

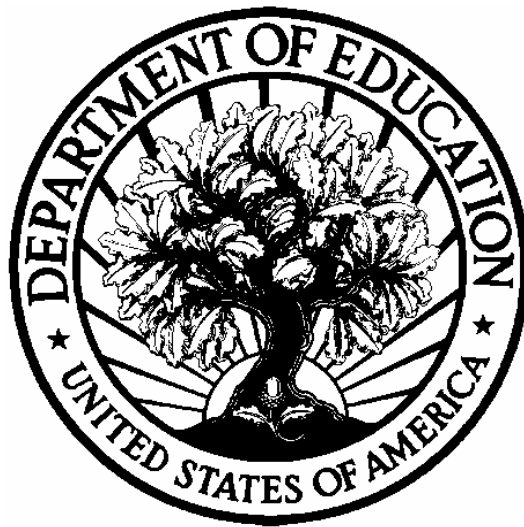
# Mentoring Programs

FY 2007 Information and Application Procedures

Application Deadline: May 23, 2007

CFDA #84.184B

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Frequently Asked Questions: Page 26

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

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

OMB #1865-0013 Expiration Date: 5/31/2007

## Table of Contents

<b>I. Application Submission Procedures</b>	<b>5</b>
Application Transmittal Instructions	
Grants.gov Submission Procedures and Tips for Applicants	
<b>II. Program Background Information</b>	<b>10</b>
General Information	
The Government Performance and Results Act (GPRA)	
Tips for Preparing and Submitting an Application	
Program Background	
Evaluation	
Funding Priority	
Requirements	
Selection Criteria	
Frequently Asked Questions	
<b>III. Legal and Regulatory Documents</b>	<b>29</b>
Notice Inviting Applications	
Authorizing Legislation	
<b>IV. General Application Instructions</b>	<b>42</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	



## **UNITED STATES DEPARTMENT OF EDUCATION**

Office of Safe and Drug-Free Schools

Assistant Deputy Secretary

April 2007

Dear Colleague:

Thank you for your interest in the Mentoring Programs grant (CFDA 84.184B) administered by the U.S. Department of Education's Office of Safe and Drug-Free Schools.

Unfortunately, too many children are growing up without the guidance and support of a caring, responsible adult. Research shows that mentoring decreases the likelihood that young people will engage in harmful behaviors, while improving the chances that they will attend school regularly and improve academically.

The Mentoring Grant program supports the President's vision for education, service, and citizenship by helping to create safe and strong schools where students can focus their attention on mastering academic content and providing mentors for children with the greatest need. By being a positive role model, a mentor can help motivate a child to learn and achieve.

This application package contains the instructions and forms needed to apply for a Mentoring Programs grant. Please be sure that your application complies with all of the requirements specified for this program.

We look forward to receiving your application.

Sincerely,

/s/

Deborah A. Price

# I. Application Submission Procedures

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## Application Transmittal Instructions

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

**Attention Electronic Applicants:** Please note that you must follow the application procedures as described in the Notice Inviting Applications for this grant competition, published in the *Federal Register* on May 23, 2007. Some programs may require electronic submission of applications and those programs will have specific requirements and waiver instructions in the *Federal Register* notice.

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

## Applications Submitted Electronically

You must submit your grant application through the Internet using the software provided on the Grants.gov web site (<http://www.grants.gov>) by 4:30 p.m. (Washington, DC time) on the application deadline date. If you submit your application through the Internet via the 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 May 23, 2007, the section "Grants.gov Submission Procedures and Tips for Applicants" in this application package, and the Grants.gov web site (<http://www.grants.gov>). You may access the electronic application for the Mentoring Program at <http://www.ed.gov/programs/dvpmentoring/index.html> 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. To help expedite our review of your application, we would appreciate your voluntarily including an additional copy of your application. Please mail copies to:

U.S. Department of Education  
Application Control Center  
Attention: CFDA #84.184B  
400 Maryland Avenue, SW  
Washington, DC 20202-4260

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

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

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

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

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

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

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

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 – Stop 4260  
Attention: CFDA #84.184B  
7100 Old Landover Road  
Landover, MD 20785-1506

### **Applications Delivered by Hand**

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

U.S. Department of Education  
Application Control Center  
Attention: CFDA #84.184B  
550 12<sup>th</sup> Street, SW, PCP – Room 7041  
Washington, DC 20202-4260

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

## **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 (ED).

1. **Register Early** – Grants.gov registration may take five or more business days to complete. You may begin working on your application while completing the registration process, but you cannot submit an application until all of the registration steps are complete. For detailed information on the registration steps, go to [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 and time stamp on your application and then process it after it is fully uploaded. The time it takes to upload an application will vary depending on a number of factors including the size of the application and the speed of your Internet connection, and the time it takes Grants.gov to process the application will vary as well. If Grants.gov rejects your application (see step 3 below), you will need to resubmit successfully before 4:30 p.m. (Washington, DC time) on the deadline date. Note: To submit successfully, you must provide the D-U-N-S Number on your application that was used when your organization registered with the CCR.
3. **Verify Submission is OK** – You will want to verify that Grants.gov and ED received your Grants.gov submission timely and that it was validated successfully. To see the date and time your application was received, log in to Grants.gov and click on the Track My Application link. For a successful submission, the date and time received should be earlier than 4:30 p.m. (Washington, DC time) on the deadline date, and the application status should be Validated, Received by Agency, or Agency Tracking Number Assigned.

If the date and time received is later than 4:30 p.m. (Washington, D.C. time) on the closing date, your application is late. If your application has a status of “Received” it is still awaiting validation by Grants.gov. Once validation is complete, the status will either change to “Validated” or “Rejected with Errors.” If the status is “Rejected with Errors,” your application has not been received successfully. Some of the reasons Grants.gov may reject an application can be found on the Grants.gov site ([http://www.grants.gov/help/submit\\_application\\_faqs.jsp](http://www.grants.gov/help/submit_application_faqs.jsp) - 10). For more detailed information on why an application may be rejected, please review the Application Error Tips document (<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 deadline date, contact Grants.gov Customer Support at (800) 518-4726 or use the customer support available on the web site ([http://www.grants.gov/applicants/applicant\\_help.jsp](http://www.grants.gov/applicants/applicant_help.jsp)).

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

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

## Helpful Hints When Working with Grants.gov

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

Please go to [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, refer to the Grants.gov Submit Application FAQs found at [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. Please see the *Federal Register* notice for detailed instructions.

## Macintosh 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)).

To view the white paper for Macintosh users published by Pure Edge, go to <http://www.grants.gov/section678/PureEdgeSupportforMacintosh.pdf> 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 the instructions in the *Federal Register* notice to obtain an exception to the electronic submission requirement no later than two weeks before the application deadline date. See the *Federal Register* notice for detailed instructions.



## II. Program Background Information

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### General Information

#### Eligibility

Eligible applicants under this grant competition are: (1) local educational agencies (LEAs); (2) nonprofit, community-based organizations (CBOs), which may include faith-based organizations; and (3) a partnership between an LEA and a nonprofit CBO.

Note: The Secretary is limiting eligibility under this grant competition to applicants that do not currently have an active grant under this 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 (71 FR 70369).

#### Program Purpose

The Mentoring Program provides assistance to promote mentoring programs for children with greatest need that: (1) assist these children in receiving support and guidance from a mentor; (2) improve the academic performance of the children; (3) improve interpersonal relationships between the children and their peers, teachers, other adults, and family members; (4) reduce the dropout rate of the children; and (5) reduce juvenile delinquency and involvement in gangs by the children.

For the purpose of this competition, the terms used in this application have the following definitions:

1. The term "child with greatest need" means a child who is at risk of educational failure, dropping out of school, or involvement in criminal or delinquent activities, or who lacks strong positive role models.
2. The term "community-based organization" means a public or private nonprofit organization of demonstrated effectiveness that is representative of a community or significant segments of a community and provides educational or related services to individuals in the community.
3. The term "core academic subjects" means English, reading or language arts, mathematics, science, foreign languages, civics and government, economics, arts, history, and geography.
4. The term "mentor" means a responsible adult, a postsecondary school student, or a secondary school student who works with a child to (a) provide a positive role model for the child; (b) establish a supportive relationship with the child; and (c) provide the child with academic assistance and exposure to new experiences and examples of opportunity that enhance the ability of the child to become a responsible adult.

5. The term “non-profit” refers to a school, agency, organization, or institution owned and operated by one or more nonprofit corporations or associations, no part of the net earnings of which inures, or may lawfully inure, to the benefit of any private shareholder or individual.
6. The term “school-based mentoring” means mentoring activities that are closely coordinated with schools, including the involvement of teachers, counselors, and other school staff in the identification and referral of students, and that are focused on improved academic achievement, reduced student referrals for disciplinary reasons, increased bonding to school, and positive youth development.

### **Authority**

This grant program is authorized under Title IV, Part A, Subpart 2, Section 4130 of the Elementary and Secondary Education Act (ESEA) of 1965, as amended by the No Child Left Behind Act of 2001.

### **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 in this application package). This notice is available on the Internet at the following addresses: <http://www.ed.gov/legislation/FedRegister> and [www.gpoaccess.gov/nara](http://www.gpoaccess.gov/nara).

### **Notice of Nondiscrimination**

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

### **Resources**

Any questions related to this program should be directed to Bryan Williams at (202) 260-2391, or Earl Myers, Jr. at (202) 708-8846, of the Office of Safe and Drug-Free Schools (OSDFS). The OSDFS web site is located at <http://www.ed.gov/osdfs>.

### **Grant Awards and Project Period**

Projects will be funded for up to 36 months (three budget periods of 12 months each). Projects will be funded for one year with an option for two additional years, contingent upon the demonstration of substantial progress each year toward meeting project goals and objectives and the availability of future appropriations.

Applicants requesting funding for more than one year must submit ED Form 524 and a detailed budget narrative for each project year. Funds will not be awarded if this information is incomplete. Projects will be funded from \$100,000 to \$200,000 per project year, and an estimated 198 awards will be made.

We will take into consideration the geographic distribution of grants, including urban and rural areas, in addition to the rank order of applicants. To the extent practicable, we will select not less than one grant recipient from each state for which there is an eligible entity that submits an application of sufficient quality. Contingent upon the availability of funds and the quality of applications, we may make additional awards in Fiscal Year (FY) 2008 and future years from the rank-ordered list of unfunded applications from this competition.

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

### **Travel Budget**

All applicants must budget for the project director to attend a project director's meeting (one day) during the first year of the grant. In addition, applicants must plan for the project director and at least one other staff person to attend the OSDFS National Conference (three days) held in Washington, DC. Applicants should also budget for appropriate staff to attend one technical assistance meeting (two days) each year. Technical assistance will cover elements related to effective practice, including proper screening of prospective mentors, training, and planning and implementing a rigorous evaluation. Grant funds may be used to pay for all costs associated with attendance at these meetings including transportation, hotel, and per diem.

### **E-mail Addresses**

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

### **Time Commitment**

Applicants are requested to provide the percent of the Project Director's time that will be dedicated to the grant project.

### **Review of Applications and Notification of Award**

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

### **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 program may be subject to protection of human subjects research requirements. If you have any questions about your responsibilities under these requirements, please contact ED's protection of human subjects coordinator at (202) 245-6153.

### **Contracting for Services**

Generally, all procurement transactions must be conducted in a manner providing full and open competition, consistent with the standards in Section 80.36 of 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, available on the Internet at <http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html>.

Because grantees must use appropriate procurement procedures to select contractors, applicants should not include information in their grant applications about specific contractors that will be used to provide services for the proposed project.

Consistent with the limitations in Section 75.515 of EDGAR concerning the use of consultants, contractors or consultants may be used to help prepare grant applications, but their participation in the application development process should not be presumed to result in the receipt of a contract for work under the project if a grant is awarded. Applicants may include a sum for grant writing costs in their proposed budget provided that the amount requested is necessary and reasonable.

### **Expectations of Grantees**

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

## The Government Performance and Results Act (GPRA)

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

The Secretary has established the following key performance measures for assessing the effectiveness of the Mentoring Programs grant program:

(1) The percentage of student/mentor matches that are sustained for a period of twelve months will increase by:

- 0% by 2008;
- 25% by 2009;
- 50% by 2010;

(2) The percentage of mentored students who demonstrate improvement in core academic subjects as measured by grade point average after 12 months will increase:

- 5% by 2008;
- 15% by 2009;
- 30% by 2010;

(3) The percentage of mentored students whose number of unexcused absences from school will decrease:

- 10% by 2008;
- 30% by 2009;
- 40% by 2010.

Grantees funded through this program are expected to collect data on their respective performance measures and report that data to the Department in their performance report ([http://www.ed.gov/fund/grant/apply/appforms/ed524b\\_coverfill.pdf](http://www.ed.gov/fund/grant/apply/appforms/ed524b_coverfill.pdf) and [http://www.ed.gov/fund/grant/apply/appforms/ed524b\\_statusfill.pdf](http://www.ed.gov/fund/grant/apply/appforms/ed524b_statusfill.pdf)).

Please note that each applicant must provide an assurance that it will: 1) establish clear, measurable performance goals, and 2) collect and report to the Department data related to the established GPRA performance indicators for the Mentoring Programs grant competition. We will reject any application that does not contain these assurances.

## Tips for Preparing and Submitting an Application

### A. Before You Begin

- Read this application package carefully and make sure you follow all of the instructions.
- Use the tools we have provided to help you including:
  - Frequently Asked Questions section in this application package;
  - Resources related to this specific grant competition on our web site at <http://www.ed.gov/programs/dvpmentoring/index.html>;
  - 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 managers for this grant competition.

### B. Preparing Your Application

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

### C. Submitting Your Application

- Make sure all required forms are included and signed by an authorized representative of your organization.
- Transmit your application by the deadline date. If you submit your application electronically, you must use the Grants.gov web site. If you use the U.S. Postal Service, make sure you have a legible postmark date. If you use an overnight carrier, get a receipt.

### D. What Happens Next?

- In approximately two weeks (depending on the volume of applications that we receive), you should receive a postcard from ED's Application Control Center acknowledging receipt of your application and giving you its assigned number. Please refer to this number if you need to contact us about your application.
- OSDFS staff members screen each application to ensure that all program eligibility requirements are met and all forms are included.
- Your application will be assigned to a three-person panel of independent reviewers and will receive a score from 0 to 105 depending how well it addresses the selection criteria and the competitive preference.
- A Grant Award Notification will be sent to applicants whose proposals are funded. Unsuccessful applicants will receive a notification letter. All applicants will receive information on how to get access to peer reviewers' comments. Please be sure your application contains valid e-mail addresses.

## **Program Background**

Mentoring is a structured, sustained, developmental relationship between a young person and a caring individual, with the goal of offering support, building character, and promoting healthy youth development. By being a positive role model, a mentor can help motivate a child to learn and achieve.

There is encouraging evidence that such positive relationships can provide several benefits for youth and have great influence on their lives. In a 1995 study of mentoring, Public/Private Ventures (P/PV) conducted an experimental evaluation of eight mentoring programs. The study considered six areas that mentoring might affect -- social activities, academic performance, attitudes and behavior, relationships with others, self-concept and social/cultural enrichment. P/PV found that mentored youth were less likely to engage in violence and drug use and more likely to attend school. Students with mentors also reported greater confidence in their ability to perform academically and healthier social relationships (Tierney and Grossman, 1995).

School-based mentoring is among the most popular and promising of these approaches. School-based programs are typically coordinated in close consultation with schools, with administrators, teachers, counselors, and other school staff assisting in the identification and selection of participants.

This school-based approach has several benefits. First and foremost, it can help foster academic improvement by linking the mentor to the school setting and making education an important component of the mentoring relationship. Teachers and other school staff can also assist with program oversight and supervision. In addition, as school personnel instead of parents or guardians refer youth, these programs can reach a ready population of youth who may be experiencing difficulties at home and whose parents are not able to involve them in mentoring.

Because school-based programs often require a less time-intensive commitment than most community-based programs, school-based programs can recruit not only the typical volunteer, but also people who may not have as much free time as those making a traditional mentoring commitment.

## **Characteristics of Effective Mentoring Programs**

As with any prevention strategy, mentoring is most effective when programs are based on proven strategies. At a minimum, a well-designed mentoring program should provide the following:

- Clear, measurable performance goals and objectives;
- Identification of the youth to be served in the program and who will be recruited as mentors;
- Expectations for the frequency of contact and terms of the relationship between mentors and youth, and established criteria for matches;
- Screening for all volunteers, including at a minimum reference checks, criminal records checks, and other checks as appropriate (e.g. interviews, employment records, character references);
- Ongoing training and support for all mentors and staff;

- Structured activities for mentors and youth;
- Established policies and procedures for the management of all program operations, including administration, supervision, and monitoring of mentoring relationships; and
- A determination of what data will be collected in the program, and an evaluation design that will determine its effectiveness.

## **Evaluation**

A strong evaluation plan should be included in the application narrative and should be used, as appropriate, to shape the development of the project from the beginning of the grant period. The plan should include benchmarks to monitor progress toward specific project objectives and outcome measures, including the GPRA performance measures. More specifically, the plan should identify the individual and/or organization that has agreed to serve as evaluator for the project and describe the qualifications of that evaluator.

The plan should describe the evaluation design, indicating: (1) what types of data will be collected; (2) when various types of data will be collected; (3) what methods will be used; (4) what instruments will be developed and when; (5) how the data will be analyzed; (6) when reports of results and outcomes will be available; and (7) how the applicant will use the information collected through the evaluation to monitor progress of the funded project and to provide accountability information both about success at the initial site and effective strategies for replication in other settings. Applicants are encouraged to devote an appropriate level of resources to project evaluation.

Successful applicants will be expected to report annually on the progress of the funded project, including progress toward meeting the performance measures established for this competition.

## **Characteristics of Strong Evaluation Plans**

- Designed and implemented in a manner that is consistent with the goals, objectives, and performance indicators of the proposed program.
- Provide needed levels of autonomy and independence to collect, analyze, and report on data.
- Include both process and outcome measures that:
  - Describe how the program was implemented and whether goals and objectives were met.
  - Show if and to what extent the mentoring program is producing its intended effects with the student population served.
- Provide data that can be used to make adjustments in service delivery and improve the program.
- Provide for the evaluator to serve in an advisory capacity to program staff and assist with planning, implementation, and sustainability activities.
- Allow for the accurate and timely collection of GPRA data.



## **Funding Priority**

### **Absolute Priority**

This priority supports projects that address the academic and social needs of children with the greatest need through school-based mentoring programs and activities and provide these students with mentors. These programs and activities must serve children with the greatest need in one or more grades 4 through 8 living in rural areas, high-crime areas, or troubled home environments, or who attend schools with violence problems.

For FY 2007 and any subsequent year in which we make awards on the basis of the list of unfunded applications from this competition, this priority is an absolute priority. Under 34 CFR 75.105(c)(3) we consider only applications that meet this priority.

### **Competitive Preference Priority**

We will award five additional points to a consortium of eligible applicants that includes either:

(a) at least one local educational agency (LEA) and at least one community-based organization (CBO) that is not a school and that provides services to youth and families in the community; **or**

(b) at least one private school that qualifies as a nonprofit CBO and at least one other CBO that is not a school, and that provides services to youth and families in the community.

The consortium must designate one member of the group to apply for the grant, unless the consortium is itself eligible as a partnership between a LEA and a nonprofit CBO. To receive this competitive preference, the applicant must clearly identify the agencies that comprise the consortium and must include a detailed plan of their working relationship and of the activities that each member will perform, including a project budget that reflects the contractual disbursements to the members of the consortium. For the purpose of this priority, a "consortium" means a group application in accordance with the provisions of 34 CFR 75.127 through 75.129.

A consortium must be comprised of eligible entities (LEAs and nonprofit CBOs), and a partnership agreement, signed by the authorized representative for each member, must be included in your application to receive competitive preference points.

## **Requirements**

### **A. Statutory Requirements**

To be eligible for funding, an applicant must propose school-based mentoring programs and activities to serve children with the greatest need in the 4<sup>th</sup> through 8<sup>th</sup> grades living in rural areas, high-crime areas, or troubled home environments, or who attend schools with violence problems. Projects funded under this program must:

1. Link children with mentors who —

(i) Have received training and support in mentoring;

- (ii) Have been screened using appropriate reference checks, child and domestic abuse record checks, and criminal background checks; and
- (iii) Are interested in working with children with greatest need;

2. Be designed to achieve one or more of the following goals with respect to children with greatest need:

- (i) Provide general guidance;
- (ii) Promote personal and social responsibility;
- (iii) Increase participation in, and enhance the ability to benefit from, elementary and secondary education;
- (iv) Discourage illegal use of drugs and alcohol, violence, use of dangerous weapons, promiscuous behavior, and other criminal, harmful, or potentially harmful activity;
- (v) Encourage participation in community service and community activities;
- (vi) Encourage the setting of goals and planning for the future, including encouragement of graduation from secondary school and planning for postsecondary education or training;
- (vii) Discourage involvement in gangs.

Grant funds must be used for activities that establish or implement a mentoring program, which may include:

- Hiring of mentoring coordinators and support staff;
- Providing for the professional development of mentoring coordinators and support staff;
- Recruitment, screening, and training of mentors;
- Reimbursement to schools, if appropriate, for the use of school materials or supplies in carrying out the mentoring program;
- Dissemination of outreach materials; and
- Evaluation of the mentoring program using scientifically based methods.

## **Screening of Prospective Volunteers**

All prospective mentor volunteers who will have contact with youth must be appropriately screened. Careful screening helps to ensure the safety of youth involved in the program and improves the overall quality of the program. Each proposed project must have a written screening policy that will be carefully implemented and consistently applied to all mentors. Unless otherwise prohibited by statute or regulation, the program should determine, on a case-by-case basis, whether background information obtained from the screening should bar an individual from being a mentor. An applicant may be disqualified to protect youth from possible physical, emotional, psychological, or sexual abuse. Failure by the proposed mentor to provide requested information should result in automatic disqualification.

Under this program, a minimally acceptable screening policy must use appropriate reference checks, child and domestic abuse record checks, and criminal background checks. The results of the criminal history records check should be documented and kept

on file at the project site. This information should be available in written form for each mentor prior to any unsupervised contact with youth. The screening policy should also include the criteria for dismissing mentors.

For further guidance on establishing policies for screening mentors, please see the U.S. Department of Justice, Office of Juvenile Justice and Delinquency Prevention's *Guidelines for the Screening of Persons Working With Children, the Elderly, and Individuals With Disabilities in Need of Support* (Davis et al., 1998). This publication offers practical steps that schools, communities, and other service organizations can take to assess their screening needs and to determine whom to screen and how.

Please note that this information is included only to provide suggestions to applicants. The full document can be downloaded at the following address on the Internet: <http://www.ncjrs.org/pdffiles/167248.pdf>. It is also available by contacting the Juvenile Justice Clearinghouse at (800) 638-8736.

### **SafetyNET Pilot Screening Program**

In March 2003, Congress passed the PROTECT Act, which included a pilot program for conducting criminal background checks. Through this pilot program, local mentoring programs across the country will be able to access Federal Bureau of Investigations (FBI) fingerprint-based background checks on new mentoring volunteers. For many organizations, this pilot will enable them to access criminal records outside of their own state for the first time.

The pilot for mentoring organizations – called SafetyNET – was launched on August 15, 2003, and will run until June 2008. During this time, mentoring organizations will be able to submit their background checks through the National Mentoring Partnership for a flat fee of \$18 per volunteer.

Because each state has a different system for obtaining criminal background checks, SafetyNET may not be right for every mentoring organization. Programs in some states may find that they have a better or less expensive system in place for conducting FBI criminal record checks. In addition, some states may have specific laws or regulations requiring mentoring organizations to perform such background checks in a certain way. Each program will need to assess its state's current procedures and decide whether or not to take part in the pilot program.

Please visit <http://www.mentoring.org/safetynet>, or contact the National Mentoring Partnership at (703) 224-2200 for more information.

## **B. Additional Requirements**

### **Participation by Private School children and Teachers**

LEAs are required to provide for the equitable participation of private school children, their teachers, and other educational personnel in private schools located in areas served by the grant recipient. In order to ensure that grant program activities address the needs of private school children, the LEA must engage in timely and meaningful consultation with private school officials during the design and development of the program. This consultation must take place before any decision is made that affects the opportunities of eligible private school children, teachers, and other educational personnel to participate.

### **Maintenance of Effort**

LEAs may receive a grant only if the state educational agency finds that the combined fiscal effort per student or the aggregate expenditures of the LEA and the State with respect to the provision of free public education by the LEA for the preceding fiscal were not less than 90 percent of the combined effort or aggregate expenditures for the second preceding fiscal year.

### **Application requirements**

Applicants must provide the following:

1. Information on the children expected to be served by the mentoring program, including the number of youth to be served and the magnitude of the need for services;
2. A description of the system that will be used to match children with mentors, based on the needs of the children;
3. Information regarding how mentors and children will be recruited to the mentoring program;
4. Information regarding how prospective mentors will be screened, including reference checks, child and domestic abuse records, and other criminal background checks;
5. Information on the training and support that will be provided to mentors; and
6. Information on the system that will be used to manage program operations, including administration and ongoing support, supervision and monitoring of mentoring relationships.

## **C. Eligibility Requirements for All Applicants**

To be eligible for funding, an applicant must provide an assurance that it will:

1. Establish clear, measurable performance goals; and
2. Collect and report to ED data related to the established GPRA performance indicators for the Mentoring Programs grant competition.

We will reject any application that does not contain these assurances.

## **D. Eligibility Requirements for CBOs**

To be eligible for funding, each CBO must include in its application an assurance that:

1. It is an eligible applicant under the definitions provided in this application package;
2. Timely and meaningful consultation with a LEA or private school has taken place during the design and/or development of the proposed program;
3. LEA or private school staff will participate in the identification and referral of students to the CBO's proposed program; and
4. The LEA or private school will participate in the collection of data related to the established GPRA performance indicators for the Mentoring Programs grant competition.

## **E. Assurances**

Applicants must provide the following program specific assurances, which are included with this application package. If you are a LEA, please use the assurance form for LEAs. If you are a CBO, please use the assurance form for CBOs. **To be eligible for funding, you must submit the appropriate program specific assurance form for your organization with your application.**

1. An assurance that no mentor will be assigned to mentor so many children that the assignment will undermine the mentor's ability to be an effective mentor or the mentor's ability to establish a close relationship (a one-to-one relationship, where practicable) with each mentored child;
2. An assurance that the mentoring program will provide children with a variety of experiences and support, including:
  - (i) Emotional support;
  - (ii) Academic assistance; and
  - (iii) Exposure to experiences that the children might not otherwise encounter on their own;
3. An assurance that the mentoring program will be monitored to ensure that each child assigned a mentor benefits from that assignment and that the child will be assigned a new mentor if the relationship between the original mentor and the child is not beneficial to the child.

**If you are submitting an electronic application, you must print out the form below, complete, and either upload the signed form to the Other Attachments Form in Grants.gov or fax it (along with the ED 424 and other forms) to the Office of Safe and Drug-Free Schools at (202) 205-5722 within 3 working days of submitting your electronic application.**

## **Prohibited Uses of Funds**

Grant funds may not be used to (1) directly compensate mentors; (2) obtain educational or other materials or equipment that would otherwise be used in the ordinary course of the grantee's operations; or (3) support litigation of any kind.

## **Selection Criteria**

The following selection criteria will be used to evaluate applications under this competition. The maximum score for all of these criteria is 100 points. The maximum score for each criterion is indicated in parentheses. The maximum total of points an application may earn is 105 (including the five point competitive preference priority).

### **1. Need for the Project (10 points)**

In determining the need for the proposed project, the following factor is considered:

The magnitude and severity of problems that will be addressed by the project, including the number of youth to be served who: (i) are at risk of educational failure or dropping out of school, (ii) are involved in criminal, delinquent, or gang activities, or (iii) lack strong, positive role models. (10 points)

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

In determining the quality of the design of the proposed project, the following factors are considered:

(a) The degree to which the applicant proposes a high-quality mentoring project that provides for, but is not limited to: (1) a low student-to-mentor ratio (one-to-one, where practicable), (2) frequent contacts between mentors and the children they mentor; and (3) mentoring relationships of 12 months or more duration. (10 points)

(b) The quality of mentoring services that will be provided, including the quality of services designed to improve academic achievement in core academic subjects, strengthen school bonding (i.e., positive commitment and attachment to school), and promote pro-social norms and behaviors, and the resources, if any, that the eligible entity will dedicate to providing children with opportunities for job training or postsecondary education. (5 points)

(c) The capability of each eligible entity to implement its mentoring program effectively, and the degree to which parents, teachers, community-based organizations, and the local community have participated, or will participate, in the design and implementation of the proposed mentoring project. (5 points)

(d) The extent to which the design of the proposed project includes a thorough, high-quality review of the relevant literature, including new research, a high-quality plan for project implementation, and the use of appropriate methodological tools to ensure successful achievement of project objectives. (10 points)

### **3. Quality of the Management Plan (35 points)**

In determining the quality of the management plan, the following factors are considered:

(a) The quality of the system that will be used to manage and monitor mentor reference checks, including, at a minimum, child and domestic abuse record checks and criminal background checks. (10 points)

(b) The quality of the training that will be provided to mentors, including orientation, follow-up, and support of each match between mentor and child. (10 points)

(c) The quality of the applicant's plan to recruit and retain mentors, including outreach, criteria for recruiting mentors, terminating unsuccessful matches, and replacing mentors, if necessary. (5 points)

(d) The extent to which the applicant provides a comprehensive plan to match mentors with students, based on the needs of the children, including criteria for matches, and the extent to which teachers, counselors, and other school staff are involved. (5 points)

(e) The extent to which the applicant demonstrates the ability to carefully monitor and support the mentoring matches, including terminating matches when necessary and reassigning students to new mentors, and the degree to which the mentoring program will continue to serve children from the 9<sup>th</sup> grade through graduation from secondary school, as needed. (5 points)

#### **4. Quality of Project Personnel (10 points)**

In determining the quality of project personnel, the Secretary considers:

The qualifications and relevant training of key staff, including time commitments, and experience in mentoring services and case management. (10 points)

#### **5. Quality of the Project Evaluation (15 points)**

In determining the quality of the project evaluation, the following factors are considered:

(a) The extent to which the methods of evaluation will provide performance feedback to the Department, grantees, and mentors, and permit periodic assessment of progress toward achieving intended outcomes, including the GPRA performance measures for the Mentoring Program grant competition. (5 points)

(b) The extent to which the methods of evaluation include the use of objective performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data on the GPRA performance measures for the Mentoring Program grant competition. (10 points)

## Frequently Asked Questions

***1. If we currently have a Mentoring Program grant, can we be a part of a consortium and apply for a new grant?***

No. To be eligible for funding, each member of a consortium must meet all eligibility requirements. See 34 CFR 75.127(a) (eligible parties may apply as a group) and 34 CFR 75.128(b)(2) (each member of the group is bound to every statement and assurance made in the application).

***2. Is the funding amount per year or does it cover all three years?***

Under this program we estimate that the funding amount will range from \$100,000 to \$200,000 per project year. Projects will be funded for up to 36 months, contingent upon the demonstration of substantial progress each year toward meeting project goals and objectives and the availability of future funds.

***3. May an applicant request a funding amount under or above the funding range?***

The funding range for this program is estimated to be \$100,000 to \$200,000. However, applicants are allowed to ask for amounts that are either lesser or greater than this range, provided there is sufficient justification (please note that requesting a lesser amount does not guarantee an award).

***4. Is there an in-kind match requirement for this program?***

No. There is no in-kind match for this program.

***5. My program uses peer mentors - may high school students serve as mentors?***

Yes. Secondary school students may serve as mentors under this program.

***6. What is the ideal mentor/student ratio?***

The ideal mentor/student relationship is a one-to-one relationship, where practicable. However it is not a requirement for funding under this program.

***7. If I am a community-based organization, is it required to locate the program at a school site?***

No. While program activities must be coordinated in close collaboration with a school, applicants are allowed flexibility in determining the most appropriation location.

***8. The application states that grantees must provide an assurance that the program will expose children to experiences that they might not otherwise encounter on their own. Can I take my students to a fun event like a pro basketball game?***

All activities must be educational and/or cultural in nature, not solely for entertainment or diversionary purposes. Using grant funds for activities such as award ceremonies,



sporting events, picnics, and camping trips are considered to be recreational events and is strictly prohibited.

***9. If I am not allowed to use grant funds to pay for a sporting event, may I purchase games or other recreation equipment?***

No. Grant funds may not be used to purchase games, game equipment or game software. Any proposed activity must be strictly educational and/or cultural in nature, not solely for entertainment or diversionary purposes.

***10. May I use grant funds to pay for personal mentor/student outings or to purchase student incentives?***

Grant funds may not be used to pay for personal mentor/student expenses, or for the purchase of incentives or awards.

***11. May grant funds be used to pay for an end of year awards/recognition ceremony?***

No. Grant funds cannot be used for events, activities, ceremonies, awards, high tea, banquets, or any other entertainment events.

***12. Am I allowed to use grant funds to cover transportation costs?***

Grant funds may be used to cover certain transportation costs directly related to travel to proposed educational and cultural activities. Mentors may not be reimbursed for personal travel expenses.

***14. May I use funds from this grant to provide snacks for students?***

No. Grant funds may not be used for the purchase of food or beverages, expenses related to parties, picnics, or any other item not directly related to mentoring students.

***15. What kind of supplies may I purchase with these funds?***

Under this program you may purchase materials or supplies required by mentoring coordinators and support staff in carrying out the mentoring program.

***16. May I submit an application on behalf of my local school or does it have to be submitted by the district?***

Eligible applicants are local educational agencies and nonprofit community-based organizations. Individual schools within a school district are not eligible to apply for funding under this program.

***17. May I use grant funds to train mentors and staff?***

Yes. Under this program you may use grant funds to pay for the professional development of mentoring coordinators and support staff, and for the training and support of mentors.

**18. May I use grant funds to pay for criminal background checks for mentors?**

Yes. Grant funds may be used for the costs associated with background checks.

**19. My district has one K-12 school. May we apply for a grant?**

You are eligible to apply if you meet the eligibility requirements of this program and propose mentoring programs and activities to serve children with the greatest need in the 4<sup>th</sup> through 8<sup>th</sup> grades living in rural areas, high-crime areas, or troubled home environments, or children experiencing educational failure.

**20. We plan to serve students in grades 6, 7, and 8. May we continue to serve these same students in years two and three even though some will no longer be in middle school?**

Yes. To the extent practicable, applicants must propose programs that follow the same students for the entire life of the program. New participants may be selected to replace students who are not able to continue in the program, or for other reasons related to attrition.

**21. Since this is a school-based program, does that mean we cannot have mentoring activities when school is not in session?**

No. Mentoring projects funded by this program are intended to be year-round to the extent practicable, including weekends and during the summer months.

**22. Is there a restricted indirect cost rate for this program?**

No. You may charge indirect costs using the rate negotiated with your cognizant federal agency (e.g., Department of Education, Department of Health and Human Services, Department of the Interior).

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

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

No. 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. 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 or call (800) 518-4726.

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

If you are submitting your application electronically via Grants.gov, then you will need to provide these numbers. They can be located on Grants.gov website on the application download page and also on the application package page once the package has been downloaded. If you are submitting a hard copy of your application, then you do not need to provide these numbers as they are used strictly for the electronic package submitted via Grants.gov.

### III. Legal and Regulatory Documents

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#### Notice Inviting Applications Federal Register Publish Date—April 11, 2007

4000-01-U

DEPARTMENT OF EDUCATION  
Office of Safe and Drug-Free Schools

Overview Information

Mentoring Programs

Notice inviting applications for new awards for fiscal year (FY) 2007.  
Catalog of Federal Domestic Assistance (CFDA) Number: 84.184B

Dates:

Applications Available: April 11, 2007.

Deadline for Transmittal of Applications: May 23, 2007.

Deadline for Intergovernmental Review: July 23, 2007.

Eligible Applicants: (1) Local educational agencies (LEAs); (2) Nonprofit, community-based organizations (CBOs), which may include faith-based organizations; and (3) A partnership between an LEA and a non-profit CBO. Note: The Secretary is limiting eligibility under the Mentoring Programs grant competition (CFDA Number 84.184B) to applicants that do not currently have an active grant under this 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 (71 FR 70369).

Estimated Available Funds: \$29,347,000. Contingent upon the availability of funds and the quality of applications, we may make additional awards in FY 2008 and subsequent years from the rank-ordered list of unfunded applications from this competition.

Estimated Range of Awards: \$100,000-\$200,000.

Estimated Average Size of Awards: \$150,000.

Estimated Number of Awards: 198.

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

Project Period: Up to 36 months.

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program: This program provides assistance to promote mentoring programs for children with greatest need that: (1) assist these children in receiving support and guidance from a mentor; (2) improve the academic performance of the children; (3) improve interpersonal

relationships between the children and their peers, teachers, other adults, and family members; (4) reduce the dropout rate of the children; and (5) reduce juvenile delinquency and involvement in gangs by the children.

Priorities: The following absolute and competitive preference priorities are from the notice of final priorities, requirements, and selection criteria for this program published in the Federal Register on May 28, 2004 (69 FR 30794).

Absolute Priority: For FY 2007 and any subsequent year in which we make awards on the basis of the list of unfunded applications from this competition, this priority is an absolute priority. Under 34 CFR 75.105(c)(3) we consider only applications that meet this priority. This priority is:

This priority supports projects that address the academic and social needs of children with the greatest need through school-based mentoring programs and activities and provide these students with mentors. These programs and activities must serve children with the greatest need in one or more grades 4 through 8 living in rural areas, high-crime areas, or troubled home environments, or who attend schools with violence problems.

Competitive Preference Priority: Within this absolute priority, we give competitive preference to applications that address the following priority. Under 34 CFR 75.105(c)(2)(i) we will award an additional five points to an application that meets this priority. This priority is:

We will award five additional points to a consortium of eligible applicants that includes either: (a) at least one local educational agency (LEA) and at least one community-based organization (CBO) that is not a school and that provides services to youth and families in the community; or (b) at least one private school that qualifies as a nonprofit CBO and at least one other CBO that is not a school and that provides services to youth and families in the community.

The consortium must designate one member of the group to apply for the grant, unless the consortium is itself eligible as a partnership between a LEA and a nonprofit CBO.

To receive this competitive preference, the applicant must clearly identify the agencies that comprise the consortium and must include a detailed plan of their working relationship and of the activities that each member will perform, including a project budget that reflects the contractual disbursements to the members of the consortium. For the purpose of this priority, a "consortium" means a group application in accordance with the provisions of 34 CFR 75.127 through 75.129.

Program Authority: 20 U.S.C. 7140.

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 priorities, requirements, and selection criteria published in the Federal Register on May 28, 2004 (69 FR 30794). (c) The notice of final eligibility requirement for the Office of Safe and Drug-Free Schools discretionary grant programs published in the Federal Register on December 4, 2006 (71 FR 70369). 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 IHEs only.

## II. Award Information

Type of Award: Discretionary grants.

Estimated Available Funds: \$29,347,000. Contingent upon the availability of funds and the quality of applications, we may make additional awards in FY 2008 and subsequent years from the rank-ordered list of unfunded applications from this competition.

Estimated Range of Awards: \$100,000-\$200,000.

Estimated Average Size of Awards: \$150,000.

Estimated Number of Awards: 198.

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

Project Period: Up to 36 months.

### III. Eligibility Information

1. Eligible Applicants: (1) LEAs; (2) Non-Profit CBOs, which may include faith-based organizations; and (3) A partnership between an LEA and a non-profit CBO.

Note: The Secretary is limiting eligibility under the Mentoring Programs grant competition (CFDA Number 84.184B) to applicants that do not currently have an active grant under this 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 (71 FR 70369).

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

3. Other:

(a) To be eligible for funding, an applicant must include in its application an assurance that it will: (1) establish clear, measurable performance goals; and (2) collect and report to the Department data related to the established Government Performance and Results Act (GPRA) performance indicators for the Mentoring Programs grant competition. We will reject any application that does not contain this assurance.

(b) To be eligible for funding, each CBO must include in its application an assurance that: (a) it is an eligible applicant under the definitions provided in the application package; (b) timely and meaningful consultation with an LEA or private school has taken place during the design and/or development of the proposed program; (c) LEA or private school staff will participate in the identification and referral of students to the CBO's proposed program; and (d) the LEA or private school will participate in the collection of data related to the established GPRA performance measures for the Mentoring Programs grant competition.

4. Equitable Participation by Private School Children and Teachers: LEAs are required to provide for the equitable participation of private school children, their teachers, and other educational personnel in private schools located in areas served by the grant recipient.

In order to ensure that grant program activities address the needs of private school children, the LEA must engage in timely and meaningful consultation with private school officials during the design and development of the program. This consultation must take place before any decision is made that affects the opportunities of eligible private school children, teachers, and other educational personnel to participate.

In order to ensure equitable participation of private school children, teachers, and other educational personnel, the LEA must consult with private school officials on issues such as: how children's needs will be identified; what services will be offered; how and where the services will be provided; who will provide the services; how the services will be assessed and how the results of assessment will be used to improve those services; the amount of funds available for services; the size and scope of the services to be provided; how and when decisions about the delivery of services will be made; and the provision of contract services through potential third-party providers.

See Section 9501 of the Elementary and Secondary Education Act of 1965, as reauthorized by the No Child Left Behind Act of 2001 (ESEA).

5. **Maintenance of Effort:** Under section 9521 of the ESEA, an LEA may receive a grant under the Mentoring Programs grant competition only if the state educational agency finds that the combined fiscal effort per student or the aggregate expenditures of the agency and the state with respect to the provision of free public education by the LEA for the preceding fiscal year was not less than 90 percent of the combined fiscal effort or aggregate expenditures for the second preceding fiscal year.

#### IV. Application Submission Information

1. **Address to Request Application Package:** Education Publications Center (ED Pubs), P.O. Box 1398, Jessup, MD 20794-1398. Telephone (toll free): 1-877-433-7827. FAX: (301) 470-1244. If you use a telecommunications device for the deaf (TDD), you may call (toll free): 1-877-576-7734. You may also contact ED Pubs at its web site: <http://www.ed.gov/pubs/edpubs.html> or you may contact ED Pubs at its e-mail address: <mailto:edpubs@inet.ed.gov>.

You may also access the electronic version of the application at the following web sites: <http://www.grants.gov> or <http://www.ed.gov/programs/dvmentoring/index.html>.

If you request an application from ED Pubs, be sure to identify this competition as follows: CFDA number 84.184B.

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

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.

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

#### 3. Submission Dates and Times:

Applications Available: April 11, 2007.  
Deadline for Transmittal of Applications: May 23, 2007.

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

We do not consider an application that does not comply with the deadline requirements. Individuals with disabilities who need an accommodation or auxiliary aid in connection with the application process should contact the person listed under For Further Information Contact in Section VII of this notice.

Deadline for Intergovernmental review: July 23, 2007.

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

5. Funding Restrictions: Grant funds may not be used to (1) directly compensate mentors; (2) obtain educational or other materials or equipment that would otherwise be used in the ordinary course of the grantee's operations; or (3) support litigation of any kind. We reference additional regulations outlining funding restrictions in the Applicable Regulations section of this notice.

6. 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 Government-wide Grants.gov Apply site. The Mentoring Program, CFDA Number 84.184B, is included in this project. We request your participation in Grants.gov.

If you choose to submit your application electronically, you must use the Government-wide Grants.gov Apply site at <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 Mentoring Programs 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 84.184, not 84.184B).

Please note the following:

- Your participation in Grants.gov is voluntary.
- When you enter the Grants.gov site, you will find information about submitting an application electronically through the site, as well as the hours of operation.
- Applications received by Grants.gov are date and time stamped. Your application must be fully uploaded and submitted and must be date and time stamped by the Grants.gov system no later than 4:30 p.m., Washington, DC time, on the application deadline date. Except as otherwise noted in this section, we will not consider your application if it is date and time stamped by the Grants.gov system later than 4:30 p.m., Washington, DC time, on the application deadline date. When we retrieve your application from Grants.gov, we will notify you if we are rejecting your application because it was date and time stamped by the Grants.gov system after 4:30 p.m., Washington, DC time, on the application deadline date.
- The amount of time it can take to upload an application will vary depending on a variety of factors, including the size of the application and the speed of your Internet connection. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the submission process through Grants.gov.
- You should review and follow the Education Submission Procedures for submitting an application through Grants.gov that are included in the application package for this competition to ensure that you submit your application in a timely manner to the Grants.gov system. You can 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 ([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 <http://www.grants.gov/section910/Grants.govRegistrationBrochure.pdf>. You also must provide on your application the same D-U-N-S Number used with this registration. Please note that the registration process may take five or more business days to complete, and you must have completed all registration steps to allow you to



submit successfully an application via Grants.gov. In addition you will need to update your CCR registration on an annual basis. This may take three or more business days to complete.

- You will not receive additional point value because you submit your application in electronic format, nor will we penalize you if you submit your application in paper format.
- If you submit your application electronically, you must submit all documents electronically, including all information you typically provide on the following forms: Application for Federal Assistance (SF 424), the Department of Education Supplemental Information for SF 424, Budget Information--Non-Construction Programs (ED 524), and all necessary assurances and certifications. Please note that two of these forms--the SF 424 and the Department of Education Supplemental Information for SF 424--have replaced the ED 424 (Application for Federal Education Assistance).
- If you submit your application electronically, you must attach any narrative sections of your application as files in a .DOC (document), .RTF (rich text), or .PDF (Portable Document) format. If you upload a file type other than the three file types specified in this paragraph or submit a password-protected file, we will not review that material.
- Your electronic application must comply with any page-limit requirements described in this notice.
- After you electronically submit your application, you will receive from Grants.gov an automatic notification of receipt that contains a Grants.gov tracking number. (This notification indicates receipt by Grants.gov only, not receipt by the Department). The Department then will retrieve your application from Grants.gov and send a second notification to you by e-mail. This second notification indicates that the Department has received your application and has assigned your application a PR/Award number (an ED-specified identifying number unique to your application).
- We may request that you provide us original signatures on forms at a later date.
- Application Deadline Date Extension in Case of Technical Issues with the Grants.gov System: If you are experiencing problems submitting your application through Grants.gov, please contact the Grants.gov Support Desk at 1-800-518-4726. You must obtain a Grants.gov Support Desk Case Number and must keep a record of it.

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

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

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

b. Submission of Paper Applications by Mail.

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

By mail through the U.S. Postal Service:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.184B)  
400 Maryland Avenue, SW.  
Washington, DC 20202-4260

or

By mail through a commercial carrier:

U.S. Department of Education  
Application Control Center – Stop 4260  
Attention: (CFDA Number 84.184B)  
7100 Old Landover Road  
Landover, MD 20785-1506

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

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

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

- (1) A private metered postmark.
  - (2) A mail receipt that is not dated by the U.S. Postal Service.
- If your application is postmarked after the application deadline date, we will not consider your application.

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

c. Submission of Paper Applications by Hand Delivery.

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

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.184B)  
550 12th Street, SW.  
Room 7041, Potomac Center Plaza  
Washington, DC 20202-4260

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

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

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

## V. Application Review Information

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

## VI. Award Administration Information

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

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

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

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

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

4. Performance Measures: We have identified the following key GPRA performance measures for assessing the effectiveness of this program: (1) The percentage of student/mentor matches that are sustained for a period of twelve months will increase; (2) The percentage of mentored students who demonstrate improvement in core academic subjects as measured by grade point average after 12 months will increase; and (3) The percentage of mentored students whose number of unexcused absences from school will decrease.

## VII. Agency Contacts

For Further Information Contact: Bryan Williams, U.S. Department of Education, 400 Maryland Avenue, SW., room 3E226, Washington, DC 20202-6450. Telephone: (202) 260-2391 or by e-mail: bryan.williams@ed.gov. Earl Myers, Jr., U.S. Department of Education, 400 Maryland Avenue,

SW., room 3E254, Washington, DC 20202-6450. Telephone: (202) 708-8846 or by e-mail: earl.myers@ed.gov.

If you use a telecommunications device for the deaf (TDD), you may call the Federal Relay Service (FRS) at 1-888-877-8339.

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

#### VIII. Other Information

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

You may also view this document in text or PDF at the following site:  
<http://www.ed.gov/programs/dvpm/mentoring/applicant.html>

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

Dated:

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

## Authorizing Legislation

### Sec. 4130 -- Mentoring Programs

#### (a) PURPOSE; DEFINITIONS-

(1) PURPOSE- The purpose of this section is to make assistance available to promote mentoring programs for children with greatest need —

- (A) to assist such children in receiving support and guidance from a mentor;
- (B) to improve the academic achievement of such children;
- (C) to improve interpersonal relationships between such children and their peers, teachers, other adults, and family members;
- (D) to reduce the dropout rate of such children; and
- (E) to reduce juvenile delinquency and involvement in gangs by such children.

(2) DEFINITIONS- In this part:

(A) CHILD WITH GREATEST NEED- The term 'child with greatest need' means a child who is at risk of educational failure, dropping out of school, or involvement in criminal or delinquent activities, or who lacks strong positive role models.

(B) ELIGIBLE ENTITY- The term 'eligible entity' means —

- (i) a local educational agency;
- (ii) a nonprofit, community-based organization; or
- (iii) a partnership between a local educational agency and a nonprofit, community-based organization.

(C) MENTOR- The term 'mentor' means a responsible adult, a postsecondary school student, or a secondary school student who works with a child —

- (i) to provide a positive role model for the child;
- (ii) to establish a supportive relationship with the child; and
- (iii) to provide the child with academic assistance and exposure to new experiences and examples of opportunity that enhance the ability of the child to become a responsible adult.

(D) STATE- The term 'State' means each of the several States, the District of Columbia, the Commonwealth of Puerto Rico, the United States Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands.

#### (b) GRANT PROGRAM-

(1) IN GENERAL- The Secretary may award grants from funds made available to carry out this subpart under section 4003(2) to eligible entities to assist such entities in establishing and supporting mentoring programs and activities for children with greatest need that —

(A) are designed to link such children (particularly children living in rural areas, high-crime areas, or troubled home environments, or children experiencing educational failure) with mentors who —

- (i) have received training and support in mentoring;
- (ii) have been screened using appropriate reference checks, child and domestic abuse record checks, and criminal background checks; and
- (iii) are interested in working with children with greatest need; and

(B) are intended to achieve one or more of the following goals with respect to children with greatest need:

- (i) Provide general guidance.
- (ii) Promote personal and social responsibility.

- (iii) Increase participation in, and enhance the ability to benefit from, elementary and secondary education.
- (iv) Discourage illegal use of drugs and alcohol, violence, use of dangerous weapons, promiscuous behavior, and other criminal, harmful, or potentially harmful activity.
- (v) Encourage participation in community service and community activities.
- (vi) Encourage setting goals and planning for the future, including encouragement of graduation from secondary school and planning for postsecondary education or training.
- (vii) Discourage involvement in gangs.

(2) USE OF FUNDS-

(A) IN GENERAL- Each eligible entity awarded a grant under this subsection shall use the grant funds for activities that establish or implement a mentoring program, that may include —

- (i) hiring of mentoring coordinators and support staff;
- (ii) providing for the professional development of mentoring coordinators and support staff;
- (iii) recruitment, screening, and training of mentors;
- (iv) reimbursement to schools, if appropriate, for the use of school materials or supplies in carrying out the mentoring program;
- (v) dissemination of outreach materials;
- (vi) evaluation of the mentoring program using scientifically based methods; and
- (vii) such other activities as the Secretary may reasonably prescribe by rule.

(B) PROHIBITED USES- Notwithstanding subparagraph (A), an eligible entity awarded a grant under this section may not use the grant funds —

- (i) to directly compensate mentors;
- (ii) to obtain educational or other materials or equipment that would otherwise be used in the ordinary course of the eligible entity's operations;
- (iii) to support litigation of any kind; or
- (iv) for any other purpose reasonably prohibited by the Secretary by rule.

(3) AVAILABILITY OF FUNDS- Funds made available through a grant under this section shall be available for obligation for a period not to exceed 3 years.

(4) APPLICATION- Each eligible entity seeking a grant under this section shall submit to the Secretary an application that includes —

- (A) a description of the plan for the mentoring program the eligible entity proposes to carry out with such grant;
- (B) information on the children expected to be served by the mentoring program for which such grant is sought;
- (C) a description of the mechanism the eligible entity will use to match children with mentors based on the needs of the children;
- (D) an assurance that no mentor will be assigned to mentor so many children that the assignment will undermine the mentor's ability to be an effective mentor or the mentor's ability to establish a close relationship (a one-to-one relationship, where practicable) with each mentored child;
- (E) an assurance that the mentoring program will provide children with a variety of experiences and support, including —
  - (i) emotional support;
  - (ii) academic assistance; and

- (iii) exposure to experiences that the children might not otherwise encounter on their own;
- (F) an assurance that the mentoring program will be monitored to ensure that each child assigned a mentor benefits from that assignment and that the child will be assigned a new mentor if the relationship between the original mentor and the child is not beneficial to the child;
- (G) information regarding how mentors and children will be recruited to the mentoring program;
- (H) information regarding how prospective mentors will be screened;
- (I) information on the training that will be provided to mentors; and
- (J) information on the system that the eligible entity will use to manage and monitor information relating to the mentoring program's —
  - (i) reference checks;
  - (ii) child and domestic abuse record checks;
  - (iii) criminal background checks; and
  - (iv) procedure for matching children with mentors.

(5) SELECTION-

- (A) COMPETITIVE BASIS- In accordance with this subsection, the Secretary shall award grants to eligible entities on a competitive basis.
- (B) PRIORITY- In awarding grants under subparagraph (A), the Secretary shall give priority to each eligible entity that —
  - (i) serves children with greatest need living in rural areas, high-crime areas, or troubled home environments, or who attend schools with violence problems;
  - (ii) provides high quality background screening of mentors, training of mentors, and technical assistance in carrying out mentoring programs; or
  - (iii) proposes a school-based mentoring program.
- (C) OTHER CONSIDERATIONS- In awarding grants under subparagraph (A), the Secretary shall also consider —
  - (i) the degree to which the location of the mentoring program proposed by each eligible entity contributes to a fair distribution of mentoring programs with respect to urban and rural locations;
  - (ii) the quality of the mentoring program proposed by each eligible entity, including —
    - (I) the resources, if any, the eligible entity will dedicate to providing children with opportunities for job training or postsecondary education;
    - (II) the degree to which parents, teachers, community-based organizations, and the local community have participated, or will participate, in the design and implementation of the proposed mentoring program;
    - (III) the degree to which the eligible entity can ensure that mentors will develop longstanding relationships with the children they mentor;
    - (IV) the degree to which the mentoring program will serve children with greatest need in the 4th through 8th grades; and
    - (V) the degree to which the mentoring program will continue to serve children from the 9th grade through graduation from secondary school, as needed; and
  - (iii) the capability of each eligible entity to effectively implement its mentoring program.
- (D) GRANT TO EACH STATE- Notwithstanding any other provision of this subsection, in awarding grants under subparagraph (A), the Secretary shall select

not less than one grant recipient from each State for which there is an eligible entity that submits an application of sufficient quality pursuant to paragraph (4).

(6) MODEL SCREENING GUIDELINES-

(A) IN GENERAL- Based on model screening guidelines developed by the Office of Juvenile Programs of the Department of Justice, the Secretary shall develop and distribute to each eligible entity awarded a grant under this section specific model guidelines for the screening of mentors who seek to participate in mentoring programs assisted under this section.

(B) BACKGROUND CHECKS- The guidelines developed under this subsection shall include, at a minimum, a requirement that potential mentors be subject to reference checks, child and domestic abuse record checks, and criminal background checks.



## IV. General Application Instructions

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### Preparing the Application

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

A panel of non-federal readers with experience in mentoring and related fields will review each eligible application submitted by the deadline. The panel will award points ranging from 0 to 105 to each application depending on how well the selection criteria and competitive preference 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. Also, attach your signed program-specific assurance form to this section. If you are applying for competitive preference points, your partnership agreement, signed by the authorized representative for each member, should be included here. 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 no smaller than 12-point type throughout your document. You may use boldface type, underlining, and italics; however, do not use colored text.
- For the project narrative, your application should consist of the number and text of each selection criterion followed by the narrative. The text of the selection criterion, if included, does not count against any page limitation.
- Place a page number at the bottom right of each page beginning with 1, and number your pages consecutively throughout your document, beginning with the Abstract and ending with the Appendices. Note: Do not paginate any of the forms.

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

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. (Eastern 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 10 identifies the CFDA Number for this grant competition as 84.184B and the Title as Mentoring Programs.

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

If you submit your proposal for this grant competition via Grants.gov, please complete the SF 424 first. Grants.gov will insert the correct CFDA number and program name automatically where needed.

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

**2. Abstract:** Include a concise, one-page, double-spaced abstract following the Table of Contents. This is a key element and should include a brief narrative describing a brief summary of the project goals and objectives and the intended outcomes of the project. Clearly mark this page with the applicant's name as shown in Item 8 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 grant competition's absolute priority, and should contain and follow in sequence the information requested for each selection criterion. Applicants should review Section II for a discussion of the selection criteria and the chief considerations for this specific grant competition. A timeline or schedule of tasks and events, responsible person(s), project milestone(s), and/or completion dates should be included in the narrative. Include a Table of Contents with page references. The Table of Contents does not count against any page limitations. If you submit your application via Grants.gov, attach this document to the **Project Narrative Attachment Form**.

**4. Budget Narrative:** Use the Budget Information Form (ED Form 524) form provided in the required forms section of this application package to prepare a budget for the project. 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 project's goals, objectives, and activities. All expenditures must be necessary to carry out the goals and objectives of the project, reasonable for the scope and complexity of the project, and allowable under the terms and conditions of the grant and in accordance with government cost principles.

The Budget Information Form and accompanying narrative should provide enough detail for ED staff to easily understand how costs were determined and if the budget is commensurate with the scope of the project. Applicants must submit a separate detailed budget for each year as shown on the Budget Information Form. 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 Labor). Be sure to include evidence of a federally negotiated indirect cost rate. Note: Because these grants are not research grants, it is not appropriate to use the institutional research indirect cost rate. Instead, applicants should use the appropriate program or operations rate specified in their institution's 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 subcontract, regardless of the period covered by the subcontract.

If you claim indirect costs in the budget for your proposed project and do not have a negotiated rate with the federal government, you have 90 days from the time you transmit your application to submit the necessary paperwork to 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 applicants can submit in support of their 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. If you are applying for competitive preference points, your partnership agreement, signed by the authorized representative for each organization, should be included here. The Grants.gov system allows 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.

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

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

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

This section **must** include the following:

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

This section **may** include other information the applicant wishes to include in support of its capacity, experience, and readiness to undertake the project, including:

- 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 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:

- Program-specific Assurance form (see pages 49 and 50)
- Assurances, Non-Construction Programs (Standard Form, 424B)
- Grants.gov Lobbying Form (formerly ED Form 80-0013)
- Disclosure of Lobbying Activities (Standard Form-LLL)

**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 procedure 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 July 23, 2007, at the following address:

The Secretary  
EO 12372—CFDA #84.184B  
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 July 23, 2007. 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 grant programs, 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 #1865-0013. 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 3E316  
Washington, DC 20202-6450.

## **Instructions for Standard Forms**

- Program-specific Assurance 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)
- Disclosure of Lobbying Activities (Standard Form LLL)



If you are submitting an electronic application, you must print out the form below, complete, and either upload the signed form to the Other Attachments Form in Grants.gov or fax it (along with the ED 424 and other forms) to the Office of Safe and Drug-Free Schools at (202) 205-5722 within 3 working days of submitting your electronic application.

### **Mentoring Program – Program Specific Assurances for Local Educational Agencies**

In addition to the standard assurances included with this application package, all applicants that are local educational agencies must review and sign the following assurances:

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

1. Assure that no mentor will be assigned to mentor so many children that the assignment will undermine the mentor’s ability to be an effective mentor or the mentor’s ability to establish a close relationship (a one-to-one relationship, where practicable) with each mentored child;
2. Assure that the mentoring program will provide children with a variety of experiences and support, including:
  - (i) Emotional support;
  - (ii) Academic assistance; and
  - (iii) Exposure to experiences that the children might not otherwise encounter on their own;
3. Assure that the mentoring program will be monitored to ensure that each child assigned a mentor benefits from that assignment and that the child will be assigned a new mentor if the relationship between the original mentor and the child is not beneficial to the child;
4. Assure that it will: (1) establish clear, measurable performance goals; and (2) collect and report to the Department data related to the established Government Performance and Results Act (GPRA) performance indicators for the Mentoring Programs grant competition. We will reject any application that does not contain this assurance.

\_\_\_\_\_  
Signature of Authorized Certifying Official

\_\_\_\_\_  
Title

\_\_\_\_\_  
Organization Name

\_\_\_\_\_  
Date

If you are submitting an electronic application, you must print out the form below, complete, and either upload the signed form to the Other Attachments Form in Grants.gov or fax it (along with the ED 424 and other forms) to the Office of Safe and Drug-Free Schools at (202) 205-5722 within 3 working days of submitting your electronic application.

### **Mentoring Program – Program Specific Assurances for Community-Based Organizations**

In addition to the standard assurances included with this application package, all applicants that are community-based organizations must review and sign the following assurances:

As the duly authorized representative of the applicant, I hereby:

1. Assure that:
  - a. It is an eligible applicant under the definitions provided in the *Federal Register* notice and in this application package;
  - b. Timely and meaningful consultation with a LEA or private school has taken place during the design and/or development of the proposed program;
  - c. LEA or private school staff will participate in the identification and referral of students to the CBO's proposed program;
  - d. The LEA or private school will participate in the collection of data related to the established GPRA performance indicators for the Mentoring Programs grant competition.
  
2. Assure that no mentor will be assigned to mentor so many children that the assignment will undermine the mentor's ability to be an effective mentor or the mentor's ability to establish a close relationship (a one-to-one relationship, where practicable) with each mentored child;
  
3. Assure that the mentoring program will provide children with a variety of experiences and support, including:
  - (i) Emotional support;
  - (ii) Academic assistance; and
  - (iii) Exposure to experiences that the children might not otherwise encounter on their own;
  
4. Assure that the mentoring program will be monitored to ensure that each child assigned a mentor benefits from that assignment and that the child will be assigned a new mentor if the relationship between the original mentor and the child is not beneficial to the child;
  
5. Assure that it will: (1) establish clear, measurable performance goals; and (2) collect and report to the Department data related to the established Government Performance and Results Act (GPRA) performance indicators for the Mentoring Programs grant competition. We will reject any application that does not contain this assurance.

\_\_\_\_\_  
**Signature of Authorized Certifying Official**

\_\_\_\_\_  
**Title**

\_\_\_\_\_  
**Organization Name**

\_\_\_\_\_  
**Date**

## 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  <b>C. Increase Duration      D. Decrease Duration</b>  <b>E. Other (specify)</b> </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.

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