees and how parents, students and members of the community are involved in the design and implementation of the program. Applicants should also describe the curriculum and instructional practice that will be used or developed; methods of teacher training and parent education that will be used or developed; and how the program for which the grant is sought will be linked to other efforts to improve academic achievement, including broader educational reforms being instituted by the applicant or its partners, and State academic content standards. Applicants that are SEAs should also describe how they will provide technical and professional assistance to LEA partners in the development and implementation of character education program; and will assist other local educational agencies that are not members of the original partnership in designing and establishing character education programs.

## **3. Quality of Project Personnel (15 points)**

In determining the quality of project personnel to manage the proposed project, we will consider the following sub criteria:

- (a) 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. (10 points)
- (b) The qualifications, including relevant training and experience, of key project personnel. (5 points)

Note: Reviewers will look for evidence that the applicant has the personnel qualified to develop, implement, and administer the proposed project, including the project evaluation. If personnel have not been hired, the applicant should provide a job description regarding the duties of the position(s) and qualifications.

#### **4. Quality of Project Evaluation (30 points)**

In determining the quality of the project evaluation to be conducted by the proposed project, we will consider the following sub criteria:

- (a) The extent to which the methods of evaluation include the use of objective performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data to the extent possible. (10 points)
- (b) The extent to which the methods of evaluation will provide performance feedback and permit periodic assessment of progress toward achieving intended outcomes. (10 points)
- (c) The extent to which the evaluation will provide guidance about effective strategies suitable for replication or testing in other settings. (10 points)

Notes: Reviewers will look for a detailed description of the evaluation plan that includes the methods to be used to evaluate the outcomes and effectiveness of the project, including the applicant's plan to address the Government Performance and Results (GPRA) measures established for this program. Under this criterion applicants should demonstrate that the proposed project has clear objectives that are based on scientifically based research. Applicants may consider the following factors in identifying their project goals and desired outcomes: discipline issues; student academic achievement; participation in extracurricular activities; parental and community involvement; faculty and administration involvement; student and staff morale; and overall improvements in school climates for all students, including students with disabilities (including those with mental and physical disabilities).

## Frequently Asked Questions

### ***What is the purpose of this grant competition?***

The purpose of this program is to provide grants to eligible entities to assist them in designing and implementing character education programs that teach students elements of character such as caring, civic virtues and citizenship, justice and fairness, respect, responsibility, trustworthiness, giving or any other elements deemed appropriate by the eligible entity. The character education programs supported must be programs that can be integrated in classroom instruction; consistent with state academic content standards; can be carried out in conjunction with other educational reform efforts; and include the input of parents, students, students with disabilities (including those with mental or physical disabilities), and other members of the community in the design and implementation.

### ***Who is eligible to apply?***

Eligible applicants under this grant competition include the following

- (A.) **An SEA in partnership** with one or more LEAs;
- (B.) **An SEA in partnership** with one or more LEAs and nonprofit organizations or entities, including an institution of higher education (IHE); an LEA or consortium of LEAs; or
- (C.) **An LEA or consortium of LEAs.**
- (D.) **An LEA in partnership** with one or more nonprofit organizations or entities, including an IHE.

### ***Can I submit an application on behalf of my local school?***

The only eligible recipients are SEAs, LEAs, and Tribal Organizations. One of these entities must be the applicant for funding. An application submitted by an individual school will not be considered unless it meets the definition of a local educational agency under State law.

### ***Are nonprofit organizations eligible to apply for this grant?***

Nonprofit or community-based organizations are generally not considered SEAs or LEAs thus are not eligible for this grant. Only entities that meet the definition of one of these entities may receive funding under this program. An LEA or SEA in partnership with a nonprofit is eligible to apply, however the LEA or SEA would serve as the fiscal agent for the grant.

### ***Are colleges/universities eligible to apply for this grant?***

Colleges and universities are generally not considered SEAs or LEAs thus are not eligible for this grant. An LEA or SEA in partnership with an institution of higher education (IHE) is eligible to apply, however the LEA or SEA must serve as the fiscal agent for the grant.

### ***Are charter schools eligible for this program?***

Charter schools that are considered LEAs under State law are eligible to apply for funding under this program.

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

- Before preparing your application, read the application package carefully and completely.
- Follow all of the instructions exactly.
- If you're uncertain about any aspects of this application package, please contact the competition manager for grant competition clarification.
- Absolute priorities establish the parameters for applications under a grant competition. If your application does not meet the absolute priority or the additional requirements for this grant competition, it will not be considered for funding.
- A panel of three persons from the character education and related fields as well as expertise in program evaluation will review your application. Be sure to organize your application clearly, provide requested information in a comprehensive manner, and respond to each selection criterion thoroughly. Reviewers are not permitted to give you "the benefit of the doubt"; therefore, if information is not in your application, reviewers cannot award points for it.
- A second panel of three persons with expertise in program evaluation and research in character education and related fields will review your application if you request consideration under the competitive preference priority. Be sure to pay close attention to the Competitive Preference Priority (see Page 21) to provide a clear description of the evaluation plan proposed.
- Be sure that your application includes a budget request (ED Form 524) and complete narrative justification for each of the proposed project years.
- Transmit your application on or before the deadline of February 24, 2009.

***In the Application Package Contracting for Services Section it states "applicants should not include information in their grant applications about specific contractors that may be used to provide services or goods for the proposed project if a grant is awarded". Does this mean that we cannot name the specific character education resource we have proposed for the project?***

If the chosen character education resource is truly unique and genuinely only available through one sole resource (i.e. there is no equal product that can be obtained from another source) then the application can state the specific name of the resource that will be used. If the resource is available through a variety of vendors then the application needs to state that full and open competition will be followed in the final selection of vendor if a grant is received.

***Am I required to respond to the competitive preference priority?***

Your inclusion of information that responds to the competitive preference priority is entirely optional; however, applicants who meet the competitive preference priority could be awarded up to 20 extra points.

***How much money is available under this grant competition?***

It is estimated that \$1,277,480 will be available in FY2009 for this competition.

***How many new awards will be made?***

It is estimated that 2 new awards will be made.

***What is the average amount of each grant?***

SEA projects will be funded for approximately \$500,000-\$750,000 for each 12-month budget period. LEA projects will be funded for approximately \$250,000 to \$500,000 for each 12-month period. **SEAs must submit a proposed budget of not less than \$500,000 for each budget period or will not be considered.** This not a requirement for LEAs. These figures are only estimates and do not bind the U.S. Department of Education to a specific number of grants or amount of any award.

***Is there a matching requirement for this grant program?***

There is no requirement for matching funds for this program.

***What is an indirect cost rate?***

An indirect cost is an expense you incur that is necessary to implement the grant, but may be difficult to identify directly with your grant. For example, indirect costs may include money spent for heat, light, rent, telephone, security, accounting, and Internet use.

If your organization prefers to use all of its grant funds for direct project costs, you are not required to charge the grant for indirect costs.

***May I charge indirect costs under this grant?***

Yes. In order to do so, you must have negotiated an indirect cost rate with your cognizant Federal agency. For more information about indirect cost rates, visit [www.ed.gov/about/offices/list/ocfo/intro.html](http://www.ed.gov/about/offices/list/ocfo/intro.html)

Most LEAs have an indirect rate provided by their State Educational Agency that may be used for this grant. Check with your finance office to see if your district has a rate.

***What is the project and budget period for these grants?***

Up to 48 months, of which no more than 12 months may be used for planning and program design.

***What should I use as the start date?***

Should you receive a grant, the start date for a project may have to be flexible, depending on when funds can be awarded. See page 9 for the suggested start date.

***How should we determine the elements of character to be taught in our program?***

Each eligible entity awarded a grant under this competition may select elements of character that will be taught under the program for which the grant was awarded. In selecting elements of character, the grantee should consider the views of the parents, students and the community.

Example elements of character that may be used include any of the following:

- Caring;
- Civic virtue and citizenship;
- Justice and fairness;
- Respect;
- Responsibility;
- Trustworthiness;
- Giving; and
- Any other elements deemed appropriate by the grantee.

***Can grant funds be used to support professional development activities?***

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

***What kinds of activities are likely to be “human subjects research”?***

ED’s regulations for the protection of human subjects, 34 CFR Part 97, defines research as a systematic investigation (including program evaluation) designed to develop or contribute to general knowledge. A “systematic” investigation typically uses scientific methods (such as adequate sample sizes, surveys, control groups, and/or randomization). Research becomes “human subjects” research when the researcher obtains data about an individual through a process. Applicants must also follow the requirements for the Protection of Pupil Rights Amendment (PPRA).

For further guidance and information about PPRA, please go to the Department’s Family Policy Compliance Office Web site at <http://www.ed.gov/policy/gen/guid/fpc/index.html>. For additional information on human subjects research, please go to the Department’s Human Subject’s Office Web site at <http://www.ed.gov/about/offices/list/ocfo/humansub.html>

***If human subjects research activities are planned, what should the applicant do?***

- Grants under this program that involve nonexempt human subjects research will need to obtain a federal wide assurance to abide by the Department's regulations for protection of human subjects in research and be reviewed by an Institutional Review Board (IRB) before beginning non-exempt activities. An IRB is a special panel responsible for protecting the rights and welfare of human research subjects. While not every program will require IRB review, applicants should consult early on with someone knowledgeable in the field of human subjects research to determine whether or not the project requires IRB review.
- A registry of Institutional Review Boards is available online at the Department of Health and Human Services' Office for Human Research Protection website, <http://ohrp.cit.nih.gov/search/asearch.asp#ASUR>. Applicants who programs require review by an IRB should budget appropriate costs into their application. If an applicant fails to budget ahead of time for IRB review and then discovers later that IRB approval is needed, no additional grant funds will be awarded for the review. For additional information about human research subjects and the need for IRB approval, please reference the Department of Education's website for Grants Policy and Oversight Staff: <http://www.ed.gov/policy/fund/reg/humansub/app-pro.html>

***Does the Department of Education require an independent third party evaluation or principal investigator?***

No. Although a project evaluation is required, an independent third party evaluation or principal investigator is not. As long as the proposed evaluator has the necessary background and technical expertise to carry out the required evaluation, an application is technically eligible for funding. **However, please note that the quality of the proposed project evaluation is a key part of the selection criteria used to evaluate all applications submitted.** When possible, the Department prefers independent third party evaluations and independent principal investigators—meaning that the principal investigator has no authority over the project and is not involved in its implementation—because these design features help ensure that the evaluation will provide an objective and reliable basis for examining overall project effectiveness.

***Does the Department of Education require that research findings be disseminated?***

No. Research findings do not have to be disseminated by grantees. However, if funded, applicants are requested to collect and report data to the Department on evaluation outcomes in required annual performance reports, in the interim evaluation report (after two years of the project) and at the completion of the grant.



***Are there specific grant activities for which outside sources, such as IHEs and private and nonprofit organizations may contract?***

Examples of grant activities that can be conducted by outside sources under contract include:

- Evaluating the program, i.e. measuring the integration of the program into the curriculum and teaching methods of schools, and measure the success of the program in fostering the elements of character selected by the recipient.
- Developing secular curricula, teacher training and other activities related to character education.
- Integrating secular character education into the curricula and teaching methods of the schools.

***How does the Freedom of Information Act affect my application?***

The Freedom of Information Act (FOIA) was enacted in 1966 and provides that any person has the right to request access to Federal agency records or information. All agencies of the U.S. Government are required to disclose records upon receiving a written request for them, except for those records that are protected from disclosure by the nine exemptions listed in the FOIA. All applications submitted for funding consideration under this grant competition are subject to FOIA. To read the text of the Freedom of Information Act, visit [www.usdoj.gov/04foia/foiastat.htm](http://www.usdoj.gov/04foia/foiastat.htm).

***I plan to submit my application through Grants.gov. What will happen if I am unable to do so by the deadline?***

- If you experience problems submitting your application electronically through Grants.gov, please contact the Grants.gov Support Desk at 800-518-4726. You must obtain a Grants.gov Support Desk Case Number and 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 4:30:00 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 on pages 3-4 in this application package.

***Do I have to submit my application electronically?***

The electronic submission of applications is voluntary. Applications may be submitted electronically or in paper format by mail or hand delivery. However, if you choose to submit your application electronically you must use the Grants.gov website and follow the electronic submission procedures published in the Federal Register notice. **Note:** You may not submit your application by e-mail or facsimile.

***Does Grants.gov support Word 2007?***

The new version of Microsoft Word saves documents with the extension. DOCX. The Grants.gov system does not process Microsoft Word documents with the extension. DOCX. When submitting Microsoft Word attachments to Grants.gov, please use the version of Microsoft Word that ends in .DOC. If any of the documents included in the application are saved with the .DOCX extension, the entire application will be rejected by Grants.gov. If you have any questions regarding this matter, please e-mail the Grants.gov Contact Center at support@grants.gov or call 1-800-518-4726.

***Does Grants.gov support the new Microsoft Vista Operating System?***

Grants.gov uses two viewer products – Adobe Acrobat Reader and PureEdge - that predate the release of Windows Vista. Adobe Reader 7.0.9 **may** work with Vista, but Adobe does not fully support this configuration. PureEdge Viewer v.6.0.2 is only compatible with Vista when using a Citrix server connection. Grants.gov is anticipating the release of Adobe Reader 8.1.1 shortly, which will be compatible with Microsoft Vista. Until Adobe Reader 8.1.1. Is released, you have two choices: Use an operating system other than Vista or sue Citrix, which has been identified as an option for any applicant that is using Vista. The Grants.gov Web site ([www.grants.gov/help/general\\_faqs.jsp#18](http://www.grants.gov/help/general_faqs.jsp#18)) has been updated to provide applicants with instructions on how to utilize the Citrix solution.

***Do I need to provide the funding Opportunity Number (Item#12) and the Competition Identification Number (Item #13) on the SF-424?***

If you submit your application electronically via Grants.gov, then you need to provide these numbers. They are located on the Grants.gov Web site on the application download page and also on the application package page once it is downloaded. If you submit your application in paper format by mail or hand delivery, then you do not need to provide these numbers as they are used strictly for the electronic package submitted via Grants.gov

***I submitted my application by the deadline via Grants.gov. Am I finished?***

No, do not assume that you are finished. If you submit your application via Grants.gov, there is a two-step validation process. Within two days of submitting your grant application, you will receive two e-mail messages. The first e-mail will confirm receipt of your application by the Grants.gov system. The second e-mail will indicate whether your application was successfully validated by the system or if it was rejected due to errors. You should track your application via the Grants.gov system to determine the progress of your application until the system shows a validated or rejected status or until you have received the e-mail indicating that it has been successfully validated or rejected.

***What if I have not received a validation by the closing date?***

If you submit your application within two days prior to the application transmittal deadline, you may not receive your validation or rejection notification until after the closing date. We recommend that if you have not received the two e-mail notifications indicating receipt and validation by 4:30:00 pm (Washington, DC time) on the application deadline date, print your application and mail a hard copy of it, adhering to the hard copy application submission procedures and requirements written in this application. For example, cover pages with signatures must be included in hard copy applications and cannot be faxed later.

***What are some of the reasons I won't receive a validation from Grants.gov?***

- You submitted your application after the application deadline date and time.
- The E-Business Point of Contact at your organization did not respond to the registration e-mail from Grants.gov and authorize you as an Authorized Organization Representative (AOR).
- You did not provide the DUNS number on your application (SF-424 form) that was used when you registered as an AOR.
- You uploaded a file type that is not compatible with Grants.gov.
- You did not fill out all the mandatory fields in the application package.

Additional reasons Grants.gov may reject an application can be found on the Grants.gov site: [http://www.grants.gov/applicants/applicant\\_faqs.jsp#54](http://www.grants.gov/applicants/applicant_faqs.jsp#54). We also suggest reading all the FAQs on Grants.gov ([http://www.grants.gov/help/submit\\_application\\_faqs.jsp#10](http://www.grants.gov/help/submit_application_faqs.jsp#10)) to provide you with additional information to assist with your submission.

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

February 24, 2009.

***May I get an extension of the deadline date?***

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

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

Any questions pertaining to this grant competition should be directed to Sharon J. Burton, Education Program Specialist, U.S. Department of Education, 400 Maryland Avenue, SW, Room 10102, Potomac Center Plaza (PCP), Washington, DC 20202-6450, Phone: 202-245-7867, Fax: 202-485-0041, Email: [sharon.burton@ed.gov](mailto:sharon.burton@ed.gov).

### III. Legal and Regulatory Documents

---

**Notice Inviting Applications**  
**Federal Register Publish Date – \_\_\_\_\_, 2008**

4000-01-U

DEPARTMENT OF EDUCATION  
Office of Safe and Drug-Free Schools

Partnerships in Character Education Program  
Notice inviting applications for new awards for fiscal year (FY) 2008.

Catalog of Federal Domestic Assistance (CFDA) Number:

84.215S.

Dates:

Applications Available: December 22, 2008.

Deadline for Transmittal of Applications: February 24, 2009.

Deadline for Intergovernmental Review: April 27, 2009.

Full Text of Announcement

#### **I. Funding Opportunity Description**

Purpose of Program: Under this program we support Federal grants to design and implement character education programs that can be integrated into classroom instruction, that are consistent with State academic content standards. Such programs may be carried out in conjunction with other educational reform efforts, and must take into consideration the views of parents, students, students with disabilities (including those with mental or physical disabilities), and other members of the community, including members of private, nonprofit organizations or entities, including faith-based organizations and community organizations.

Priorities: In accordance with 34 CFR 75.105(b)(2)(iv), this priority is from title V, part D, subpart 3, section 5431 of the Elementary and Secondary Education Act of 1965 (ESEA) (20 U.S.C. 7247), as amended by the No Child Left Behind Act of 2001 (NCLB).

Absolute Priority: For FY 2009 and any subsequent years in which we make awards from the list of unfunded applicants from this competition, this priority is an absolute priority. Under 34 CFR 75.105(c)(3), we consider only applications that meet this priority.

This priority is:

The design and implementation of character education programs that are able to be--

- (A) integrated into classroom instruction and consistent with State academic content standards; and
- (B) carried out in conjunction with other educational reform efforts.

Competitive Preference Priority: Within this absolute priority, we give competitive preference to applications that address the following priority.

This priority is from the notice of final priorities for discretionary grant programs, published in the Federal Register on January 25, 2005 (70 FR 3585).

Under 34 CFR 75.105 (c)(2)(i), we award up to an additional 20 points to an application, depending on how well the application meets this priority. Applicants proposing a quasi-experimental design may receive up to 10 additional points to their final score. Applicants proposing an experimental design may receive up to 20 additional points to their final score. When using the priority to give competitive preference to an application, the Secretary will review applications using a two-stage process. In the first stage, the application will be reviewed without taking the priority into account. In the second stage of review, the applications rated highest in stage one will be reviewed for competitive preference.

This priority is:

The Secretary establishes a priority for projects proposing an evaluation plan that is based on rigorous scientifically based research methods used to assess the effectiveness of a particular intervention. The Secretary intends that this priority will allow program participants and the Department to determine whether the project produces meaningful effects on student achievement or teacher performance.

Evaluation methods using an experimental design are best for determining project effectiveness. Thus, when feasible, the project must use an experimental design under which participants--e.g. students, teachers, classrooms, or schools--are randomly assigned to participate in the project activities being evaluated or to a control group that does not participate in the project activities being evaluated.

If random assignment is not feasible, the project may use a quasi-experimental design with carefully matched comparison conditions. This alternative design attempts to approximate a randomly assigned control group by matching participants--e.g. students, teachers, classrooms, or schools--with non-participants having similar pre-program characteristics.

In cases where random assignment is not possible and participation in the intervention is determined by a specified cutting point on a quantified continuum of scores, regression discontinuity designs may be employed.

For projects that are focused on special populations in which sufficient numbers of participants are not available to support random assignment or matched comparison group designs, single-subject designs such as multiple baseline or treatment-reversal or interrupted time series that are capable of demonstrating causal relationships can be employed.

Proposed evaluation strategies that use neither experimental designs with random assignment nor quasi-experimental designs using a matched comparison group nor regression discontinuity designs will not be considered responsive to the priority when sufficient numbers of participants are available to support these designs. Evaluation strategies that involve too small a number of participants to support group designs must be capable of demonstrating the causal effects of an intervention or program on those participants.

The proposed evaluation plan must describe how the project evaluator will collect--before the project intervention commences and after it ends--valid and reliable data that measure the impact of participation in the program or in the comparison group.

Points awarded under this priority will be determined by the quality of the proposed evaluation method. In determining the quality of the evaluation method, we will consider the extent to which the applicant presents a feasible, credible plan that includes the following:

(1) The type of design to be used (that is, random assignment or matched comparison). If matched comparison, include in the plan a discussion of why random assignment is not feasible.

(2) Outcomes to be measured.

(3) A discussion of how the applicant plans to assign students, teachers, classrooms, or schools to the project and control group or match them for comparison with other students, teachers, classrooms, or schools.

(4) A proposed evaluator, preferably independent, with the necessary background and technical expertise to carry out the proposed evaluation. An independent evaluator does not have any authority over the project and is not involved in its implementation.

In general, depending on the implemented program or project, under a competitive preference priority, random assignment evaluation methods will receive more points than matched comparison evaluation methods.

### Definitions

As used in this notice--

Scientifically based research (section 9101(37) ESEA):

(A) Means research that involves the application of rigorous, systematic, and objective procedures to obtain reliable and valid knowledge relevant to education activities and programs; and

- (B) Includes research that--
- (i) Employs systematic, empirical methods that draw on observation or experiment;
  - (ii) Involves rigorous data analyses that are adequate to test the stated hypotheses and justify the general conclusions drawn;
  - (iii) Relies on measurements or observational methods that provide reliable and valid data across evaluators and observers, across multiple measurements and observations, and across studies by the same or different investigators;
  - (iv) Is evaluated using experimental or quasi-experimental designs in which individuals entities, programs, or activities are assigned to different conditions and with appropriate controls to evaluate the effects of the condition of interest, with a preference for random-assignment experiments, or other designs to the extent that those designs contain within-condition or across-condition controls;
  - (v) Ensures that experimental studies are presented in sufficient detail and clarity to allow for replication or, at a minimum, offer the opportunity to build systematically on their findings; and
  - (vi) Has been accepted by a peer-reviewed journal or approved by a panel of independent experts through a comparably rigorous, objective, and scientific review.

Random assignment or experimental design means random assignment of students, teachers, classrooms, or schools to participate in a project being evaluated (treatment group) or not participate in the project (control group). The effect of the project is the difference in outcomes between the treatment and control groups.

Quasi-experimental designs include several designs that attempt to approximate a random assignment design.

Carefully matched comparison groups design means a quasi-experimental design in which project participants are matched with non-participants based on key characteristics that are thought to be related to the outcome.

Regression discontinuity design means a quasi-experimental design that closely approximates an experimental design. In a regression discontinuity design, participants are assigned to a treatment or control group based on a numerical rating or score of a variable unrelated to the treatment such as the rating of an application for funding. Eligible students, teachers, classrooms, or schools above a certain score ("cut score") are assigned to the treatment group and those below the score are assigned to the control group. In the case of the scores of applicants' proposals for funding, the "cut score" is established at the point where the program funds available are exhausted.

Single subject design means a design that relies on the comparison of treatment effects on a single subject or group of single subjects. There is little confidence that findings based on this design would be the same for other members of the population.

Treatment reversal design means a single subject design in which a pre-treatment or baseline outcome measurement is compared with a post-treatment measure. Treatment would then be stopped for a period of time; a second baseline measure of the outcome would be taken, followed by a second application of the treatment or a different treatment. For example, this design might be used to evaluate a behavior modification program for disabled students with behavior disorders.

Multiple baseline design means a single subject design to address concerns about the effects of normal development, timing of the treatment, and amount of the treatment with treatment-reversal designs by using a varying time schedule for introduction of the treatment and/or treatments of different lengths or intensity.

Interrupted time series design means a quasi-experimental design in which the outcome of interest is measured multiple times before and after the treatment for program participants only.

Note: Due to the very short time frame that applicants have to select a proposed evaluator for the required competitive priority, we remind applicants that they can, under 34 CFR 80.36, use informal procedures to select a proposed contractor for this purpose. For example, §80.36 authorizes simple informal procedures to select contractors for contracts under the simplified acquisition threshold of \$100,000. 34 CFR 80.36(d)(1). The regulations only require that you request offers from an adequate number of sources.

In addition, even if you expect that the evaluation of your project would cost more than \$100,000, the regulations recognize special cases where a contractor must be selected within a very limited time period. Again, you need to request proposals from an adequate number of qualified sources and select the contractor, whose proposal is most advantageous to the program, considering price and other selection factors. In these situations, if informal solicitation does not result in an adequate number of proposals, you may select a single bidder so long as you document the facts that formed the basis for your decision. 34 CFR 80.36(d)(1), (3)&(4).

Invitational Priority: Within the absolute priority, we are particularly interested in applications that address the following invitational priority. Under 34 CFR 75.105(c)(1) we do not give an application that meets this invitational priority a competitive or absolute preference over other applications.

This priority is:

Faith-based and Community Organizations.

The Secretary is especially interested in applications that propose to engage faith-based and community organizations in the planning and development of character education programs and the delivery of services under this program.

Program Authority: 20 U.S.C. 7247.

Applicable Regulations: (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 79, 80, 81, 82, 84, 85, 86, 97, 98, 99 and 299. (b) The notice of final priority published in the Federal Register on January 25, 2005 (70 FR 3585).



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

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

## **II. Award Information**

Type of Award: Discretionary grant.

Estimated Available Funds: \$1,277,480.

The Administration's budget request for FY 2009 does not include funds for this program. However, the Administration requested \$23,824,000 for character activities, of which an estimated \$1,277,480 would be available for this competition. The actual level of funding, if any, depends on final congressional action. However, we are inviting applications to allow enough time to complete the grant process if Congress appropriates funds for this program.

Contingent upon the availability of funds and the quality of applications, we may make additional awards in FY 2009 and subsequent fiscal years from the list of unfunded applicants from this competition.

Estimated Range of Awards: For State educational agencies (SEAs), \$500,000-\$750,000. For local educational agencies (LEAs), \$250,000-\$500,000. We anticipate that applicants who request funding at the higher end of these ranges would respond to the competitive preference priority to implement experimental or quasi-experimental designs.

Estimated Average Size of Awards: For SEAs, \$600,000 for each 12-month budget period. For LEAs, \$350,000 for each 12-month budget period.

Minimum Award: Pursuant to Section 5431(a)(4) of the ESEA, SEAs must propose a total budget that is \$500,000 or more for a single budget period. This restriction does not apply to applications from LEAs.

Estimated Number of Awards: 2.

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

Project Period: Up to 48 months, of which no more than 12 months may be used for planning and program design.

## **III. Eligibility Information**

### **1. Eligible Applicants:**

- (a)(1) An SEA in partnership with one or more LEAs; or
- (2) An SEA in partnership with one or more LEAs and nonprofit organizations or entities, including faith-based and community organizations, and an Institute of Higher Education (IHE); and
- (b)(1) An LEA or consortium of LEAs; or
- (2) An LEA in partnership with one or more nonprofit organizations or entities, including faith-based and community organizations, and an IHE.

Charter schools that are considered LEAs under State law are also eligible to apply.

The Secretary limits eligibility under this discretionary grant competition to LEAs or SEAs applicants that do not currently have an active grant under the

Partnerships in Character Education Program. For the purpose of this eligibility requirement, a grant is considered 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.

#### Participation by Private School Children and Teachers.

Each eligible entity that receives a grant under this section shall provide, to the extent feasible and appropriate, for the participation of programs and activities under this section of students and teachers in private elementary and secondary schools.

2. Cost Sharing or Matching: This competition does not require cost sharing or matching.

#### **IV. Application and Submission Information**

1. Address to Request Application Package: Sharon J. Burton, U.S. Department of Education, 400 Maryland Avenue, SW., room 10102, Potomac Center Plaza (PCP) Washington, DC 20202. Telephone: (202) 245-7867 or by e-mail: [sharon.burton@ed.gov](mailto:sharon.burton@ed.gov)

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

Individuals with disabilities can 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.

3. Submission Dates and Times:  
Applications Available: December 22, 2008.  
Deadline for Transmittal of Applications: February 24, 2009.

Applications for grants under this competition 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 in paper format by mail or hand delivery, please refer to section IV. 6.

4. Other Submission Requirements in this notice.  
We do not consider an application that does not comply with the deadline requirements.

Individuals with disabilities who need an accommodation or auxiliary aid in connection with the application process should contact the person listed under

For Further Information Contact in section VII in this notice. If the Department provides an accommodation or auxiliary aid to an individual with a disability in connection with the application process, the individual's application remains subject to all other requirements and limitations in this notice.

Deadline for Intergovernmental Review: April 17, 2009.

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

6. Funding Restrictions: Under section 5431 (d) (1) of the ESEA (20 U.S.C. 7247(d) (1)), an SEA may use not more than three percent (3%) of the total funds received in any fiscal year for administrative purposes. This does not apply to LEAs. We reference regulations outlining funding restrictions in the Applicable Regulations section in this notice.

7. Other Submission Requirements: Applications for grants under this competition 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 Partnerships in Character Education Program, CFDA Number 84.215S, 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 Partnerships in Character Education Program at <http://www.Grants.gov> you must search for the downloadable application package for this competition by the CFDA number. Do not include the CFDA number's alpha suffix in your search (e.g., search for 84.215, not 84.215S).

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 4:30:00 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 4:30:00 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 4:30:00 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, toll free, 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 4:30:00 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 4:30:00 p.m., Washington, DC time, on the application deadline date, please contact the person listed under For Further Information Contact in section VII in this notice 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 4:30:00 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:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.215S)  
LBJ Basement Level 1  
400 Maryland Avenue, SW.  
Washington, DC 20202-4260

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 84.215S)  
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 4:30:00 p.m., Washington, DC time, except Saturdays, Sundays, and Federal holidays.

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

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

## **V. Application Review Information**

1. Selection Criteria: The selection criteria for this competition is from 34 CFR part 75.210 in EDGAR and are listed in the application package.

2. Review and Selection Process: Additional factors we consider in selecting an application for an award are included in 20 U.S.C. 7247. We will ensure that, to the extent practicable, the projects for which we provide funding are equally distributed among the geographic regions of the United States, and among urban, suburban and rural areas.

## **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 Notice (GAN). We may notify you informally, also.

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 in this notice.

We reference the regulations outlining the terms and conditions of an award in the Applicable Regulations section in 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 directed by the Secretary under 34 CFR 75.118. The Secretary may also require more frequent performance reports under 34 CFR 75.720(c). For specific requirements on reporting, please go to <http://www.ed.gov/fund/grant/apply/appforms/appforms.html>

4. Performance Measure: Under the Government Performance and Results Act (GPRA), two performance indicators have been established for the Partnerships in Character Education Program. The indicators are: the percentage of Partnerships in Character Education Program grantees that use an experimental or quasi-experimental design for their evaluation; and the percentage of Partnerships in Character Education Program grantees that use an experimental or quasi-experimental design for their evaluation that are conducted successfully, and that yield scientifically valid results. Consequently, applicants for a grant under this program are advised to give careful consideration to these two measures in conceptualizing the design, implementation, and evaluation of their proposed project. If funded, applicants will be asked to report data in their annual performance reports on evaluation outcomes. The Secretary will use this information to assess the overall quality of performance data obtained through rigorous evaluations conducted by grantees, and to respond to reporting requirements concerning this program established in Section 5431(h) of the ESEA.

## **VII. Agency Contact**

For Further Information Contact: Sharon J. Burton, U.S. Department of Education, 400 Maryland Avenue, SW., room 3E322, Washington, DC 20202. Telephone: (202) 245-7867 or by e-mail: [sharon.burton@ed.gov](mailto:sharon.burton@ed.gov)  
If you use a TDD, call the FRS, toll free, at 1-800-877-8339.

## **VIII. Other Information**

Accessible Format: Individuals with disabilities can obtain this document and a copy of the application package in an alternative format (e.g., Braille, large print,

audiotape, or computer diskette) on request to the program contact person listed under For Further Information Contact in section VII in this notice.

Electronic Access to This Document: You can 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:***

---

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



## AUTHORIZING LEGISLATION

### The Elementary and Secondary Act of 1965 As amended by the No Child Left Behind Act of 2001 (P.L. 107-110)

#### Title V, Part D, Subpart 3, Sec. 5431-Partnerships in Character Education Program

##### (a) PROGRAM AUTHORIZED-

(1) IN GENERAL- The Secretary is authorized to award grants to eligible entities for the design and implementation of character education programs that —

(A) Are able to be integrated into classroom instruction and to be consistent with State academic content standards; and

(B) Are able to be carried out in conjunction with other educational reform efforts.

(2) ELIGIBLE ENTITY- In this section, the term eligible entity' means —

(A) A State educational agency in partnership with —

(i) One or more local educational agencies; or

(ii) One or more —

(I) Local educational agencies; and

(II) Nonprofit organizations or entities, including an institution of higher education;

(B) A local educational agency or consortium of local educational agencies; or

(C) A local educational agency in partnership with one or more nonprofit organizations or entities, including an institution of higher education.

(3) DURATION- Each grant under this section shall be awarded for a period not to exceed 5 years, of which the eligible entity may not use more than 1 year for planning and program design.

(4) AMOUNT OF GRANTS FOR STATE EDUCATIONAL AGENCIES- Subject to the availability of appropriations, the amount of a grant made by the Secretary to a State educational agency under this section shall not be less than \$500,000 if the State educational agency —

(A) Is in a partnership described in paragraph (2)(A); and

(B) Meets such requirements as the Secretary may establish under this section.

(b) CONTRACTS UNDER PROGRAM-

(1) EVALUATION- Each eligible entity awarded a grant under this section may contract with outside sources, including institutions of higher education and private and nonprofit organizations, for the purposes of —

(A) Evaluating the program for which the assistance is made available;

(B) Measuring the integration of such program into the curriculum and teaching methods of schools where the program is carried out; and

(C) Measuring the success of such program in fostering the elements of character selected by the recipient under subsection (c).

(2) MATERIALS AND PROGRAM DEVELOPMENT- Each eligible entity awarded a grant under this section may contract with outside sources, including institutions of higher education and private and nonprofit organizations, for assistance in —

(A) Developing secular curricula, materials, teacher training, and other activities related to character education; and

(B) Integrating secular character education into the curricula and teaching methods of schools where the program is carried out.

(c) ELEMENTS OF CHARACTER-

(1) SELECTION-

(A) IN GENERAL- each eligible entity awarded a grant under this section may select the elements of character

that will be taught under the program for which the grant was awarded.

(B) CONSIDERATION OF VIEWS- In selecting elements of character under subparagraph (A), the eligible entity shall consider the views of the parents of the students to be taught under the program and the views of the students.

(2) EXAMPLE ELEMENTS- Elements of character selected under this subsection may include any of the following:

(A) Caring.

(B) Civic virtue and citizenship.

(C) Justice and fairness.

(D) Respect.

(E) Responsibility.

(F) Trustworthiness.

(G) Giving.

(H) Any other elements deemed appropriate by the eligible entity.

(d) USE OF FUNDS BY STATE EDUCATIONAL AGENCY RECIPIENTS- Of the total funds received in any fiscal year under this section by an eligible entity that is a State educational agency —

(1) Not more than 3 percent of such funds may be used for administrative purposes; and

(2) The remainder of such funds may be used for —

(A) Collaborative initiatives with and between local educational agencies and schools;

(B) The preparation or purchase of materials, and teacher training;

(C) Providing assistance to local educational agencies, schools, or institutions of higher education; and

(D) Technical assistance and evaluation.

(e) APPLICATION-

(1) IN GENERAL- Each eligible entity desiring a grant under this section shall submit an application to the Secretary at such time and in such manner as the Secretary may require.

(2) REQUIRED INFORMATION- Each application for a grant under this section shall include (together with any other information that the Secretary may require) information that —

(A) Demonstrates that the program for which the grant is sought has clear objectives that are based on scientifically based research;

(B) Describes any partnerships or collaborative efforts among the organizations and entities of the eligible entity;

(C) Describes the activities that will be carried out with the grant funds and how such activities will meet the objectives described in subparagraph (A), including —

(i) How parents, students, students with disabilities (including those with mental or physical disabilities), and other members of the community, including members of private and nonprofit organizations, will be involved in the design and implementation of the program and how the eligible entity will work with the larger community to increase the reach and promise of the program;

(ii) Curriculum and instructional practices that will be used or developed; and

(iii) Methods of teacher training and parent education that will be used or developed;

(D) Describes how the program for which the grant is sought will be linked to other efforts to improve academic achievement, including —

(i) Broader educational reforms that are being instituted by the eligible entity or its partners; and

(ii) State academic content standards;

(E) In the case of an eligible entity that is a State educational agency, describes how the State educational agency —

(i) Will provide technical and professional assistance to its local educational agency partners in the development and implementation of character education programs; and

(ii) Will assist other interested local educational agencies that are not members of the original partnership in designing and establishing character education programs;

(F) Describes how the eligible entity will evaluate the success of its program —

(i) Based on the objectives described in subparagraph (A); and

(ii) In cooperation with any national evaluation conducted pursuant to subsection (h)(2)(B)(iii); and

(G) Assures that the eligible entity annually will provide to the Secretary such information as may be required to determine the effectiveness of the program.

(f) SELECTION OF RECIPIENTS-

(1) PEER REVIEW-

(A) IN GENERAL- in selecting eligible entities to receive grants under this section from among the applicants for such grants, the Secretary shall use a peer review process that includes the participation of experts in the field of character education and development.

(B) USE OF FUNDS- The Secretary may use funds appropriated under this section for the cost of carrying out peer reviews under this paragraph.

(2) SELECTION CRITERIA- each selection under paragraph (1) shall be made on the basis of the quality of the application submitted, taking into consideration such factors as —

(A) The extent to which the program fosters character in students and the potential for improved student academic achievement;

(B) The extent and ongoing nature of parental, student, and community involvement;

(C) The quality of the plan for measuring and assessing success; and

(D) The likelihood that the objectives of the program will be achieved.

(3) **EQUITABLE DISTRIBUTION-** In making selections under this subsection, the Secretary shall ensure, to the extent practicable under paragraph (2), that the programs assisted under this section are equitably distributed among the geographic regions of the United States, and among urban, suburban, and rural areas.

(g) **PARTICIPATION BY PRIVATE SCHOOL CHILDREN AND TEACHERS-** Each eligible entity that receives a grant under this section shall provide, to the extent feasible and appropriate, for the participation in programs and activities under this section of students and teachers in private elementary schools and secondary schools.

(h) **EVALUATION AND PROGRAM DEVELOPMENT-**

(1) **STATE AND LOCAL REPORTING AND EVALUATION-** Each eligible entity receiving a grant under this section shall submit to the Secretary a comprehensive evaluation of the program assisted under this section, including its impact on students, students with disabilities (including those with mental or physical disabilities), teachers, administrators, parents, and others —

(A) By the end of the second year of the program; and

(B) Not later than 1 year after completion of the grant period.

(2) **NATIONAL RESEARCH, DISSEMINATION, AND EVALUATION-**

(A) **IN GENERAL-**

(i) **AUTHORIZATION-** The Secretary is authorized to award grants to, or enter into contracts or cooperative agreements with, State educational agencies or local educational agencies, institutions of higher education, tribal organizations, or other public or private agencies or organizations to carry out research, development, dissemination, technical assistance, and evaluation activities that support or inform State and local character education programs.

(ii) **RESERVATION OF FUNDS-** The Secretary shall reserve not more than 5 percent of the funds

made available under this section to carry out this paragraph.

(B) USES- Funds made available under subparagraph (A) may be used for the following:

(i) Conducting research and development activities that focus on matters such as —

(I) The extent to which schools are undertaking character education initiatives;

(II) The effectiveness of instructional models for all students, including students with disabilities (including those with mental or physical disabilities);

(III) Materials and curricula for use by programs in character education;

(IV) Models of professional development in character education;

(V) The development of measures of effectiveness for character education programs (which may include the factors described in paragraph (3)); and

(VI) The effectiveness of State and local programs receiving funds under this section.

(ii) Providing technical assistance to State and local programs, particularly on matters of program evaluation.

(iii) Conducting evaluations of State and local programs receiving funding under this section, that may be conducted through a national clearinghouse under clause (iv).

(iv) Compiling and disseminating, through a national clearinghouse or other means —

(I) information on model character education programs;

(II) information about high quality character education materials and curricula;

(III) research findings in the area of character education and character development; and

(IV) Any other information that will be useful to character education program participants nationwide, including educators, parents, and administrators.

(C) PARTNERSHIPS- In carrying out national activities under this paragraph, the Secretary may enter into partnerships with national nonprofit character education organizations and institutions of higher education with expertise and successful experience in implementing —

(i) Character education programs that had an effective impact on schools, students, students with disabilities (including those with mental or physical disabilities), and teachers; or

(ii) Character education program evaluation and research.

(D) PARTNERSHIP FOR ACTIVITIES UNDER SUBPARAGRAPH (B)(iv)- In carrying out national activities under subparagraph (B)(iv), the Secretary may enter into a partnership with a national nonprofit character education organization that will disseminate information to educators, parents, administrators, and others nationwide, including information about the range of model character education programs, materials, and curricula.

(E) REPORT- Each entity awarded a grant or entering into a contract or cooperative agreement under this paragraph shall submit an annual report to the Secretary that —

(i) Describes the entity's progress in carrying out research, development, dissemination, evaluation, and technical assistance under this paragraph;

(ii) Identifies unmet and future information needs in the field of character education; and

(iii) If applicable, describes the progress of the entity in carrying out the requirements of subparagraph (B)(iv), including a listing of —

(l) The number of requests for information received by the entity in the course of carrying out such requirements;



(II) The types of organizations making such requests; and

(III) The types of information requested.

(3) FACTORS- Factors that may be considered in evaluating the success of programs funded under this section include the following:

(A) Discipline issues. (B) Student academic achievement. (C) Participation in extracurricular activities. (D) Parental and community involvement. (E) Faculty and administration involvement. (F) Student and staff morale. (G) Overall improvements in school climate for all students, including students with disabilities (including those with mental or physical disabilities).

(i) PERMISSIVE MATCH-

(1) IN GENERAL- The Secretary may require eligible entities to match funds awarded under this section with non-Federal funds, except that the amount of the match may not exceed the amount of the grant award.

(2) SLIDING SCALE- The amount of a match under paragraph (1) shall be established based on a sliding scale that takes into account —

(A) The poverty of the population to be targeted by the eligible entity; and

(B) The ability of the eligible entity to obtain funding for the match.

(3) IN-KIND CONTRIBUTIONS- The Secretary shall permit eligible entities to match funds in whole or in part with in-kind contributions.

(4) CONSIDERATION- notwithstanding this subsection, the Secretary in making awards under this section shall not consider the ability of an eligible entity to match funds.

## IV. General Application Instructions

---

### Preparing the Application

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

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

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

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

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

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

The **Other Attachments Form** is where you will attach proposal appendices, such as curriculum vitae of key personnel, letters of commitment, and samples of evaluation instruments. The Grants.gov system will allow applicants to attach as many as 10 separate appendices in this section. If there are more than 10 appendices in your application, we strongly suggest combining several of them as one appendix and uploading them to the Other Attachments Form.

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

All applicants should adhere to the following formatting guidelines:

- Use 1-inch margins. If you submit your application in paper format by mail or hand delivery, your application must be printed on 8 1/2” by 11” paper.

- Use a consistent font not smaller than 12-point type throughout your document. You may use boldface type, underlining, and italics; however, do not use colored text.
- For the project narrative, your application should consist of the number and text of each selection criterion followed by the narrative. The text of the selection criterion, if included, does not count against any page limitation.
- Place a page number at the bottom right of each page beginning with 1, and number your pages consecutively throughout your document, beginning with the Abstract and ending with the Appendices. **Note:** Do not paginate any of the forms.

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

If you submit your application in hard copy, you will follow the same general instructions but you will not attach your abstract, project narrative, or other narratives to the Grants.gov forms.

## **D-U-N-S Number Instructions**

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

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

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

## **Organizing the Application**

### Supplemental Instructions for Standard Form 424

**1. Application for Federal Assistance (SF 424):** Use the Application for Federal Assistance and the Department of Education Supplemental Information for SF 424. This is the title page of your application. Be sure that Item 11 identifies the CFDA Number for this grant competition as 84.215S and the title as Partnerships in Character Education Program.

If you submit your proposal for this grant competition via Grants.gov, please complete the SF 424 (Application for Federal Assistance) first. Grants.gov will insert the correct CFDA number and grant competition title automatically where needed.

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

Under Item 3 in the ED Supplemental Information, indicate whether the proposed project includes human subjects research activities, and if so, whether any or all of the proposed activities are exempt. For additional guidance, see instructions for ED Supplemental Information in the required forms section of this application package or call ED's protection of human subjects coordinator at (202) 260-3353.

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

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

**4. Budget Narrative:** Use the Budget Information Form (ED Form 524) provided in the required forms section of this application package to prepare a budget for the project. The budget should be shown in one column as the grant covers a single 18-month budget period.

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

The Budget Information Form and accompanying narrative should provide enough detail for ED staff to easily understand how costs were determined and if the budget is commensurate with the scope of the project. A sample budget narrative is available at

[http://www.ed.gov/admins/grants/apply/techassist/resource\\_pg8.html](http://www.ed.gov/admins/grants/apply/techassist/resource_pg8.html). If you submit your application via Grants.gov, attach this document to the **Budget Narrative Attachment Form**.

For this grant competition, you may charge indirect costs using the rate negotiated with your cognizant federal agency (e.g., ED, Department of Health and Human Services, Department of Interior). Be sure to include evidence of a federally negotiated indirect cost rate (e.g., copy of an indirect cost rate agreement with your State or by your State Educational Agency). Applicants should use the appropriate program or operations rate specified in their institutions federally approved indirect cost rate agreement in their proposed project budgets. Individuals who apply for any grant competition through ED are not allowed to budget for an indirect cost rate.

If you budget for contractual services, please note that indirect costs may be applied only to the first \$25,000 of each contract, regardless of the period covered by the contract.

If you claim indirect costs in the budget for your proposed project and do not have a negotiated rate with the federal government, you must submit the necessary paperwork to ED to receive a negotiated indirect cost rate. For more information about indirect cost rates, please visit <http://www.ed.gov/about/offices/list/ocfo/intro.html>.

**5. Appendices:** If you submit your application via Grants.gov, the **Other Attachments Form** is where you will attach proposal appendices that you may choose to submit in support of your capacity and preparation to undertake the project, such as curriculum vitae of key personnel, letters of commitment, and samples of evaluation instruments. In addition, please attach your signed program-specific assurance form to this section. The Grants.gov system will allow applicants to attach as many as 10 separate appendices in this section. If there are more than 10 appendices in your application, we strongly suggest combining several of them as one appendix and then upload them to the **Other Attachments Form**.

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

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

- Budget or program narrative information that the applicant wishes to have reviewed as part of its response to one or more scoring criteria—all such information must be included in the narrative portion of the application.

- Videotapes, CD-ROMs, photographs, or floppy disks—will not be reviewed and will not be returned.

This section **must** include the following:

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

This section **may** include the following:

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

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

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

- Assurances, Non-Construction Programs (Standard Form, 424B)
- Grants.gov Lobbying Form (formerly ED Form 80-0013)
- Disclosure of Lobbying Activities (Standard Form-LLL)

An electronic version of the Standard Form 424B and the Disclosure of Lobbying Activities (Standard Form LLL) can be downloaded at <http://www.ed.gov/fund/grant/apply/appforms/appforms.html>

An electronic version of the Grants.gov Lobbying Form can be downloaded at <http://www.ed.gov/fund/grant/apply/appforms/sfillfill.pdf>

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

## Intergovernmental Review of Federal Programs

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

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

**Note: A copy of the applicant's letter to the State Single Point of Contact must be included with the application.**

To view a list of States that participate in the intergovernmental review process, visit <http://www.whitehouse.gov/omb/grants/spoc.html>. States that are not listed have chosen not to participate in the intergovernmental review process, and therefore do not have a State Single Point of Contact. If you are located within one of these States, you are exempt from this requirement.

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

Any State process recommendation and other comments submitted by a State Single Point of Contact and any comments from State, area-wide, regional, and local entities must be received by April 27, 2009 at the following address:

The Secretary  
EO 12372-CFDA #84.215S  
U.S. Department of Education  
400 Maryland Avenue, SW  
Room 7W300  
Washington, DC 20202-0124

Recommendations or comments may be hand-delivered until 4:30 p.m. (Washington, DC Time) on April 27, 2009. Please do not send applications to this address.

## General Education Provisions Act (GEPA) Section 427

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

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its federally-assisted program for students, teachers, and other program beneficiaries with special needs.

This section allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation that you may address: *gender, race, national origin, color, disability, or age*. Based on local circumstances, you can determine whether these or other barriers may prevent your students, teachers, or others from equitable access or participation. Your description need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

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

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

### Examples

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

1. An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.
2. An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audiotape or in Braille for students who are blind.



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

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

### **Paperwork Reduction Act**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for the information collection is OMB #1890-0009. The time required to complete the information collection is estimated to average 20 hours per response, including the time to review instructions, search existing data resources, gather and maintain the data needed, and complete and review the information collection.

If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, DC 20202-4651.

**If you have comments or concerns regarding the status of your individual submission of this form, write directly to:**

U.S. Department of Education  
Office of Safe and Drug-Free Schools  
400 Maryland Avenue, SW  
Room 10102, Potomac Center Plaza  
Washington, Dc 20202

## Instructions for Standard Forms

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

## Instructions for Application for Federal Assistance (Standard Form 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 preapplications 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:
1.	<b>Type of Submission:</b> (Required): Select one type of submission in accordance with agency instructions. <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>	10.	<b>Name Of Federal Agency:</b> (Required) Enter the name of the Federal agency from which assistance is being requested with this application.
		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.
2.	<b>Type of Application: (Required) Select one type of application in accordance with agency instructions.</b> <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                              C. Increase Duration      D. Decrease Duration                              E. Other (specify)                         </li> </ul>	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.
		13.	<b>Competition Identification Number/Title:</b> Enter the Competition Identification Number and title of the competition under which assistance is requested, if applicable.
		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.
3.	<b>Date Received:</b> Leave this field blank. This date will be assigned by the Federal agency.	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.
4.	<b>Applicant Identifier:</b> Enter the entity identifier assigned by the Federal agency, if any, or applicant's control number, if applicable.		
5a.	<b>Federal Entity Identifier:</b> Enter the number assigned to your organization by the Federal Agency, if any.	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. <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>
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.		
6.	<b>Date Received by State:</b> Leave this field blank. This date will be assigned by the State, if applicable.		
7.	<b>State Application Identifier:</b> Leave this field blank. This identifier will be assigned by the State, if applicable.		
8.	<b>Applicant Information:</b> Enter the following in accordance with agency instructions:		

	<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.		17.	<b>Proposed Project Start and End Dates:</b> (Required) Enter the proposed start date and end date of the project.
	<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.		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.
	<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.			
	<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).		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
	<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.			
	<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.		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.
9.	<b>Type of Applicant: (Required)</b> <b>Select up to three applicant type(s) in accordance with agency instructions.</b>		21.	<b>Authorized Representative:</b> (Required) To be signed and dated by the authorized representative of the applicant organization. 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.)
	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 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	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 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 Standard Form 424

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

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

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

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

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

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

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

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

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

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

II. ***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 Standard Form 424

### Definitions:

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

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

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

### PROTECTION OF HUMAN SUBJECTS IN RESEARCH

#### I. Definitions and Exemptions

##### A. Definitions.

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

##### —Research

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

##### —Human Subject

The regulations define human subject as "a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information." (1) *If an activity involves obtaining information about a living person by manipulating that person or that person's environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met.* (2) *If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is*

*met.* [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

##### B. Exemptions.

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

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

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. ***If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.*** [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

## II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives

If the applicant marked "Yes" for Item 3 of Department of Education Supplemental Information for SF 424, the applicant must provide a human subjects "exempt research" or "nonexempt research" narrative. Insert the narrative(s) in the space provided. If you have multiple projects and need to provide more than one narrative, be sure to label each set of responses as to the project they address.

### A. Exempt Research Narrative.

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

### B. Nonexempt Research Narrative.

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

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

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

research purposes or whether use will be made of existing specimens, records, or data.

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

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

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

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

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

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

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

## **Instructions for Department of Education Budget Information – Non-Construction Programs (ED Form 524)**

### General Instructions

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

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

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

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

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

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

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

#### Indirect Cost Information:

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

### Section B - Budget Summary Non-Federal Funds

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

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

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

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

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



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

1. Provide an itemized budget breakdown, and justification by project year, for each budget category listed in Sections A and B. For grant projects that will be divided into two or more separately budgeted major activities or sub-projects, show for each budget category of a project year the breakdown of the specific expenses attributable to each sub-project or activity.
2. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
3. If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. Specify the estimated amount of the base to which the indirect cost rate is applied and the total indirect expense. Depending on the grant program to which you are applying and/or your approved Indirect Cost Rate Agreement, some direct cost budget categories in your grant application budget may not be included in the base and multiplied by your indirect cost rate. For example, you must multiply the indirect cost rates of "Training grants" (34 CFR 75.562) and grants under programs with "Supplement not Supplant" requirements ("Restricted Rate" programs) by a "modified total direct cost" (MTDC) base (34 CFR 75.563 or 76.563). Please indicate which costs are included and which costs are excluded from the base to which the indirect cost rate is applied.

When calculating indirect costs (line 10) for "Training grants" or grants under "Restricted Rate" programs, you must refer to the information and examples on ED's website at:  
<http://www.ed.gov/fund/grant/apply/appforms/appforms.html>.

You may also contact (202) 377-3838 for additional information regarding calculating indirect cost rates or general indirect cost rate information.

4. Provide other explanations or comments you deem necessary.

#### Paperwork Burden Statement

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

## Instructions for Disclosure of Lobbying Activities (Standard Form LLL)

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 follow-up 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) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.
  - (b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
- 11) The certifying official shall sign and date the form, print his/her name, title, and telephone number.

---

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

# Application Preparation Checklist

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

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

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

Deadline Date: **February 24, 2009**. See Sections I and IV of this application package for complete application submission procedures and general application instructions and information.

---

## **EACH COPY OF THE APPLICATION MUST INCLUDE THE FOLLOWING:**

- Application for Federal Assistance (SF Form 424) - Page 1
- Department of Education Supplemental Information Form for the SF 424
- Project Abstract - Page 2 (one page maximum)
- Project Narrative (up to 25 pages double-spaced)
- All applications must include the required forms, assurances, and certifications, including:
  - Budget Information Form (ED Form 524) and detailed budget narrative
  - Assurances, Non-Construction Programs (SF 424B)
  - Grants.gov Lobbying Form (ED Form 80-0013)
  - Disclosure of Lobbying Activities (Standard Form–LLL)
- Narrative response to GEPA 427
- Survey on Ensuring Equal Opportunity for Applicants (private, nonprofit organizations only)
- Copy of letter to State Single Point of Contact
- Proof of federally negotiated indirect cost rate (if you are claiming indirect costs)
- Resumes of key personnel