

**U.S. Department of Education  
Office of Elementary and Secondary Education  
Academic Improvement and Teacher Quality Programs  
Washington, D.C. 20202-6200**

**Fiscal Year 2009**

**Application for New Grants Under  
the Even Start Family Literacy Program Grants  
for Federally Recognized Indian Tribes and  
Tribal Organizations  
Program**

**CFDA 84.258A**



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## **Paperwork Burden Statement**

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**If you have comments or concerns regarding the status of your individual submission of this form, write directly to:** Amber Sheker, Even Start Family Literacy Program Grants for Federally Recognized Indian Tribes and Tribal Organizations program, U.S. Department of Education, 400 Maryland Avenue, SW, 3E252, Washington D.C. 20202-6200.

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**United States Department of Education**  
OFFICE OF ELEMENTARY AND SECONDARY EDUCATION  
ACADEMIC IMPROVEMENT AND TEACHER QUALITY PROGRAMS

Dear Colleague:

Thank you for your interest in the Even Start Family Literacy Program Grants for Federally Recognized Indian Tribes and Tribal Organizations program, administered by the Office of Elementary and Secondary Education of the U.S. Department of Education. Grants under this program are authorized under section 1232(a)(1)(C) of the Elementary and Secondary Education Act (ESEA). Even Start is an education program for the Nation's low-income families that is designed to improve the academic achievement of parents and their young children, especially in the area of reading. Researchers, teachers, and administrators alike now acknowledge the vital importance of high-quality early childhood education for all children. Young children who have good vocabulary and who are taught early reading skills before they start school are more likely to become good readers and to achieve academic success throughout their school careers. Education experts also acknowledge that parents play a critical role in the language and intellectual development of their children. Children who have parents who talk and play with them and who read to them have an important advantage. And parents who themselves are competent readers are more likely to have good jobs and be able to help their own children in school. Even Start provides educational services for the family, parents and children alike, so that adults and their children will be able to take advantage of and benefit from the tremendous opportunities available to them in this Nation. For adults and children with limited English proficiency, Even Start helps them make progress toward acquisition of the English language and attainment of a high level of literacy.

Please take the time to review the applicable priorities, selection criteria, and all of the application instructions thoroughly. An application will not be evaluated for funding if the applicant does not comply with all of the procedural rules that govern the submission of the application or the application does not contain the information required under the program (Education Department General Administrative Regulations (EDGAR) §75.216 (b) and (c)).

This application package contains the instructions and other information needed to submit a complete application for an Even Start program grant for the fiscal year (FY) 2009 competition. It contains a copy of the Federal Register notice inviting applications, which includes information on funding available for this competition, sets forth two invitational priorities, describes the selection criteria that will be used to evaluate applications, contains the statutory requirements for the application and the program, and describes the Secretary's performance measures. This package also contains the electronic links to the documents needed to apply for these grant funds. Please refer to the notice inviting applications that follows for a contact name and number, and call or send an e-mail inquiry if you have any questions about these grants or preparation of your application.

For this competition it is **mandatory** for applicants to use the government-wide website, Grants.gov (<http://www.grants.gov>), to apply. Please note that the Grants.gov site works differently than the U.S. Department of Education's e-Application System. We strongly encourage you to familiarize yourself with Grants.gov and strongly recommend that you register *and* submit early.

Also be aware that applications submitted to Grants.gov for the Department of Education will now be

posted using Adobe forms. Therefore, applicants will need to download the latest version of Adobe reader (at least Adobe Reader 8.1.2). Please review the **Submitting Applications with Adobe Reader Software** and **Education Submission Procedures and Tips for Applicants** forms found within this package for further information and guidance related to this requirement.

Using FY 2009 funds, the Department expects to award \$831,470 for new grants under this competition. We will award discretionary grants on a competitive basis for a project period of up to 48 months. Grants are expected to be awarded in August.

Please visit our program website at <http://www.ed.gov/programs/evenstartindian/index.html> for further information. If you have any questions about the program after reviewing the application package, please contact Amber Sheker by telephone at (202) 205-0653 or via e-mail at [Amber.Sheker@ed.gov](mailto:Amber.Sheker@ed.gov).

Joseph Conaty  
Director

## Program Background Information

### *Program Overview*

The Even Start Family Literacy Program was first enacted in 1988 as Part B of Chapter 1 of Title I of the Elementary and Secondary Education Act of 1965 (ESEA). Most recently, the program was reauthorized and amended by the No Child Left Behind Act of 2001 (NCLB). Even Start offers promise for helping to break the intergenerational cycle of poverty and low literacy in the Nation. The program integrates early childhood education, adult literacy (adult basic and secondary-level education and/or instruction for English language learners), parenting education, and interactive parent and child literacy activities into a single, unified family literacy program. The design is based on the premise that these components build on each other and that families need to receive high-quality, intensive instructional services in all four areas -- not just one or two -- in order to bring lasting change and effectively improve parents' and children's literacy achievement. Even Start supports integrated family literacy services for parents and children, primarily from birth through age seven, and has three interrelated goals:

- to help parents improve their literacy or basic educational skills;
- to help parents become full partners in educating their children; and
- to assist children in reaching their full potential as learners.

At a minimum, a successful Even Start project should: build on high-quality, community resources; employ qualified staff; carry out instructional activities grounded in scientifically based reading research; be able to document significant literacy achievement results (for adults and children) for the majority of families served; and use data annually to demonstrate that it has made substantial progress toward the objectives in its approved application, including fully implementing its approved application, and meeting its evaluation indicators and the Even Start performance measures.

We have learned from the previous national evaluations of Even Start that:

- The instructional focus must be on literacy and cognitive development.
- Intensity of services and duration of program participation are correlated with participant achievement.
- Data must be used for program improvement.
- Programs must develop and implement a well-defined system of ongoing program monitoring and evaluation that focuses upon effective practices and program results.

### **Use of Even Start Funds**

Recipients of an Even Start grant for Indian tribes and tribal organizations must use the grant funds (and the local matching or cost share contributions) to provide intensive family literacy services that involve parents and children, generally from birth through age seven, in a cooperative effort to help parents become full partners in the education of their children and to assist their children in reaching their full potential as learners. (Section 1234(a), ESEA).

The term “**family literacy services**” means services provided to participants on a voluntary basis that are of sufficient intensity in terms of hours, and of sufficient duration, to make sustainable changes in a family, and that integrate all of the following activities:

- Interactive literacy activities between parents and their children;
- Training for parents regarding how to be the primary teacher for their children and full partners in the education of their children (literacy-based parenting education);
- Parent literacy training that leads to economic self-sufficiency (adult basic or secondary education, or English language training); and
- An age-appropriate education to prepare children for success in school and life experiences (early childhood education, including supplemental services for school-age children). (Section 9101(20), ESEA).

**Required Program Elements (or Activities)**

**Concerning the design of the project, an eligible applicant must propose a project that incorporates, at a minimum, the following program elements required by section 1235 of the ESEA.**

Each funded Even Start program must —

- 1) include the identification and recruitment of families most in need of services provided under this subpart, as indicated by a low level of income, a low level of adult literacy or English language proficiency of the eligible parent or parents, and other need-related indicators;
- 2) include screening and preparation of parents, including teenage parents, and children to enable those parents and children to participate fully in the activities and services provided under this subpart, including testing, referral to necessary counseling, other developmental and support services, and related services;
- 3) be designed to accommodate the participants' work schedule and other responsibilities, including the provision of support services, when those services are unavailable from other sources, necessary for participation in the activities assisted under this subpart, such as —
  - (A) scheduling and locating of services to allow joint participation by parents and children;
  - (B) child care for the period that parents are involved in the program provided under this subpart; and
  - (C) transportation for the purpose of enabling parents and their children to participate in programs authorized by this subpart;
- 4) include high-quality, intensive instructional programs that promote adult literacy and empower parents to support the educational growth of their children, developmentally appropriate early childhood educational services, and preparation of children for success in regular school programs;
- 5) with respect to the qualifications of staff the cost of whose salaries are paid, in whole or in part, with Federal funds provided under this subpart, ensure that —
  - (A) not later than December 21, 2004 —
    - (i) a majority of the individuals providing academic instruction —

- (I) shall have obtained an associate's, bachelor's, or graduate degree in a field related to early childhood education, elementary school or secondary school education, or adult education; **and**
    - (II) if applicable, shall meet qualifications established by the State for early childhood education, elementary school or secondary school education, or adult education provided as part of an Even Start program or another family literacy program;
  - (ii) the individual responsible for administration of family literacy services under this subpart has received training in the operation of a family literacy program; and
  - (iii) paraprofessionals who provide support for academic instruction have a secondary school diploma or its recognized equivalent; and
  - (B) all new personnel hired to provide academic instruction —
    - (i) have obtained an associate's, bachelor's, or graduate degree in a field related to early childhood education, elementary school or secondary school education, or adult education; and
    - (ii) if applicable, meet qualifications established by the State for early childhood education, elementary school or secondary school education, or adult education provided as part of an Even Start program or another family literacy program;
- 6) include special training of staff, including child-care staff, to develop the skills necessary to work with parents and young children in the full range of instructional services offered through this subpart;
  - 7) provide and monitor integrated instructional services to participating parents and children through home-based programs;
  - 8) operate on a year-round basis, including the provision of some program services, including instructional and enrichment services, during the summer months;
  - 9) be coordinated with —
    - (A) other programs assisted under this Act;
    - (B) any relevant programs under the Adult Education and Family Literacy Act, the Individuals with Disabilities Education Act, and title I of the Workforce Investment Act of 1998; and
    - (C) the Head Start program, volunteer literacy programs, and other relevant programs;
  - 10) use instructional programs based on scientifically based reading research for children and adults, to the extent that research is available;
  - 11) encourage participating families to attend regularly and to remain in the program a sufficient time to meet their program goals;
  - 12) include reading-readiness activities for preschool children based on scientifically based reading research, to the extent available, to ensure that children enter school ready to learn to read;



- 13) if applicable, promote the continuity of family literacy to ensure that individuals retain and improve their educational outcomes;
- 14) ensure that the programs will serve those families most in need of the activities and services provided by this subpart; and
- 15) provide for an independent evaluation of the program, to be used for program improvement.

### **Eligible Participants**

#### **A family is eligible to participate in an Even Start project if:**

- The participating parent (a) is eligible to participate in adult education and literacy activities under the Adult Education and Family Literacy Act, or (b) is within the State's compulsory school attendance age range (in which case a local educational agency must provide or ensure the availability of the basic education component), or is attending secondary school; **and**
- The participating child is younger than eight years of age. More specific information on family eligibility is contained in section 1236 of the ESEA.

**NOTE:** Family members of the eligible participants described above, such as extended family, also may participate in appropriate Even Start Family Literacy Program activities. (Section 1236(b), ESEA).

### **Continuing Eligibility**

Families generally may participate in Even Start Family Literacy Program services until all family members become ineligible for participation. When the parent(s) has achieved his or her educational goals and become ineligible due to educational advancement, the parent(s) may continue participating in appropriate services (parenting education and interactive parent-child literacy activities) until all children in the family reach age eight. In contrast, if all children in a family have reached the age of eight, the family continues to be eligible for two more years until the youngest participating child is 10 years old, or until the parents are no longer eligible for adult education under the Adult Education and Family Literacy Act, whichever occurs earlier. (Section 1236(b)(2), ESEA).

### **Family Participation when Children Are 8 Years or Older (And Don't Qualify Under the Continuing Eligibility Provisions)**

As long as the focus of the Even Start project remains on serving families with young children, the project may permit families with children 8 years of age or older to participate if the project collaborates with a program under Title I Part A of the ESEA, and funds from the Title I Part A program contribute to paying the cost of the Even Start program for these children. (Section 1236(b)(3), ESEA).

### **Applicable Legislation and Regulations**

Legislation for the Even Start program is in section D of this application. General regulations, and program guidance on the Even Start program, are available on the Department's website at: <http://www.ed.gov/programs/evenstartindian/legislation.html>.

The following provisions of the Education Department General Administrative Regulations (EDGAR) contained in Title 34 of the Code of Federal Regulations (CFR) apply to the Even Start Family Literacy Program grants: 34 CFR Parts 75, 77, 80, 81, 82, 84, 85, 86, 97, 98, and 99. These regulations are available on the Department's website at: <http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html>

### **Cost Principles That Apply to These Grants**

The cost principles in OMB Circular A-87 apply to these grants. These cost principles, along with the provisions in EDGAR referred to above, contain information about what types of costs are allowable to charge to these Federal grant funds (including to the local project matching or cost share). You may obtain a copy of these cost principles from the contact indicated on the cover page of this application package, or by accessing the following Web site: [http://www.whitehouse.gov/omb/circulars/a087/a87\\_2004.html](http://www.whitehouse.gov/omb/circulars/a087/a87_2004.html)

Please note that funds for this program, either Federal or cost-share, cannot be used for construction. See EDGAR, 34 CFR 75.533. However, funds may be used for "minor remodeling," which does not involve any structural alterations.

### **Indirect Costs**

Grantees may **not** use Even Start Family Literacy Program funds for the indirect costs of a project. For more information please see Important Note on Indirect Costs in section E Part 5 of this application package.

### **Cost Share Requirement (Local Match)**

Each recipient of an Even Start Indian tribes and tribal organization grant must provide a cost share of at least 10 percent (for the first budget year), 20 percent (for the second budget year), 30 percent (for the third budget year), 40 percent (for the fourth budget year), 50 percent (for the fifth through eighth years of funding), and 65 percent in any subsequent year (see information below).

The Federal share of the project may not exceed –

- 90 percent of the total cost of the project in the first year;
- 80 percent in the second year;
- 70 percent in the third year;
- 60 percent in the fourth year;
- 50 percent in the fifth through eighth years; and
- 35 percent in any subsequent year.

**The local project or matching share (cost share) is the difference between the amount of Federal funding and the total project cost for the year:**

$$\text{Federal Request} + \text{Cost-share} = \text{Total Cost of the Project}$$

**NOTE:** For example, if the total cost for a project in the first year was \$200,000, the amount that the local project would be required to provide (in cash or in-kind contributions) is \$20,000 (\$200,000 - \$180,000 = \$20,000). This \$20,000 is called the "local project share." If the

Federal share in the second year was 80% (\$160,000), the local project share would be \$40,000 (\$200,000 - \$160,000 = \$40,000).

The project may provide this cost-share from any source other than funds under this program, including other Federal funds: the term “**non-Federal funds**” as stated on **Form 524**, means any funds not awarded under the Even Start Family Literacy Program. Therefore other Federal funds are allowable in the cost-share amount. You may provide the project cost-share through contributions of cash or in-kind, fairly evaluated, including plant, equipment, and services, but may only use allowable costs. Grantees may not claim indirect costs of a project as part of their matching or local project cost share.

**NOTE: For information about how to place a value on any in-kind contributions, please refer to section 80.24 of EDGAR.**

### **Relevant Statutory Definitions**

The following definitions are applicable to this notice and grant competition:

“**Family literacy services**” means services provided to participants on a voluntary basis that are of sufficient intensity in terms of hours, and of sufficient duration, to make sustainable changes in a family, and that integrates all of the following instructional activities:

- (A) Interactive literacy activities between parents and their children
  - (B) Training for parents regarding how to be the primary teacher for their children and full partners in the education of their children
  - (C) Parent literacy training that leads to economic self-sufficiency
  - (D) An age-appropriate education to prepare children for success in school and life experiences
- (Section 9101(20) of the ESEA.)

“**Indian Tribe**” means any Indian tribe, band, nation, or other organized group or community, including any Alaska Native village or regional or village corporation as defined in or established pursuant to the Alaska Native Claims Settlement Act (85 Stat. 688), which is recognized as eligible for the special programs and services provided by the United States to Indians because of their status as Indians. (Section 4 of the Indian Self-Determination and Education Act.) (See section 1232 (e)(3) of the ESEA).

“**Parent**” includes a legal guardian or other person standing in loco parentis (such as a grandparent or stepparent with whom the child lives, or a person who is legally responsible for the child’s welfare). (Section 9101(30) of the ESEA.)

“**Scientifically based reading research**” means research that—

(A) applies rigorous, systematic, and objective procedures to obtain valid knowledge relevant to reading development, reading instruction, and reading difficulties; and

(B) includes research that—

- (i) employs systematic, empirical methods that draw on observation or experiment;
- (ii) involves rigorous data analyses that are adequate to test the stated hypotheses and justify the general conclusions drawn;
- (iii) relies on measurements or observational methods that provide valid data across evaluators and observers and across multiple measurements and observations;
- (iv) has been accepted by a peer-reviewed journal or approved by a panel of independent experts through a comparably rigorous, objective, and scientific review. (Section 1208(6) of the ESEA.)

**“Tribal Organization”** means the recognized body of any Indian tribe; any legally established organization of Indians which is controlled, sanctioned, or chartered by such governing body or which is democratically elected by the adult members of the Indian community to be served by such organization and which includes the maximum participation of Indians in all phases of its activities: Provided, That in any case where a contract is let or grant made to an organization to perform services benefiting more than one Indian tribe, the approval of each such Indian tribe shall be a prerequisite to the letting or making of such contract or grant. (Section 4 of the Indian Self-Determination and Education Assistance Act.) (See section 1232(e)(3) of the ESEA.)

### ***Applicant Guide***

#### **Eligible Applicants**

Eligible applicants for Even Start Family Literacy Program Grants for Federally Recognized Indian Tribes and Tribal Organizations are federally recognized Indian tribes and tribal organizations. Definitions of the terms “Indian tribe” and “tribal organization” are in section 4 of the Indian Self-Determination and Education Assistance Act, 25 U.S.C. 450b, and are included above in this section.

#### **Number of Estimated Grants To Be Awarded**

An estimated 3-5 grants will be awarded for FY 2009.

#### **Estimated Amount of Each Grant**

The estimated average range of awards is \$150,000 - \$250,000 per year (estimated average size of awards: \$200,000 per year).

**NOTE:** The Department is not bound by any estimates in this application package or the *Federal Register* notice inviting applications.

Contingent upon the availability of funds and the quality of applications, we may make additional awards later in FY 2009 or in FY 2010 from the list of unfunded applicants from this competition.

#### **Application Deadline**

The deadline for transmittal of applications for FY 2009 Even Start Family Literacy Program grants for federally recognized Indian tribes and tribal organizations is **May 4, 2009, by 4:30:00 p.m. (Washington, DC time)**. **All applicants must submit their applications through the Internet using the Governmentwide Grants.gov Apply site at <http://www.Grants.gov>.** For further details, see section C, “Application Transmittal Instructions,” later in this application package. We do not consider an application that does not comply with the deadline requirements.

## **Length of Project Period**

A project period covers the entire time a project will operate. Applicants propose the length of their project periods, which may last for up to four years (48 months) for these grants. Generally, applicants propose four-year project periods for Even Start grants to Indian tribes and tribal organizations. The Department encourages applicants to use up to the first three months of the first year as a planning and preparation period to acquire and train staff, screen and recruit eligible families that are most in need of family literacy services, acquire instructional programs and assessment materials, and coordinate the community resources that are necessary to provide an integrated family literacy program of early childhood education, adult education, parenting education, and parent-child interactive literacy activities. However, after the first 3 months, the Department expects the project to be fully implemented, including having the number of fully participating families proposed in its approved application.

## **Difference Between A Project and A Budget Period**

A budget period is each year within a multi-year project period. Before each new budget period, a project must submit an annual performance report showing how the project has made substantial progress toward meeting the goals and objectives it set forth in its approved application. If the Department determines that the project has made substantial progress toward its goals and objectives, and Congress appropriates sufficient funds for the program, and the Department determines that continuation of the project is in the best interests of the Federal Government, then the project will receive funds under a “continuation” grant for the next annual budget period.

At the end of a multi-year project period, a grantee may apply for a new grant contingent upon available funding. All grantees that wish to apply for additional funding at the end of their project periods (up to 4 years) must recompile for funding with new applicants.

## **Invitational Priorities**

Under this competition we are particularly interested in applications that address the following priorities. For FY 2009, these are invitational priorities. Under 34 CFR 75.105(c)(1) we do not give an application that meets this invitational priorities a competitive or absolute preference over other applications.

These priorities are:

### Invitational Priority 1 – Intensity.

Applications that propose to operate full-time programs of high intensity that offer a minimum of the following hours in each of the following four core instructional components:

Adult Education – 60 hours per month.

Early Childhood Education (birth through 3 years of age) – 60 hours per month.

Early Childhood Education (3 to 4 years of age) – 65 hours per month.

Parenting Education and Interactive Literacy Activities between Parents and Children – 20 hours per month.

Scientifically based research on increasing the effectiveness of early childhood education programs serving children from low-income families tells us that children who participate more intensively in early childhood education score higher on standardized literacy measures. For example, the Third National Even Start Evaluation: Program Impacts and Implications for Improvement showed that "children who participated more intensively in early childhood education scored higher on

standardized literacy skills. Further, parents who participate more intensively in parenting education have children who score higher on standardized literacy measures." <sup>1</sup> In other words, children who spend more time in high-quality early childhood education programs learn more than children who spend less time in those programs. The purpose of this invitational priority is to encourage family literacy programs supported with Even Start funds to provide services that are of a sufficient intensity to maximize language and early literacy gains for children enrolled in those programs.

#### Invitational Priority 2 –Early Childhood Education Services in a Group Setting.

Applications that propose to offer center-based early childhood education services.

The research in early childhood education, such as the Third National Even Start Evaluation, shows that educational services for young children that are provided in a center are more likely to be intensive and, therefore, more likely to result in significant learning outcomes than non-center-based services. A center is defined, for the purpose of this invitational priority, as a place where early childhood educational services can be provided to a group of children from multiple households. All center-based programs still must comply with the required program elements, including providing integrated home-based instructional programs.

#### **Application Procedures**

For this competition it is mandatory for applicants to use the government-wide website, Grants.gov (<http://www.grants.gov>), to apply. Please note that the Grants.gov site works differently than the U.S. Department of Education's e-Application System. We strongly encourage you to familiarize yourself with Grants.gov and strongly recommend that you register and submit early. For further instructions on submitting your application through Grants.gov, see section C, Application Transmittal Instructions, below. Please note that you must follow the Application Procedures as described in the Federal Register notice announcing the grant competition.

For further information on how to apply for an exception to the electronic submission requirement, see Exception to Electronic Submission Requirement, in section IV. Application and Submission Information, of the Federal Register notice.

Peer reviewers will evaluate applications from eligible Indian tribes and tribal organizations on the selection criteria in the Federal Register notice inviting applications, also listed in section E part 4 of this application. We will make award determinations based on the procedures in section 75.217 of EDGAR (34 CFR 75.217), including taking into consideration the rank ordering of the applications following peer review and other relevant information.

#### ***Technical Assistance for Prospective Applicants***

##### **Online Resources**

You may find the following resources helpful in preparing your application:

Grantmaking at ED (August 2004) at the following Web site:

<http://www.ed.gov/fund/grant/about/grantmaking/index.html>, and Guidance for the William F.

Goodling Even Start Family Literacy Programs at the following Web site:

<http://www.ed.gov/policy/elsec/guid/evenstartguidance02.doc> .

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<sup>1</sup> Ricciuti, A.E., St.Pierre, R.G., Lee, W., Parsad, A. & Rimdzius, T. *Third National Even Start Evaluation: Follow-Up Findings From the Experimental Design Study*. U.S. Department of Education, Institute of Education Sciences, National Center for Education Evaluation and Regional Assistance. Washington, DC: 2004. p. 8-9.

**Workshops**

We will host two (2) applicant technical assistance workshops using WebEx to assist prospective applicants who are interested in submitting applications in this year's Even Start grant competition. We will present information about the Even Start program, the invitational priorities, selection criteria, program requirements, the submission of applications through Grants.gov, other information, and be available to answer questions. For dates and times of the technical assistance workshops, and instructions on how to use WebEx, go to <http://www.ed.gov/programs/evenstartindian/applicant.html> or <http://www.evenstartnetwork.net/>. After the technical assistance workshops, applicants will be able to view an archived copy of the presentation at the above websites.

***Program Contact Information***

Please visit our program website at <http://www.ed.gov/programs/evenstartindian/index.html> for further information. If you have any questions about the program after reviewing the application package, please contact Amber Sheker by telephone at (202) 205-0653, via e-mail at [Amber.Sheker@ed.gov](mailto:Amber.Sheker@ed.gov), or write directly to: Amber Sheker, Even Start Family Literacy Program Grants for Federally Recognized Indian Tribes and Tribal Organizations program, U.S. Department of Education, 400 Maryland Avenue, SW, 3E252, Washington D.C. 20202-6200.

## Application Transmittal Instructions

Attention Electronic Applicants: This program **requires** the electronic submission of applications--specific requirements and instructions can be found in the Federal Register notice. **Please note that you must follow the Application Procedures as described in the Federal Register notice announcing the grant competition.**

We will reject your application if you submit it in paper format unless, as described in the Federal Register notice for this competition, you 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. For further information on how to apply for an exception to the electronic submission requirement, see Exception to Electronic Submission Requirement, in section IV. Application and Submission Information, of the Federal Register notice.

### Applications Submitted Electronically

Applications for grants under this program must be submitted electronically using the Governmentwide Grants.gov Apply site at <http://www.Grants.gov>. Through this site, you will be able to download a copy of the application package, complete it offline, and then upload and submit your application. You may **not** e-mail an electronic copy of a grant application to us.

Your application must be fully uploaded and submitted and must be date and time stamped by the Grants.gov system **no later than 4:30:00 p.m., Washington, DC time, on the application deadline date**. Except as otherwise noted in Federal Register notice for this competition, we will not consider your application if it is date and time stamped by the Grants.gov system later than 4:30:00 p.m., Washington, DC time, on the application deadline date.

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

### **Please note the following:**

- 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.**
- Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission.
- When attaching files, applicants should limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We recommend your file names be less than 50 characters. 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.



- Your electronic application must comply with any page-limit requirements described in this application package.
- If you are experiencing problems submitting your application through Grants.gov, please contact the Grants.gov Support Desk, toll free, at 1-800-518-4726. You must obtain a Grants.gov Support Desk Case Number and must keep a record of it.

**According to the instructions found in the Federal Register notice, only those requesting and qualifying for an Exception to the electronic submission requirement may submit an application via mail, commercial carrier or by hand delivery. For further information on how to apply for an exception to the electronic submission requirement, see Exception to Electronic Submission Requirement in section IV. Application and Submission Information of the Federal Register notice.**

Submission of Paper Applications by Mail:

If you qualify for an exception to the electronic submission requirement, you may mail (through the U.S. Postal Service or a commercial carrier) your application to the Department. You must mail the original and two copies of your application, 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 84.258A)  
 LBJ Basement Level 1  
 400 Maryland Avenue, SW.  
 Washington, DC 20202-4260

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

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

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

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

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

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

Submission of Paper Applications by Hand Delivery:

If you qualify for an exception to the electronic submission requirement, you (or a courier service) may deliver your paper application to the Department by hand. You 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 84.258A)  
550 12th Street, SW.  
Washington, DC 20202-4260

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

Note for Mail or Hand Delivery of Paper Applications:

If you mail or hand deliver your application to the Department--

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

### ***Submitting Applications with Adobe Reader Software***

The Department of Education, working with Grants.gov, is currently moving from using PureEdge software to using Adobe Reader software exclusively and applications submitted to Grants.gov for the Department of Education will be posted using Adobe forms. Applicants will no longer need to use the PureEdge software to create or submit an application.

**Please note:** The compatible version of Adobe Reader is **required** for viewing, editing and submitting a complete grant application package for the Department of Education through Grants.gov. Applicants should confirm the compatibility of their Adobe Reader version **before** downloading the application. To ensure applicants have a version of Adobe Reader on their computer that is compatible with Grants.gov, applicants are encouraged to use the test package provided by Grants.gov that can be accessed at <http://www.grants.gov/applicants/AdobeVersioningTestOnly.jsp>.

#### **Important issues to consider:**

- If the applicant opened or edited the application package with any software other than the compatible version of Adobe Reader, the application package may contain errors that will be transferred to the new package even if you later download the compatible Adobe Reader version.
- Applicants **cannot** copy and paste data from a package initially opened or edited with an incompatible version of Adobe Reader and will need to download an **entirely new package** using the compatible version of Adobe Reader.
- Some applicants using an incompatible version of Adobe Reader **may have trouble** opening and viewing the application package while others may find they can open, view and complete the application package but **may not be able to submit** the application package through Grants.gov.
- Grants.gov **does not** guarantee to support versions of Adobe Reader that are not compatible with Grants.gov.
- Any and all edits made to the Adobe Reader application package **must** be made with the compatible version of Adobe Reader.

**For your convenience, the latest version of Adobe Reader is available for free download at**

[http://grantsgov.tmp.com/static2007/help/download\\_software.jsp#adobe811](http://grantsgov.tmp.com/static2007/help/download_software.jsp#adobe811).

We strongly recommend that you review the information on computer and operating system compatibility with Adobe available at [http://www.grants.gov/applicants/applicant\\_faqs.jsp#software](http://www.grants.gov/applicants/applicant_faqs.jsp#software) **before** downloading, completing or submitting your application.

Applicants are reminded that they should submit their application a day or two in advance of the closing date as detailed in the Federal Register Notice. If you have any questions regarding this matter please email the Grants.gov Contact Center at [support@grants.gov](mailto:support@grants.gov) or call 1-800-518-4726

## ***Education Submission Procedures and Tips for Applicants***

To facilitate your use of Grants.gov, this document includes important submission procedures you need to be aware of to ensure your application is received in a timely manner and accepted by the Department of Education.

### **ATTENTION**

Applications submitted to Grants.gov for the Department of Education will be posted using Adobe forms. Therefore, applicants will need to download the latest version of Adobe reader (at least Adobe Reader 8.1.2). Information on computer and operating system compatibility with Adobe and links to download the latest version is available on Grants.gov.

We strongly recommend that you review these details on [www.Grants.gov](http://www.Grants.gov) before completing and submitting your application. In addition, applicants should submit their application a day or two in advance of the closing date as detailed below. Applicants will no longer need to use the PureEdge software to create or submit an application. If you have any questions regarding this matter please email the Grants.gov Contact Center at [support@grants.gov](mailto:support@grants.gov) or call 1-800-518-4726.

1) **REGISTER EARLY** – Grants.gov registration may take five or more business days to complete. You may begin working on your application while completing the registration process, but you cannot submit an application until all of the Registration steps are complete. For detailed information on the Registration Steps, please go to: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). [Note: Your organization will need to update its Central Contractor Registry (CCR) registration annually.]

2) **SUBMIT EARLY** – We strongly recommend that you do not wait until the last day to submit your application. Grants.gov will put a date/time stamp on your application and then process it after it is fully uploaded. The time it takes to upload an application will vary depending on a number of factors including the size of the application and the speed of your Internet connection, and the time it takes Grants.gov to process the application will vary as well. If Grants.gov rejects your application (see step three below), you will need to resubmit successfully before 4:30:00 p.m. Washington, DC time on the deadline date.

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

3) **VERIFY SUBMISSION IS OK** – You will want to verify that Grants.gov and the Department of Education receive your Grants.gov submission timely and that it was validated successfully. To see the date/time your application was received, login to Grants.gov and click on the Track My Application link. For a successful submission, the date/time received should be earlier than 4:30:00 p.m. 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/time received is later than 4:30:00 p.m. *Eastern Standard Time*, on the deadline 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/applicants/applicant\\_faqs.jsp#54](http://www.grants.gov/applicants/applicant_faqs.jsp#54).

For more detailed information on why an application may be rejected, you can review Application Error Tips <http://www.grants.gov/section910/ApplicationErrorTips.pdf>. If you discover your application is late or has been rejected, please see the instructions below. Note: You will receive a series of confirmations both online and via e-mail about the status of your application. Please do not rely solely on e-mail to confirm whether your application has been received timely and validated successfully.

### ***Submission Problems – What should you do?***

If you have problems submitting to Grants.gov before the closing date, please contact Grants.gov Customer Support at 1-800-518-4726 or <http://www.grants.gov/contactus/contactus.jsp>, 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).

Electronic submission is required and you must submit an electronic application before 4:30:00 p.m., unless you follow the procedures in the Federal Register notice and qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. (See the Federal Register notice for detailed instructions.)

### **Helpful Hints When Working with Grants.gov**

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

Please go to [http://www.grants.gov/applicants/applicant\\_help.jsp](http://www.grants.gov/applicants/applicant_help.jsp) for help with Grants.gov. For additional tips related to submitting grant applications, please refer to the Grants.gov Submit Application FAQs found on the Grants.gov [http://www.grants.gov/help/submit\\_application\\_faqs.jsp](http://www.grants.gov/help/submit_application_faqs.jsp).

### **Dial-Up Internet Connections**

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

### **MAC Users**

If you do not have a Windows operating System, you may need to use the Citrix solution discussed on Grants.gov to submit an application using Grants.gov. For additional information, review the FAQs for non-windows users [http://www.grants.gov/help/download\\_software.jsp](http://www.grants.gov/help/download_software.jsp). **If electronic submission is required and you are concerned about your ability to submit electronically as a non-windows user, please follow instructions in the Federal Register notice to obtain an exception to the electronic submission requirement no later than two weeks before the application deadline date.** (See the Federal Register notice for detailed instructions.)

### ***Attaching Files – Additional Tips***

Please note the following tips related to attaching files to your application:

1. Ensure that you only attach the Education approved file types detailed in the Federal Register application notice (**.doc, .pdf or .rtf**). Also, do not upload any password protected files to your application.
2. Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission. Therefore, each file uploaded to your application package should have a unique file name.
3. When attaching files, applicants should limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We recommend you keep your file names to less than 50 characters. In addition, applicants should avoid including special characters in their file names (for example, %, \*, /, etc.) Both of these conditions (lengthy file names and/or special characters including in the file names) could result in difficulties opening and processing a submitted application.
4. Applicants should limit the size of their file attachments. Documents submitted that contain graphics and/or scanned material often greatly increase the size of the file attachments and can result in difficulties opening the files. For reference, the average discretionary grant application package totals 1 to 2 MB. Therefore, you may want to check the total size of your package before submission.

## Legal and Regulatory Information

### *Notice inviting applications for new awards for fiscal year (FY) 2009*

4000-01-U

DEPARTMENT OF EDUCATION

Office of Elementary and Secondary Education

Overview Information

William F. Goodling Even Start Family Literacy Programs -- Grants for Federally Recognized Indian Tribes and Tribal Organizations

Notice inviting applications for new awards for fiscal year (FY) 2009.

Catalog of Federal Domestic Assistance (CFDA) Number: 84.258A.

#### Dates:

Applications Available: March 9, 2009.

Deadline for Transmittal of Applications: May 4, 2009.

#### Full Text of Announcement

##### I. Funding Opportunity Description

Purpose of Program: The William F. Goodling Even Start Family Literacy Programs (Even Start), including the grants for Indian tribes and tribal organizations, are intended to help break the cycle of poverty and illiteracy by improving the educational opportunities of low-income families by integrating early childhood education, adult literacy or adult basic education, and parenting education into a unified family literacy program. These programs are implemented through cooperative activities that: build on high-quality existing community resources to create a new range of educational services; promote the academic achievement of children and adults; assist children and adults from low-income families in achieving challenging State content and student achievement standards; and use instructional programs based on scientifically based reading research and addressing the prevention of reading difficulties for children and adults, to the extent such research is available. A description of the required 15 program elements for which funds must be used is included in the application package.

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

Invitational Priorities: For FY 2009 and any subsequent year in which we make awards from the list of unfunded applicants from this competition, these priorities are invitational priorities. Under 34 CFR 75.105(c)(1) we do not give an application that meets these invitational priorities a competitive or absolute preference over other applications.

These priorities are:

##### Invitational Priority 1 -- Intensity.

Applications that propose to operate full-time programs of high intensity that offer a minimum of the following hours in each of the following four core instructional components:

Adult Education – 60 hours per month.

Early Childhood Education (birth through 3 years of age) – 60 hours per month.

Early Childhood Education (3 to 4 years of age) – 65 hours per month.

Parenting Education and Interactive Literacy Activities between Parents and Children – 20 hours per month.

Scientifically based research on increasing the effectiveness of early childhood education programs serving children from low-income families tells us that children who participate more intensively in early childhood education score higher on standardized literacy measures. For example, the Third National Even Start Evaluation: Program Impacts and Implications for Improvement showed that "children who participated more intensively in early childhood education scored higher on standardized literacy skills. Further, parents who participate more intensively in parenting education have children who score higher on standardized literacy measures." \1\ In other words, children who spend more time in high-quality early childhood education programs learn more than children who spend less time in those programs. The purpose of this invitational priority is to encourage family literacy programs supported with Even Start funds to provide services that are of a sufficient intensity to maximize language and early literacy gains for children enrolled in those programs.<sup>2</sup>

#### Invitational Priority 2 — Early Childhood Education Services in a Group Setting.

Applications that propose to offer center-based early childhood education services.

The research in early childhood education, such as the Third National Even Start Evaluation, shows that educational services for young children that are provided in a center are more likely to be intensive and, therefore, more likely to result in significant learning outcomes than non-center-based services. A center is defined, for the purpose of this invitational priority, as a place where early childhood educational services can be provided to a group of children from multiple households. All center-based programs still must comply with the required program elements, including providing integrated home-based instructional programs.

Program Authority: 20 U.S.C. 6381a(a)(1)(C).

Applicable Regulations: The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 75, 77, 80, 81, 82, 84, 85, 86, 97, 98, and 99.

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

## II. Award Information

Type of Award: Discretionary grant.

Estimated Available Funds: \$831,470 of FY 2008 funds are available for new awards in FY 2009.

Contingent upon the availability of funds and the quality of applications, we may make additional awards later in FY 2009 or in FY 2010 from the list of unfunded applicants from this competition.

Estimated Range of Awards: \$150,000 - \$250,000 per year.

Estimated Average Size of Awards: \$200,000 per year.

Estimated Number of Awards: 3-5.

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

Project Period: Up to 48 months.

## III. Eligibility Information

1. Eligible Applicants: Federally recognized Indian tribes and tribal organizations. Definitions of the terms "Indian tribe" and "tribal organization" are in section 4 of the Indian Self-Determination and Education Assistance Act, 25 U.S.C. 450b.
2. Cost Sharing or Matching: Cost sharing requirements for these grants are detailed in section 1234(b) of the Elementary and Secondary Education Act of 1965 (ESEA).
3. Other:
  - (a) In general, a family is eligible to participate in an Even Start project for Indian tribes and

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<sup>2</sup> 1 Ricciuti, A.E., St.Pierre, R.G., Lee, W., Parsad, A. & Rimdzius, T. Third National Even Start Evaluation: Follow-Up Findings From the Experimental Design Study. U.S. Department of Education, Institute of Education Sciences, National Center for Education Evaluation and Regional Assistance. Washington, DC: 2004. p. 8-9.



tribal organizations if—

(1) the participating parent (a) is eligible to participate in adult education and literacy activities under the Adult Education and Family Literacy Act, or (b) is within the State's compulsory school attendance age range (in which case a local educational agency must provide or ensure the availability of the basic education component), or is attending secondary school; and  
(2) the participating child is younger than eight years of age. More specific information on family eligibility is contained in section 1236 of the ESEA.

- (b) Participation by Private School Children and Teachers. An entity that receives a grant under the Even Start Family Literacy Program for Indian tribes and tribal organizations is required to provide for the equitable participation of otherwise eligible private elementary school children and secondary school students and their teachers or other educational personnel. In order to ensure that grant program activities address the needs of private school children, the applicant must engage in timely and meaningful consultation with appropriate elementary and secondary private school officials during the design and development of the program. This consultation must take place before the applicant makes any decision that affects the opportunities of eligible private school children and students, teachers, and other educational personnel to participate. Administrative direction and control over grant funds must remain with the grantee. (See section 9501, Participation by Private School Children and Teachers, of the ESEA.)

#### IV. Application and Submission Information

1. Address to Request Application Package: You can obtain an application package via the Internet or from the Education Publications Center (ED Pubs). To obtain a copy via the Internet, use the following address: [www.Grants.gov](http://www.Grants.gov). To obtain a copy from ED Pubs, write, fax, or call the following: Education Publications Center, 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), call, toll free: 1-877-576-7734.

You can contact ED Pubs at its Web site, also: [www.ed.gov/pubs/edpubs.html](http://www.ed.gov/pubs/edpubs.html) or at its e-mail address: [edpubs@inet.ed.gov](mailto:edpubs@inet.ed.gov).

If you request an application from ED Pubs, be sure to identify this program or competition as follows: CFDA number 84.258A.

Individuals with disabilities can obtain a copy of the application package in an accessible format (e.g., braille, large print, audiotape, or computer diskette) by contacting the program contact person listed under Accessible Format in section VIII of this notice.

2. Content and Form of Application Submission: Requirements concerning the content of the application, together with the forms you must submit, are in the application package for this competition.  
Page Limit: The application narrative is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. You must limit the application narrative to the equivalent of no more than 25 typed pages. You, the applicant, also provide a budget narrative that reviewers use to evaluate your application. You must limit the budget narrative to the equivalent of no more than 5 typed pages, and the project abstract to the equivalent of no more than 2 typed pages. For all page limits, use the following standards:
- A "page" is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.
  - Double space (no more than three lines per vertical inch) all text in the application and budget narratives, including titles, headings, footnotes, quotations, references, and captions. Text in tables, charts, graphs, and the limited Appendices may be single spaced.
  - Use a font that is either 12-point or larger or no smaller than 10 pitch (characters per inch). You may use other point fonts for any tables, charts, graphs, and the limited Appendices, but those tables,

charts, graphs, and limited Appendices should be in a font size that is easily readable by the reviewers of your application.

- Use one of the following fonts for the application and budget narratives: Times New Roman, Courier, Courier New, or Arial. An application with an application or budget narrative submitted in any other font (including Times Roman or Arial Narrow) will not be accepted.
- Other application materials are limited to the specific materials indicated in the application package, and may not include any video or other non-print materials.

The page limits do not apply to: the cover sheet; the budget forms; and the assurances and certifications. Any tables, charts, or graphs are included in the overall application narrative and budget narrative page limits. The limited Appendices are not part of these page limits. Appendices are limited to the following: the curriculum vitae or position descriptions of no more than 5 people (including key contract personnel and consultants).

Our reviewers will not read any pages of your application that exceed the page limit; or exceed the equivalent of the page limit if you apply other standards.

In addition, our reviewers will not read or view any Appendices or enclosures (including non-print materials such as videotapes or CDs) other than those described in this notice and the application package.

3. Submission Dates and Times:

Applications Available: March 9, 2009.

Deadline for Transmittal of Applications: May 4, 2009.

Applications for grants under this competition must be submitted electronically using the Grants.gov Apply site (Grants.gov). For information (including dates and times) about how to submit your application electronically, or in paper format by mail or hand delivery if you qualify for an exception to the electronic submission requirement, please refer to section IV. 6. Other Submission Requirements of 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. If the Department provides an accommodation or auxiliary aid to an individual with a disability in connection with the application process, the individual's application remains subject to all other requirements and limitations in this notice.

4. Intergovernmental Review: This competition is not subject to Executive Order 12372 and the regulations in 34 CFR part 79.

5. Funding Restrictions: Recipients of an Even Start Indian tribe and tribal organization grant may not use funds awarded under this competition for the indirect costs of a project, or claim indirect costs as part of the local project share. (Section 1234(b)(3) of the ESEA.) Grant recipients may request that the Secretary waive this requirement under appropriate circumstances. To obtain a waiver, a recipient must demonstrate to the Secretary's satisfaction that the recipient otherwise would not be able to participate in the Even Start program. (Section 1234(b)(3) of the ESEA.) Information about requesting a waiver is in the application package. We reference regulations outlining additional funding restrictions in the Applicable Regulations section of this notice.

6. Other Submission Requirements:

Applications for grants under this competition must be submitted electronically unless you qualify for an exception to this requirement in accordance with the instructions in this section.

a. Electronic Submission of Applications.

Applications for grants under the William F. Goodling Even Start Family Literacy Programs -- Grants for Federally Recognized Indian Tribes and Tribal Organizations, CFDA Number 84.258A, must be submitted electronically using the Governmentwide Grants.gov Apply site at

www.Grants.gov. Through this site, you will be able to download a copy of the application package, complete it offline, and then upload and submit your application. You may not e-mail an electronic copy of a grant application to us.

We will reject your application if you submit it in paper format unless, as described elsewhere in this section, you 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. Further information regarding calculation of the date that is two weeks before the application deadline date is provided later in this section under Exception to Electronic Submission Requirement.

You may access the electronic grant application for William F. Goodling Even Start Family Literacy Programs -- Grants for Federally Recognized Indian Tribes and Tribal Organizations at www.Grants.gov. You must search for the downloadable application package for this competition by the CFDA number. Do not include the CFDA number's alpha suffix in your search (e.g., search for 84.258, not 84.258A).

Please note the following:

- When you enter the Grants.gov site, you will find information about submitting an application electronically through the site, as well as the hours of operation.
- Applications received by Grants.gov are date and time stamped. Your application must be fully uploaded and submitted and must be date and time stamped by the Grants.gov system no later than 4:30:00 p.m., Washington, DC time, on the application deadline date. Except as otherwise noted in this section, we will not accept your application if it is received--that is, date and time stamped by the Grants.gov system--after 4:30:00 p.m., Washington, DC time, on the application deadline date. We do not consider an application that does not comply with the deadline requirements. When we retrieve your application from Grants.gov, we will notify you if we are rejecting your application because it was date and time stamped by the Grants.gov system after 4:30:00 p.m., Washington, DC time, on the application deadline date.
- The amount of time it can take to upload an application will vary depending on a variety of factors, including the size of the application and the speed of your Internet connection. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the submission process through Grants.gov.
- You should review and follow the Education Submission Procedures for submitting an application through Grants.gov that are included in the application package for this competition to ensure that you submit your application in a timely manner to the Grants.gov system. You can also find the Education Submission Procedures pertaining to Grants.gov at <http://e-Grants.ed.gov/help/GrantsgovSubmissionProcedures.pdf>.
- To submit your application via Grants.gov, you must complete all steps in the Grants.gov registration process (see [www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp)). These steps include (1) registering your organization, a multi-part process that includes registration with the Central Contractor Registry (CCR); (2) registering yourself as an Authorized Organization Representative (AOR); and (3) getting authorized as an AOR by your organization. Details on these steps are outlined in the Grants.gov 3-Step Registration Guide (see [www.grants.gov/section910/Grants.govRegistrationBrochure.pdf](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 qualify for an exception to the electronic submission requirement, as described elsewhere in this section, and submit your application in paper format.

- 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.
- You must attach any narrative sections of your application as files in a .DOC (document), .RTF (rich text), or .PDF (Portable Document) format. If you upload a file type other than the three file types specified in this paragraph or submit a password-protected file, we will not review that material.
- Your electronic application must comply with any page-limit requirements described in this notice.
- After you electronically submit your application, you will receive from Grants.gov an automatic notification of receipt that contains a Grants.gov tracking number. (This notification indicates receipt by Grants.gov only, not receipt by the Department.) The Department then will retrieve your application from Grants.gov and send a second notification to you by e-mail. This second notification indicates that the Department has received your application and has assigned your application a PR/Award number (an ED-specified identifying number unique to your application).
- We may request that you provide us original signatures on forms at a later date.  
Application Deadline Date Extension in Case of Technical Issues with the Grants.gov System: If you are experiencing problems submitting your application through Grants.gov, please contact the Grants.gov Support Desk, toll free, at 1-800-518-4726. You must obtain a Grants.gov Support Desk Case Number and must keep a record of it.

If you are prevented from electronically submitting your application on the application deadline date because of technical problems with the Grants.gov system, we will grant you an extension until 4:30:00 p.m., Washington, DC time, the following business day to enable you to transmit your application electronically or by hand delivery. You also may mail your application by following the mailing instructions described elsewhere in this notice.

If you submit an application after 4:30:00 p.m., Washington, DC time, on the application deadline date, please contact the person listed under For Further Information Contact in section VII of this notice and provide an explanation of the technical problem you experienced with Grants.gov, along with the Grants.gov Support Desk Case Number. We will accept your application if we can confirm that a technical problem occurred with the Grants.gov system and that that problem affected your ability to submit your application by 4:30:00 p.m., Washington, DC time, on the application deadline date. The Department will contact you after a determination is made on whether your application will be accepted.

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

Exception to Electronic Submission Requirement: You qualify for an exception to the electronic submission requirement, and may submit your application in paper format, if you are unable to submit an application through the Grants.gov system because—

- You do not have access to the Internet; or
- You do not have the capacity to upload large documents to the Grants.gov system;  
and
- No later than two weeks before the application deadline date (14 calendar days or, if the

fourteenth calendar day before the application deadline date falls on a Federal holiday, the next business day following the Federal holiday), you mail or fax a written statement to the Department, explaining which of the two grounds for an exception prevent you from using the Internet to submit your application.

If you mail your written statement to the Department, it must be postmarked no later than two weeks before the application deadline date. If you fax your written statement to the Department, we must receive the faxed statement no later than two weeks before the application deadline date.

Address and mail or fax your statement to:

Amber Sheker, U.S. Department of Education, 400 Maryland Avenue, SW., room 3E252, Washington, DC 20202-6200. Telephone: (202) 205-0653. FAX: (202) 260-8969.

Your paper application must be submitted in accordance with the mail or hand delivery instructions described in this notice.

b. Submission of Paper Applications by Mail.

If you qualify for an exception to the electronic submission requirement, you may mail (through the U.S. Postal Service or a commercial carrier) your application to the Department. You must mail the original and two copies of your application, 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 84.258A)  
LBJ Basement Level 1  
400 Maryland Avenue, SW.  
Washington, DC 20202-4260

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

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

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

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

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

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

c. Submission of Paper Applications by Hand Delivery.

If you qualify for an exception to the electronic submission requirement, you (or a courier service) may deliver your paper application to the Department by hand. You 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 84.258A)  
550 12th Street, SW.  
Room 7041, Potomac Center Plaza

Washington, DC 20202-4260

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

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

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

## V. Application Review Information

Selection Criteria: The selection criteria for this competition are from sections 34 CFR 75.209 and 75.210 and are listed in the following paragraphs. The maximum score for each criterion is indicated after the title of the criterion. The maximum score for all of the selection criteria is 100 points.

### (1) Quality of the project design (50 points).

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

- (a) The extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable. (34 CFR 75.210(c)(2)(i))
- (b) The extent to which the proposed project represents an exceptional approach for meeting statutory purposes and requirements. (34 CFR 75.210(c)(2)(xiv))

Note: Under section 1235 of the ESEA, projects funded under this program must meet the following requirements:

- (1) Include the identification and recruitment of families most in need of services provided under this program, as indicated by a low level of income, a low level of adult literacy or English language proficiency of the eligible parent or parents, and other need-related indicators;
- (2) Include screening and preparation of parents, including teenage parents, and children to enable those parents and children to participate fully in the activities and services provided under this program, including testing, referral to necessary counseling, other developmental and support services, and related services;
- (3) Be designed to accommodate the participants' work schedule and other responsibilities, including the provision of support services, when those services are unavailable from other sources, necessary for participation in the activities assisted under this program, such as—
  - (a) Scheduling and locating of services to allow joint participation by parents and children;
  - (b) Child care for the period that parents are involved in the program provided under this program; and
  - (c) Transportation for the purpose of enabling parents and their children to participate in activities authorized by this program;
- (4) Include high-quality, intensive instructional programs that promote adult literacy and empower parents to support the educational growth of their children, developmentally appropriate early childhood educational services, and preparation of children for success in regular school programs;

- (5) With respect to the qualifications of staff the cost of whose salaries are paid, in whole or in part, with Federal funds provided under the grant, ensure that —
- (a)(i) A majority of the individuals providing academic instruction —
    - (I) Have obtained an associate's, bachelor's, or graduate degree in a field related to early childhood education, elementary school or secondary school education, or adult education; and
    - (II) If applicable, meet qualifications established by the State for early childhood education, elementary school or secondary school education, or adult education provided as part of an Even Start program or another family literacy program;
  - (ii) The individual responsible for administration of family literacy services carried out through the grant has received training in the operation of a family literacy program; and
  - (iii) Paraprofessionals who provide support for academic instruction have a secondary school diploma or its recognized equivalent; and
- (b) All new personnel hired to provide academic instruction —
- (i) Have obtained an associate's, bachelor's, or graduate degree in a field related to early childhood education, elementary school or secondary school education, or adult education; and
  - (ii) If applicable, meet qualifications established by the State for early childhood education, elementary school or secondary school education, or adult education provided as part of an Even Start program or another family literacy program;
- (6) Include special training of staff, including child-care staff, to develop the skills necessary to work with parents and young children in the full range of instructional services offered through this program;
- (7) Provide and monitor integrated instructional services to participating parents and children through home-based programs;
- (8) Operate on a year-round basis, including the provision of some program services, including instructional and enrichment services, during the summer months;
- (9) Be coordinated with—
- (a) Other programs assisted under the ESEA;
  - (b) Any relevant programs under the Adult Education and Family Literacy Act, the Individuals with Disabilities Education Act, and title I of the Workforce Investment Act of 1998; and
  - (c) The Head Start program, volunteer literacy programs, and other relevant programs;
- (10) Use instructional programs based on scientifically based reading research for children and adults, to the extent that research is available;
- (11) Encourage participating families to attend regularly and to remain in the program a sufficient time to meet their program goals;
- (12) Include reading-readiness activities for preschool children based on scientifically based reading research, to the extent available, to ensure that children enter school ready to learn to read;
- (13) If applicable, promote the continuity of family literacy to ensure that individuals retain and improve their educational outcomes;
- (14) Ensure that the programs will serve those families most in need of the activities and services provided by this program; and
- (15) Provide for an independent evaluation of the program, to be used for program improvement.

(2) Quality of project services (20 points).

The Secretary considers the quality of the services to be provided by the proposed project. In determining the quality of the services to be provided by the proposed project, the Secretary considers the quality and sufficiency of strategies for ensuring equal access and treatment for eligible project participants who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability. (34 CFR 75.210(d)(2)) In addition, the Secretary considers the following factor: The likelihood that the services to be provided by the proposed project will lead to improvements in the achievement of students as measured against rigorous academic standards. (34 CFR 75.210(d)(3)(vii))

(3) Adequacy of resources (15 points).

The Secretary considers the adequacy of resources for the proposed project. In determining the adequacy of resources for the proposed project, the Secretary considers the following factors:

(a) The adequacy of support, including facilities, equipment, supplies, and other resources, from the applicant organization or the lead applicant organization. (34 CFR 75.210(f)(2)(i))

Note: Please note that section 1234(b)(1) of the ESEA requires grantees to provide an increasing local project share over the grant period (at least the following amounts: 10 percent in the first year, 20 percent in the second year, 30 percent in the third year, 40 percent in the fourth year, 50 percent in the fifth through eighth years, and 65 percent thereafter). The law also does not permit indirect costs to be included in the budget, either as a part of the Federal funding or for the local project's share or match, unless a project requests and qualifies for a waiver of that requirement under section 1234(b)(3) of the ESEA.

(b) The extent to which the costs are reasonable in relation to the objectives, design, and potential significance of the proposed project. (34 CFR 75.210(f)(2)(iv))

(4) Quality of the management plan (15 points).

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

(a) The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks. (34 CFR 75.210(g)(2)(i))

(b) The extent to which the time commitments of the project director and principal investigator and other key personnel are appropriate and adequate to meet the objectives of the proposed project. (34 CFR 75.210 (g)(2)(iv))

Note: Grantees will be required to report annually on any project-specific performance measures that are included in the grantees' approved grant application, including the performance measures established for the Tribal Even Start Program under the Government Performance and Results Act (GPRA) and identified in section VI of the Federal notice under the heading Performance Measures.

## 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 notify you informally, also. If your application is not evaluated or not selected for funding, we notify you.
2. Administrative and National Policy Requirements: We identify administrative and national policy requirements in the application package and reference these and other requirements in the Applicable Regulations section of this notice. We reference the regulations outlining the terms and conditions of an award in the Applicable Regulations section of this notice and include these and other specific conditions in the GAN. The GAN also incorporates your approved application as part of your binding commitments under the grant.
3. Reporting: At the end of your project period, you must submit a final performance report, including



financial information, as directed by the Secretary. If you receive a multi-year award, you must submit an annual performance report that provides the most current performance and financial expenditure information as directed by the Secretary under 34 CFR 75.118. The Secretary may also require more frequent performance reports under 34 CFR 75.720(c). For specific requirements on reporting, please go to [www.ed.gov/fund/grant/apply/appforms/appforms.html](http://www.ed.gov/fund/grant/apply/appforms/appforms.html)

4. Performance Measures: The Department has established the following Government Performance and Results Act of 1993 (GPRA) performance measures for the William F. Goodling Even Start Family Literacy Programs, including the Indian tribes and tribal organizations grants:
- (1) The percentage of Tribal Even Start adults who do not have limited English proficiency who achieve significant learning gains in reading;
  - (2) The percentage of Tribal Even Start adults with limited English proficiency who achieve significant learning gains in reading/English Language acquisition;
  - (3) The percentage of Tribal Even Start adults with a high school completion goal who earn a high school diploma;
  - (4) The percentage of Tribal Even Start adults with the goal of General Equivalency Diploma (GED) attainment who earn a GED;
  - (5) The percentage of preschool-aged children participating in Tribal Even Start programs who achieve significant gains in oral language skills;
  - (6) The average number of letters Tribal Even Start preschool-aged children are able to identify; and
  - (7) The percentage of preschool-aged children participating in Tribal Even Start programs who demonstrate age-appropriate oral language skills.

These measures constitute the Department's indicators of success for this program. Consequently, we advise an applicant for a grant under this program to give careful consideration to these measures in conceptualizing the approach and evaluation for its proposed project. Each grantee will be required to provide, in its annual performance and final reports, data about its progress in meeting these measures. The Department will provide further information on selecting valid, reliable, and program-appropriate assessment instruments on the Tribal Even Start Web site at <http://www.ed.gov/programs/evenstartindian/applicant.html>.

## VII. Agency Contact

For Further Information Contact: Amber Sheker, U.S. Department of Education, 400 Maryland Avenue, SW., room 3E252, Washington, DC 20202-6200. Telephone: (202) 205-0653 or by email: [Amber.Sheker@ed.gov](mailto:Amber.Sheker@ed.gov)

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

## VIII. Other Information

Accessible Format: Individuals with disabilities can obtain this document and a copy of the application package in an accessible format (e.g., braille, large print, audiotope, or computer diskette) on request to the program contact person listed under For Further Information Contact in section VII of this notice.

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

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

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

Delegation of Authority: The Secretary of Education has delegated authority to Joseph C. Conaty, Director, Academic Improvement and Teacher Quality Programs for the Office of Elementary and Secondary Education to perform the functions of the Assistant Secretary for Elementary and Secondary Education.  
Dated:

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Joseph C. Conaty,  
Director, Academic  
Improvement and Teacher  
Quality Programs.

**Program Statute**

Electronic version of the statute available online <http://www.ed.gov/policy/elsec/leg/esea02/pg6.html>

**PART B, SUBPART 3 OF TITLE I  
OF THE  
ELEMENTARY AND SECONDARY EDUCATION ACT (ESEA)  
Subpart 3 — William F. Goodling Even Start Family Literacy Programs**

**SEC. 1231. STATEMENT OF PURPOSE.**

It is the purpose of this subpart to help break the cycle of poverty and illiteracy by —

- (1) improving the educational opportunities of the Nation's low-income families by integrating early childhood education, adult literacy or adult basic education, and parenting education into a unified family literacy program, to be referred to as 'Even Start'; and
- (2) establishing a program that shall —
  - (A) be implemented through cooperative projects that build on high-quality existing community resources to create a new range of services;
  - (B) promote the academic achievement of children and adults;
  - (C) assist children and adults from low-income families to achieve to challenging State content standards and challenging State student achievement standards; and
  - (D) use instructional programs based on scientifically based reading research and addressing the prevention of reading difficulties for children and adults, to the extent such research is available.

**SEC. 1232. PROGRAM AUTHORIZED.**

(a) RESERVATION FOR MIGRANT PROGRAMS, OUTLYING AREAS, AND INDIAN TRIBES-

- (1) IN GENERAL- For each fiscal year, the Secretary shall reserve 5 percent of the amount appropriated under section 1002(b)(3) (or, if such appropriated amount exceeds \$200,000,000, 6 percent of such amount) for programs, under such terms and conditions as the Secretary shall establish, that are consistent with the purpose of this subpart, and according to their relative needs, for —
  - (A) children of migratory workers;
  - (B) the outlying areas; and
  - (C) Indian tribes and tribal organizations.
- (2) SPECIAL RULE- After December 21, 2000, the Secretary shall award a grant, on a competitive basis, of sufficient size and for a period of sufficient duration to demonstrate the effectiveness of a family literacy program in a prison that houses women and their preschool age children and that has the capability of developing a program of high quality.
- (3) COORDINATION OF PROGRAMS FOR AMERICAN INDIANS- The Secretary shall ensure that programs under paragraph (1)(C) are coordinated with family literacy programs operated by the Bureau of Indian Affairs in order to avoid duplication and to encourage the dissemination of information on high-quality family literacy programs serving American Indians.

(b) RESERVATION FOR FEDERAL ACTIVITIES-

(1) EVALUATION, TECHNICAL ASSISTANCE, PROGRAM IMPROVEMENT, AND REPLICATION ACTIVITIES- Subject to paragraph (2), from amounts appropriated under section 1002(b)(3), the Secretary may reserve not more than 3 percent of such amounts for purposes of —

(A) carrying out the evaluation required by Section 1239; and

(B) providing, through grants or contracts with eligible organizations, technical assistance, program improvement, and replication activities.

(2) RESEARCH- In any fiscal year, if the amount appropriated under Section 1002(b)(3) for such year —

(A) is equal to or less than the amount appropriated for the preceding fiscal year, the Secretary may reserve from such amount only the amount necessary to continue multi-year activities carried out pursuant to Section 1241(b) that began during or prior to the fiscal year preceding the fiscal year for which the determination is made; or

(B) exceeds the amount appropriated for the preceding fiscal year, then the Secretary shall reserve from such excess amount \$2,000,000 or 50 percent, whichever is less, to carry out Section 1241(b).

(c) RESERVATION FOR GRANTS-

(1) GRANTS AUTHORIZED-

(A) IN GENERAL- For any fiscal year for which at least one State educational agency applies and submits an application that meets the requirements and goals of this subsection and for which the amount appropriated under section 1002(b)(3) exceeds the amount appropriated under that section for the preceding fiscal year, the Secretary shall reserve, from the amount of the excess remaining after the application of subsection (b)(2), the amount of the remainder or \$1,000,000, whichever is less, to award grants, on a competitive basis, to State educational agencies to enable them to plan and implement statewide family literacy initiatives to coordinate and, where appropriate, integrate existing Federal, State, and local literacy resources consistent with the purposes of this subpart.

(B) COORDINATION AND INTEGRATION- The coordination and integration described in subparagraph (A) shall include coordination and integration of funds available under the Adult Education and Family Literacy Act, the Head Start Act, this subpart, part A of this title, and part A of title IV of the Social Security Act.

(C) RESTRICTION- No State educational agency may receive more than one grant under this subsection.

(2) CONSORTIA-

(A) ESTABLISHMENT- To receive a grant under this subsection, a State educational agency shall establish a consortium of State-level programs under the following provisions of laws:

(i) This title (other than part D).

(ii) The Head Start Act.

(iii) The Adult Education and Family Literacy Act.

(iv) All other State-funded preschool programs and programs providing literacy services to adults.

(B) PLAN- To receive a grant under this subsection, the consortium established by a State educational agency shall create a plan to use a portion of the State educational agency's resources, derived from the programs referred to in subparagraph (A), to strengthen and expand family literacy services in the State.

(C) COORDINATION WITH SUBPART 1- The consortium shall coordinate its activities under this paragraph with the activities of the reading and literacy partnership for the State educational agency established under section 1203(d), if the State educational agency receives a grant under section 1202.

(3) READING INSTRUCTION- Statewide family literacy initiatives implemented under this subsection shall base reading instruction on scientifically based reading research.

(4) TECHNICAL ASSISTANCE- The Secretary shall provide, directly or through a grant or contract with an organization with experience in the development and operation of successful family literacy services, technical assistance to State educational agencies receiving a grant under this subsection.

(5) MATCHING REQUIREMENT- The Secretary shall not make a grant to a State educational agency under this subsection unless the State educational agency agrees that, with respect to the costs to be incurred by the eligible consortium in carrying out the activities for which the grant was awarded, the State educational agency will make available non-Federal contributions in an amount equal to not less than the Federal funds provided under the grant.

(d) STATE EDUCATIONAL AGENCY ALLOCATION-

(1) IN GENERAL- From amounts appropriated under section 1002(b)(3) and not reserved under subsection (a), (b), or (c), the Secretary shall make grants to State educational agencies from allocations under paragraph (2).

(2) ALLOCATIONS- Except as provided in paragraph (3), from the total amount available under paragraph (1) for allocation to State educational agencies in any fiscal year, each State educational agency shall be eligible to receive a grant under paragraph (1) in an amount that bears the same ratio to the total amount as the amount allocated under part A to that State educational agency bears to the total amount allocated under that part to all State educational agencies.

(3) MINIMUM- No State educational agency shall receive a grant under paragraph (1) in any fiscal year in an amount that is less than \$250,000, or one-half of 1 percent of the amount appropriated under section 1002(b)(3) and not reserved under subsections (a), (b), and (c) for such year, whichever is greater.

(e) DEFINITIONS- For the purpose of this subpart —

(1) the term 'eligible entity' means a partnership composed of —

(A) a local educational agency; and

(B) a nonprofit community-based organization, a public agency other than a local educational agency, an institution of higher education, or a public or private nonprofit organization other than a local educational agency, of demonstrated quality;

(2) the term 'eligible organization' means any public or private nonprofit organization with a record of providing effective services to family literacy providers, such as the National Center for Family Literacy, Parents as Teachers, Inc., the Home Instruction Program for Preschool Youngsters, and the Home and School Institute, Inc.;

- (3) the terms 'Indian tribe' and 'tribal organization' have the meanings given those terms in section 4 of the Indian Self-Determination and Education Assistance Act;
- (4) the term 'scientifically based reading research' has the meaning given that term in section 1208; and
- (5) the term 'State' means each of the 50 States, the District of Columbia, and the Commonwealth of Puerto Rico.

**SEC. 1233. STATE EDUCATIONAL AGENCY PROGRAMS.**

(a) STATE EDUCATIONAL AGENCY LEVEL ACTIVITIES- Each State educational agency that receives a grant under section 1232(d)(1) may use not more than a total of 6 percent of the grant funds for the costs of —

- (1) administration, which amount shall not exceed half of the total;
- (2) providing, through one or more subgrants or contracts, technical assistance for program improvement and replication, to eligible entities that receive subgrants under subsection (b); and
- (3) carrying out sections 1240 and 1234(c).

(b) SUBGRANTS FOR LOCAL PROGRAMS-

(1) IN GENERAL- Each State educational agency shall use the grant funds received under section 1232(d)(1) and not reserved under subsection (a) to award subgrants to eligible entities to carry out Even Start programs.

(2) MINIMUM SUBGRANT AMOUNTS-

(A) IN GENERAL- Except as provided in subparagraphs (B) and (C), no State educational agency shall award a subgrant under paragraph (1) in an amount less than \$75,000.

(B) SUBGRANTEES IN NINTH AND SUCCEEDING YEARS- No State educational agency shall award a subgrant under paragraph (1) in an amount less than \$52,500 to an eligible entity for a fiscal year to carry out an Even Start program that is receiving assistance under this subpart or its predecessor authority for the ninth (or any subsequent) fiscal year.

(C) EXCEPTION FOR SINGLE SUBGRANT- A State educational agency may award one subgrant in each fiscal year of sufficient size, scope, and quality to be effective in an amount less than \$75,000 if, after awarding subgrants under paragraph (1) for that fiscal year in accordance with subparagraphs (A) and (B), less than \$75,000 is available to the State educational agency to award those subgrants.

**SEC. 1234. USES OF FUNDS.**

(a) IN GENERAL- In carrying out an Even Start program under this subpart, a recipient of funds under this subpart shall use those funds to pay the Federal share of the cost of providing intensive family literacy services that involve parents and children, from birth through age 7, in a cooperative effort to help parents become full partners in the education of their children and to assist children in reaching their full potential as learners.

(b) FEDERAL SHARE LIMITATION-

(1) IN GENERAL-

- (A) FEDERAL SHARE- Except as provided in paragraph (2), the Federal share under this subpart may not exceed —
- (i) 90 percent of the total cost of the program in the first year that the program receives assistance under this subpart or its predecessor authority;
  - (ii) 80 percent in the second year;
  - (iii) 70 percent in the third year;
  - (iv) 60 percent in the fourth year;
  - (v) 50 percent in the fifth, sixth, seventh, and eighth such years; and
  - (vi) 35 percent in any subsequent year.

(B) REMAINING COST- The remaining cost of a program assisted under this subpart may be provided in cash or in kind, fairly evaluated, and may be obtained from any source, including other Federal funds under this Act.

(2) WAIVER- The State educational agency may waive, in whole or in part, the Federal share described in paragraph (1) for an eligible entity if the entity —

(A) demonstrates that it otherwise would not be able to participate in the program assisted under this subpart; and

(B) negotiates an agreement with the State educational agency with respect to the amount of the remaining cost to which the waiver will be applicable.

(3) PROHIBITION- Federal funds provided under this subpart may not be used for the indirect costs of a program assisted under this subpart, except that the Secretary may waive this paragraph if an eligible recipient of funds reserved under section 1232(a)(1)(C) demonstrates to the Secretary's satisfaction that the recipient otherwise would not be able to participate in the program assisted under this subpart.

**(c) USE OF FUNDS FOR FAMILY LITERACY SERVICES-**

(1) IN GENERAL- A State educational agency may use a portion of funds reserved under section 1233(a), to assist eligible entities receiving a subgrant under section 1233(b) in improving the quality of family literacy services provided under Even Start programs under this subpart, except that in no case may a State educational agency's use of funds for this purpose for a fiscal year result in a decrease from the level of activities and services provided to program participants in the preceding year.

(2) PRIORITY- In carrying out paragraph (1), a State educational agency shall give priority to programs that were of low quality, as evaluated based on the indicators of program quality developed by the State educational agency under section 1240.

(3) TECHNICAL ASSISTANCE TO HELP LOCAL PROGRAMS RAISE ADDITIONAL FUNDS- In carrying out paragraph (1), a State educational agency may use the funds referred to in that paragraph to provide technical assistance to help local programs of demonstrated effectiveness to access and leverage additional funds for the purpose of expanding services and reducing waiting lists, including requesting and applying for non-Federal resources.

(4) TECHNICAL ASSISTANCE AND TRAINING- Assistance under paragraph (1) shall be in the form of technical assistance and training, provided by a State educational agency through a grant, contract, or cooperative agreement with an entity that has experience in offering high-quality training and technical assistance to family literacy providers.

**SEC. 1235. PROGRAM ELEMENTS.**

Each program assisted under this subpart shall —

- (1) include the identification and recruitment of families most in need of services provided under this subpart, as indicated by a low level of income, a low level of adult literacy or English language proficiency of the eligible parent or parents, and other need-related indicators;
- (2) include screening and preparation of parents, including teenage parents, and children to enable those parents and children to participate fully in the activities and services provided under this subpart, including testing, referral to necessary counseling, other developmental and support services, and related services;
- (3) be designed to accommodate the participants' work schedule and other responsibilities, including the provision of support services, when those services are unavailable from other sources, necessary for participation in the activities assisted under this subpart, such as —
  - (A) scheduling and locating of services to allow joint participation by parents and children;
  - (B) child care for the period that parents are involved in the program provided under this subpart; and
  - (C) transportation for the purpose of enabling parents and their children to participate in programs authorized by this subpart;
- (4) include high-quality, intensive instructional programs that promote adult literacy and empower parents to support the educational growth of their children, developmentally appropriate early childhood educational services, and preparation of children for success in regular school programs;
- (5) with respect to the qualifications of staff the cost of whose salaries are paid, in whole or in part, with Federal funds provided under this subpart, ensure that —
  - (A) not later than December 21, 2004 —
    - (i) a majority of the individuals providing academic instruction —
      - (I) shall have obtained an associate's, bachelor's, or graduate degree in a field related to early childhood education, elementary school or secondary school education, or adult education; and
      - (II) if applicable, shall meet qualifications established by the State for early childhood education, elementary school or secondary school education, or adult education provided as part of an Even Start program or another family literacy program;
    - (ii) the individual responsible for administration of family literacy services under this subpart has received training in the operation of a family literacy program; and
    - (iii) paraprofessionals who provide support for academic instruction have a secondary school diploma or its recognized equivalent; and
  - (B) all new personnel hired to provide academic instruction —
    - (i) have obtained an associate's, bachelor's, or graduate degree in a field related to early childhood education, elementary school or secondary school education, or adult education; and
    - (ii) if applicable, meet qualifications established by the State for early childhood education, elementary school or secondary school education, or adult education provided as part of an Even Start program or another family literacy program;



- (6) include special training of staff, including child-care staff, to develop the skills necessary to work with parents and young children in the full range of instructional services offered through this subpart;
- (7) provide and monitor integrated instructional services to participating parents and children through home-based programs;
- (8) operate on a year-round basis, including the provision of some program services, including instructional and enrichment services, during the summer months;
- (9) be coordinated with —
  - (A) other programs assisted under this Act;
  - (B) any relevant programs under the Adult Education and Family Literacy Act, the Individuals with Disabilities Education Act, and title I of the Workforce Investment Act of 1998; and
  - (C) the Head Start program, volunteer literacy programs, and other relevant programs;
- (10) use instructional programs based on scientifically based reading research for children and adults, to the extent that research is available;
- (11) encourage participating families to attend regularly and to remain in the program a sufficient time to meet their program goals;
- (12) include reading-readiness activities for preschool children based on scientifically based reading research, to the extent available, to ensure that children enter school ready to learn to read;
- (13) if applicable, promote the continuity of family literacy to ensure that individuals retain and improve their educational outcomes;
- (14) ensure that the programs will serve those families most in need of the activities and services provided by this subpart; and
- (15) provide for an independent evaluation of the program, to be used for program improvement.

**SEC. 1236. ELIGIBLE PARTICIPANTS.**

(a) IN GENERAL- Except as provided in subsection (b), eligible participants in an Even Start program are —

- (1) a parent or parents —
  - (A) who are eligible for participation in adult education and literacy activities under the Adult Education and Family Literacy Act; or
  - (B) who are within the State's compulsory school attendance age range, so long as a local educational agency provides (or ensures the availability of) the basic education component required under this subpart, or who are attending secondary school; and
- (2) the child or children, from birth through age 7, of any individual described in paragraph (1).

(b) ELIGIBILITY FOR CERTAIN OTHER PARTICIPANTS-

- (1) IN GENERAL- Family members of eligible participants described in subsection (a) may participate in activities and services provided under this subpart, when appropriate to serve the purpose of this subpart.
- (2) SPECIAL RULE- Any family participating in a program assisted under this subpart that becomes ineligible to participate as a result of one or more members of the family

becoming ineligible to participate may continue to participate in the program until all members of the family become ineligible to participate, which —

(A) in the case of a family in which ineligibility was due to the child or children of the family attaining the age of 8, shall be in 2 years or when the parent or parents become ineligible due to educational advancement, whichever occurs first; and

(B) in the case of a family in which ineligibility was due to the educational advancement of the parent or parents of the family, shall be when all children in the family attain the age of 8.

(3) CHILDREN 8 YEARS OF AGE OR OLDER- If an Even Start program assisted under this subpart collaborates with a program under part A, and funds received under the part A program contribute to paying the cost of providing programs under this subpart to children 8 years of age or older, the Even Start program may, notwithstanding subsection (a)(2), permit the participation of children 8 years of age or older if the focus of the program continues to remain on families with young children.

### **SEC. 1237. APPLICATIONS.**

(a) SUBMISSION- To be eligible to receive a subgrant under this subpart, an eligible entity shall submit an application to the State educational agency in such form and containing or accompanied by such information as the State educational agency shall require.

(b) REQUIRED DOCUMENTATION- Each application shall include documentation, satisfactory to the State educational agency, that the eligible entity has the qualified personnel needed —

- (1) to develop, administer, and implement an Even Start program under this subpart; and
- (2) to provide access to the special training necessary to prepare staff for the program, which may be offered by an eligible organization.

(c) PLAN-

(1) IN GENERAL- The application shall also include a plan of operation and continuous improvement for the program, that includes —

(A) a description of the program objectives, strategies to meet those objectives, and how those strategies and objectives are consistent with the program indicators established by the State;

(B) a description of the activities and services that will be provided under the program, including a description of how the program will incorporate the program elements required by section 1235;

(C) a description of the population to be served and an estimate of the number of participants to be served;

(D) as appropriate, a description of the applicant's collaborative efforts with institutions of higher education, community-based organizations, the State educational agency, private elementary schools, or other eligible organizations in carrying out the program for which assistance is sought;

(E) a statement of the methods that will be used —

- (i) to ensure that the programs will serve families most in need of the activities and services provided by this subpart;

- (ii) to provide services under this subpart to individuals with special needs, such as individuals with limited English proficiency and individuals with disabilities; and
  - (iii) to encourage participants to remain in the program for a time sufficient to meet the program's purpose;
  - (F) a description of how the plan is integrated with other programs under this Act or other Acts, as appropriate; and
  - (G) a description of how the plan provides for rigorous and objective evaluation of progress toward the program objectives described in subparagraph (A) and for continuing use of evaluation data for program improvement.
- (2) DURATION OF THE PLAN- Each plan submitted under paragraph (1) shall —
- (A) remain in effect for the duration of the eligible entity's participation under this subpart; and
  - (B) be periodically reviewed and revised by the eligible entity as necessary.
- (d) CONSOLIDATED APPLICATION- The plan described in subsection (c)(1) may be submitted as part of a consolidated application under section 9305.

**SEC. 1238. AWARD OF SUBGRANTS.**

(a) SELECTION PROCESS-

- (1) IN GENERAL- The State educational agency shall establish a review panel in accordance with paragraph (3) that will approve applications that —
- (A) are most likely to be successful in —
    - (i) meeting the purpose of this subpart; and
    - (ii) effectively implementing the program elements required under section 1235;
  - (B) demonstrate that the area to be served by the program has a high percentage or a large number of children and families who are in need of those services as indicated by high levels of poverty, illiteracy, unemployment, limited English proficiency, or other need-related indicators, such as a high percentage of children to be served by the program who reside in a school attendance area served by a local educational agency eligible for participation in programs under part A, a high number or percentage of parents who have been victims of domestic violence, or a high number or percentage of parents who are receiving assistance under a State program funded under part A of title IV of the Social Security Act (42 U.S.C. 601 et seq.);
  - (C) provide services for at least a 3-year age range, which may begin at birth;
  - (D) demonstrate the greatest possible cooperation and coordination between a variety of relevant service providers in all phases of the program;
  - (E) include cost-effective budgets, given the scope of the application;
  - (F) demonstrate the applicant's ability to provide the non-Federal share required by section 1234(b);
  - (G) are representative of urban and rural regions of the State; and
  - (H) show the greatest promise for providing models that may be adopted by other family literacy projects and other local educational agencies.
- (2) PRIORITY FOR SUBGRANTS- The State educational agency shall give priority for subgrants under this subsection to applications that —

- (A) target services primarily to families described in paragraph (1)(B); or
- (B) are located in areas designated as empowerment zones or enterprise communities.

(3) REVIEW PANEL- A review panel shall consist of at least three members, including one early childhood professional, one adult education professional, and one individual with expertise in family literacy programs, and may include other individuals, such as one or more of the following:

- (A) A representative of a parent-child education organization.
- (B) A representative of a community-based literacy organization.
- (C) A member of a local board of education.
- (D) A representative of business and industry with a commitment to education.
- (E) An individual who has been involved in the implementation of programs under this title in the State.

(b) DURATION-

(1) IN GENERAL- Subgrants under this subpart may be awarded for a period not to exceed 4 years.

(2) STARTUP PERIOD- The State educational agency may provide subgrant funds to an eligible recipient, at the recipient's request, for a 3- to 6-month start-up period during the first year of the 4-year grant period, which may include staff recruitment and training, and the coordination of services, before requiring full implementation of the program.

(3) CONTINUING ELIGIBILITY- In awarding subgrant funds to continue a program under this subpart after the first year, the State educational agency shall review the progress of each eligible entity in meeting the objectives of the program referred to in section 1237(c)(1)(A) and shall evaluate the program based on the indicators of program quality developed by the State under section 1240.

(4) INSUFFICIENT PROGRESS- The State educational agency may refuse to award subgrant funds to an eligible entity if the agency finds that the eligible entity has not sufficiently improved the performance of the program, as evaluated based on the indicators of program quality developed by the State under section 1240, after —

- (A) providing technical assistance to the eligible entity; and
- (B) affording the eligible entity notice and an opportunity for a hearing.

(5) GRANT RENEWAL- (A) An eligible entity that has previously received a subgrant under this subpart may reapply under this subpart for additional subgrants.

(B) The Federal share of any subgrant renewed under subparagraph (A) shall be limited in accordance with section 1234(b).

**SEC. 1239. EVALUATION.**

From funds reserved under section 1232(b)(1), the Secretary shall provide for an independent evaluation of programs assisted under this subpart —

- (1) to determine the performance and effectiveness of programs assisted under this subpart;
- (2) to identify effective Even Start programs assisted under this subpart that can be duplicated and used in providing technical assistance to Federal, State, and local programs; and
- (3) to provide State educational agencies and eligible entities receiving a subgrant under this subpart, directly or through a grant or contract with an organization with experience

in the development and operation of successful family literacy services, technical assistance to ensure that local evaluations undertaken under section 1235(15) provide accurate information on the effectiveness of programs assisted under this subpart.

**SEC. 1240. INDICATORS OF PROGRAM QUALITY.**

Each State educational agency receiving funds under this subpart shall develop, based on the best available research and evaluation data, indicators of program quality for programs assisted under this subpart. The indicators shall be used to monitor, evaluate, and improve those programs within the State. The indicators shall include the following:

- (1) With respect to eligible participants in a program who are adults —
  - (A) achievement in the areas of reading, writing, English-language acquisition, problem solving, and numeracy;
  - (B) receipt of a secondary school diploma or a general equivalency diploma (GED);
  - (C) entry into a postsecondary school, job retraining program, or employment or career advancement, including the military; and
  - (D) such other indicators as the State may develop.
- (2) With respect to eligible participants in a program who are children —
  - (A) improvement in ability to read on grade level or reading readiness;
  - (B) school attendance;
  - (C) grade retention and promotion; and
  - (D) such other indicators as the State may develop.

**SEC. 1241. RESEARCH.**

(a) IN GENERAL- The Secretary shall carry out, through grant or contract, research into the components of successful family literacy services, in order to —

- (1) improve the quality of existing programs assisted under this subpart or other family literacy programs carried out under this Act or the Adult Education and Family Literacy Act; and
- (2) develop models for new programs to be carried out under this Act or the Adult Education and Family Literacy Act.

(b) SCIENTIFICALLY BASED RESEARCH ON FAMILY LITERACY-

(1) IN GENERAL- From amounts reserved under section 1232(b)(2), the National Institute for Literacy, in consultation with the Secretary, shall carry out research that —

- (A) is scientifically based reading research; and
- (B) determines —
  - (i) the most effective ways of improving the literacy skills of adults with reading difficulties; and
  - (ii) how family literacy services can best provide parents with the knowledge and skills the parents need to support their children's literacy development.

(2) USE OF EXPERT ENTITY- The National Institute for Literacy, in consultation with the Secretary, shall carry out the research under paragraph (1) through an entity, including a Federal agency, that has expertise in carrying out longitudinal studies of the development of literacy skills in children and has developed effective interventions to help children with reading difficulties.

(c) DISSEMINATION- The National Institute for Literacy shall disseminate, pursuant to section 1207, the results of the research described in subsections (a) and (b) to State educational agencies and recipients of subgrants under this subpart.

**SEC. 1242. CONSTRUCTION.**

Nothing in this subpart shall be construed to prohibit a recipient of funds under this subpart from serving students participating in Even Start simultaneously with students with similar educational needs, in the same educational settings where appropriate.

# Application Instructions

## *Electronic Application Format*

Applications for grants under this competition must be submitted electronically, unless you qualify for an exception to the electronic submission requirement in accordance with the instructions in this application package.

**The deadline for submission of Even Start Family Literacy Program Grants for Federally Recognized Indian Tribes and Tribal Organizations Program applications through Grants.gov is TBD.**

In accordance with EDGAR §75.216 (b) and (c), an application will not be evaluated for funding if the applicant does not comply with all of the procedural rules that govern the submission of the application or the application does not contain the information required under the program.

## *Electronic Application Submission Checklist*

It is recommended that your electronic application be organized in the following manner and include the following parts in order to expedite the review process. Instructions for all parts and forms of the application are found either on the following pages of the application package or individually for each form on Grants.gov.

*Important note:* Applications submitted to Grants.gov for the Department of Education will be posted using Adobe forms. Therefore, applicants will need to download the latest version of Adobe reader (at least Adobe Reader 8.1.2).

Information on computer and operating system compatibility with Adobe and links to download the latest version is available on Grants.gov. Also, please review the **Submitting Applications with Adobe Reader Software and Education Submission Procedures and Tips for Applicants** forms found within this package for further information and guidance related to this requirement.

We strongly recommend that you review these details on [www.Grants.gov](http://www.Grants.gov) before completing and submitting your application. In addition, applicants should submit their application a day or two in advance of the closing date as detailed below. Applicants will no longer need to use the PureEdge software to create or submit an application. If you have any questions regarding this matter please email the Grants.gov Contact Center at [support@grants.gov](mailto:support@grants.gov) or call 1-800-518-4726.

Instructions for all parts and forms of the application are found either on the following pages of the application package or individually for each form on Grants.gov.

**Note: Please do not attach any narratives, supporting files, or application components to any forms unless it is specifically required by the instructions for the individual section of the application. Although several forms accept attachments, the Department of Education will only review materials/files attached in accordance with the instructions provided within this application package.**

*Review your electronic application to ensure you have completed the following forms and sections:*

**Part 1: Preliminary Documents**

- Application for Federal Assistance (form SF 424)
- ED Supplemental Information for SF 424

**Part 2: Budget Information**

- ED Budget Information Non-Construction Programs (ED Form 524)

**Part 3: ED Abstract Form**

- Project Abstract

**Part 4: Project Narrative Attachment Form**

- Application Narrative

**Part 5: Budget Narrative Attachment Form**

- Budget Narrative

**Part 6: Other Attachments Form**

- Individual Resumes for Project Directors & Key Personnel (Required)
- Letters of Commitment of Each Partner or Collaborative Partner in the Proposed Project (Required)
- Performance Indicators (If applicable)

**Part 7: Assurances and Certifications**

- Assurances – Non-Construction Programs (SF 424B Form)
- Disclosure of Lobbying Activities (Standard Form LLL)
- Grants.gov Lobbying Form
- General Education Provisions Act (GEPA) Requirements – Section 427 (ED GEPA427 form)
- Survey on Ensuring Equal Opportunity for Applicants (form 1890-0014)



***Part 1: Preliminary Documents***

- Application for Federal Assistance (Form SF 424)
- ED Supplemental Information for SF 424

These forms require basic identifying information about the applicant and the application. Please provide all requested applicant information (including name, address, e-mail address and DUNS number).

**When applying electronically via Grants.gov, you will need to ensure that the DUNS number you enter on your application is the same as the DUNS number your organization used when it registered with the Central Contractor Registry.**

Applicants are advised to complete the Application for Federal Assistance (Form SF 424) first. Grants.gov will automatically insert the correct CFDA and program name automatically wherever needed on other forms.

*NOTE: Please do not attach any narratives, supporting files, or application components to the Standard Form (SF 424). Although this form accepts attachments, the Department of Education will only review materials/files attached in accordance with the instructions provided within this application.*

## Instructions for the SF-424

Public reporting burden for this collection of information is estimated to average 60 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

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

This is a standard form (including the continuation sheet) required for use as a cover sheet for submission of 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:</b> (Required) Select one type of application in accordance with agency instructions. <ul style="list-style-type: none"> <li>• New – An application that is being submitted to an agency for the first time.</li> <li>• Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals.</li> <li>• 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.               <ul style="list-style-type: none"> <li>A. Increase Award      B. Decrease Award</li> <li>C. Increase Duration    D. Decrease Duration</li> <li>E. Other (specify)</li> </ul> </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.	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 – 3 characters District Number, e.g., CA-005 for California 5th <sup>th</sup> district, CA-012 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>• 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.</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>
5a.	<b>Federal Entity Identifier:</b> Enter the number assigned to your organization by the Federal Agency, if any.		
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: <ul style="list-style-type: none"> <li><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.</li> <li><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.</li> <li><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.</li> </ul>	17.	<b>Proposed Project Start and End Dates:</b> (Required) Enter the proposed start date and end date of the project.
		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

	<p><b>d. Address:</b> Enter the complete address as follows: Street address (Line 1 required), City (Required), County, State (Required, if country is US), Province, Country (Required), Zip/Postal Code (Required, if country is US).</p>		<p>parentheses.</p>																								
	<p><b>e. Organizational Unit:</b> Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the assistance activity, if applicable.</p>	19.	<p><b>Is Application Subject to Review by State Under Executive Order 12372 Process?</b> Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State</p>																								
	<p><b>f. Name and contact information of person to be contacted on matters involving this application:</b> Enter the name (First and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.</p>	20.	<p><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.</p> <p>If yes, include an explanation on the continuation sheet.</p>																								
9.	<p>Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.</p> <table border="0" data-bbox="154 724 844 1302"> <tr> <td data-bbox="154 724 503 756">A. State Government</td> <td data-bbox="511 724 844 756">M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)</td> </tr> <tr> <td data-bbox="154 756 503 787">B. County Government</td> <td data-bbox="511 756 844 787">N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)</td> </tr> <tr> <td data-bbox="154 787 503 819">C. City or Township Government</td> <td data-bbox="511 787 844 819">O. Private Institution of Higher Education</td> </tr> <tr> <td data-bbox="154 819 503 850">D. Special District Government</td> <td data-bbox="511 819 844 850">P. Individual</td> </tr> <tr> <td data-bbox="154 850 503 882">E. Regional Organization</td> <td data-bbox="511 850 844 882">Q. For-Profit Organization (Other than Small Business)</td> </tr> <tr> <td data-bbox="154 882 503 913">F. U.S. Territory or Possession</td> <td data-bbox="511 882 844 913">R. Small Business</td> </tr> <tr> <td data-bbox="154 913 503 945">G. Independent School District</td> <td data-bbox="511 913 844 945">S. Hispanic-serving Institution</td> </tr> <tr> <td data-bbox="154 945 503 976">H. Public/State Controlled Institution of Higher Education</td> <td data-bbox="511 945 844 976">T. Historically Black Colleges and Universities (HBCUs)</td> </tr> <tr> <td data-bbox="154 976 503 1008">I. Indian/Native American Tribal Government (Federally Recognized)</td> <td data-bbox="511 976 844 1008">U. Tribally Controlled Colleges and Universities (TCCUs)</td> </tr> <tr> <td data-bbox="154 1008 503 1039">J. Indian/Native American Tribal Government (Other than Federally Recognized)</td> <td data-bbox="511 1008 844 1039">V. Alaska Native and Native Hawaiian Serving Institutions</td> </tr> <tr> <td data-bbox="154 1039 503 1071">K. Indian/Native American Tribally Designated Organization</td> <td data-bbox="511 1039 844 1071">W. Non-domestic (non-US) Entity</td> </tr> <tr> <td data-bbox="154 1071 503 1102">L. Public/Indian Housing Authority</td> <td data-bbox="511 1071 844 1102">X. Other (specify)</td> </tr> </table>	A. State Government	M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)	B. County Government	N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)	C. City or Township Government	O. Private Institution of Higher Education	D. Special District Government	P. Individual	E. Regional Organization	Q. For-Profit Organization (Other than Small Business)	F. U.S. Territory or Possession	R. Small Business	G. Independent School District	S. Hispanic-serving Institution	H. Public/State Controlled Institution of Higher Education	T. Historically Black Colleges and Universities (HBCUs)	I. Indian/Native American Tribal Government (Federally Recognized)	U. Tribally Controlled Colleges and Universities (TCCUs)	J. Indian/Native American Tribal Government (Other than Federally Recognized)	V. Alaska Native and Native Hawaiian Serving Institutions	K. Indian/Native American Tribally Designated Organization	W. Non-domestic (non-US) Entity	L. Public/Indian Housing Authority	X. Other (specify)	21.	<p><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.</p> <p>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.)</p>
A. State Government	M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)																										
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F. U.S. Territory or Possession	R. Small Business																										
G. Independent School District	S. Hispanic-serving Institution																										
H. Public/State Controlled Institution of Higher Education	T. Historically Black Colleges and Universities (HBCUs)																										
I. Indian/Native American Tribal Government (Federally Recognized)	U. Tribally Controlled Colleges and Universities (TCCUs)																										
J. Indian/Native American Tribal Government (Other than Federally Recognized)	V. Alaska Native and Native Hawaiian Serving Institutions																										
K. Indian/Native American Tribally Designated Organization	W. Non-domestic (non-US) Entity																										
L. Public/Indian Housing Authority	X. Other (specify)																										

## Instructions for the ED Supplemental Information for SF 424

- 1. Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.
- 2. Novice Applicant.** Check “Yes” or “No” only if assistance is being requested under a program that gives special consideration to novice applicants. Otherwise, **leave blank.**

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

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

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

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

**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.”

**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

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

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

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

## Definitions for ED Supplemental Information for SF 424

### Definitions:

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

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

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

### PROTECTION OF HUMAN SUBJECTS IN RESEARCH

#### I. Definitions and Exemptions

##### A. Definitions.

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

##### —Research

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as “a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge.” *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge it is research.* Activities, which meet this definition, constitute research whether or not they are conducted or

supported under a program that is considered research for other purposes. For example, some demonstration and service programs may include research activities.

##### —Human Subject

The regulations define human subject as “a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information.” (1) *If an activity involves obtaining information about a living person by manipulating that person or that person's environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met.* (2) *If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met.* [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

##### B. Exemptions.

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

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

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and

(b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. *If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.* [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

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

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

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

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

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

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

### **A. Exempt Research Narrative.**

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

### **B. Nonexempt Research Narrative.**

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

#### **(1) Human Subjects Involvement and Characteristics:**

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

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

**(3) Recruitment and Informed Consent:** Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who

will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

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

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

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

importance of the knowledge that may reasonably be expected to result.

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

*Copies of the Department of Education's Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, DC 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).

## ***Part 2: Budget Information***

### ED Budget Information Non-Construction Programs (ED Form 524)

This part of your application contains information about the Federal funding you are requesting. Remember that you must provide all requested budget information for each year of the project (up to 48 months) and the total column in order to be considered for Federal funding. Specific instructions for completing the budget forms are provided within this application package.

*Instructions for completing ED Form 524 Section A:*

Name of Institution/Organization: Enter the name of the applicant in the space provided.

Personnel (line 1): Enter project personnel salaries and wages only. Include fees and expenses for consultants on line 6.

Fringe Benefits (line 2): The institution's normal fringe benefits contribution may be charged to the program. Leave this line blank if fringe benefits applicable to direct salaries and wages are treated as part of the indirect cost.

Travel (line 3): Indicate the travel costs of employees and participants only. Include travel of persons such as consultants on line 6. ED strongly encourages applicants to set aside adequate funds within their proposed budget to send a project director and at least two key individuals included in the application to a two-day technical assistance meeting in Washington, DC, (or where otherwise specified) in each year of the project period.

Equipment (line 4): Indicate the cost of tangible, non-expendable personal property that has a usefulness greater than one year and acquisition costs that are the lesser of the capitalization level established by the applicant entity for financial statement purposes or \$5,000 per article. Lower limits may be established to maintain consistency with the applicant's policy.

Supplies (line 5): Show all tangible, expendable personal property. Direct supplies and materials differ from equipment in that they are consumable, expendable, and of a relatively low unit cost. *Supplies purchased with grant funds should directly benefit the grant project and be necessary for achieving the goals of the project.*

Contractual (line 6): The contractual category should include all costs specifically incurred with actions that the applicant takes in conjunction with an established internal procurement system. Include consultant fees, expenses, and travel costs in this category if the consultant's services are obtained through a written binding agreement or contract.

Construction (line 7): Not applicable.

Other (line 8): Indicate all direct costs not covered on lines 1-6. For example, include costs such as space rental, required fees, honoraria and travel (where a contract is not in place for services), training, and communication and printing costs. *Do not include costs that are included in the*



*indirect cost rate.*

Total Direct Costs (line 9): The sum of lines 1-8.

Indirect Costs (line 10): Grantees may **not** use Even Start Family Literacy Program funds for the indirect costs of a project. **This means that grantees also may not claim indirect costs of a project as part of their matching or local project cost share.**

Recipients of an Even Start Indian tribe and tribal organization grant may request the Secretary to waive this limitation. To obtain a waiver, however, the recipient must demonstrate to the Secretary's satisfaction that the recipient otherwise would not be able to participate in the Even Start Family Literacy Program. (See Section 1234(b)(3), ESEA.)

If the recipient plans to submit a waiver, indicate the applicant's approved indirect cost rate, per sections 75.560 – 75.564 of EDGAR. If an applicant does not have an approved indirect cost rate agreement with a cognizant Federal agency, the applicant must apply to the Department for a temporary indirect cost rate if it wishes to charge indirect costs to the grant. For more information, go to the Department's website at:

<http://www.ed.gov/about/offices/list/ocfo/fipao/icgindex.html>.

Training Stipends (line 11): This line item is not applicable to this program. The training stipend line item only pertains to costs associated with long term training programs and college or university coursework, not workshops or short-term training supported by this program. *Salary stipends paid to teachers and other school personnel for participating in short-term professional development should be reported in Personnel (line 1).*

Total Cost (line 12): This should equal to sum of lines 9-11 (total direct costs + indirect + stipends). The sum for column one, labeled *Project Year 1* (a), should also be equal to item 15a on the application cover sheet (SF Form 424).

**NOTE: Items to remember when preparing the budget—**

- For this program, “Non-Federal Funds” as stated in the heading on ED Form 524, Section B, can include Federal funds other than Even Start Family Literacy Program Grant funds.
- Neither Federal funds nor cost-share may be used for construction. However, funds may be used for “minor remodeling,” which does not involve any structural alterations.
- Applicants need not be in the estimated range of awards as printed in the *Notice Inviting Applications* in the *Federal Register*. While funding requests can be for any amount, applicants are reminded that request amounts must be justified in the budget narrative.
- In the FY 2009 competition, applicants can propose a project period of up to four (4) years.

## Instructions for ED 524

### General Instructions

This form is used to apply to individual U.S. Department of Education (ED) discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program specific instructions, if attached. You may access the Education Department General Administrative Regulations, 34 CFR 74 – 86 and 97-99, on ED’s website at:

<http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html>

You must 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 break-down 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 cost-sharing or 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. For non-Federal funds or resources listed in Section B that are used to meet a cost-sharing or matching requirement or provided as a voluntary cost-sharing or matching commitment, you must include:
  - a. The specific costs or contributions by budget category;
  - b. The source of the costs or contributions; and
  - c. In the case of third-party in-kind contributions, a description of how the value was determined for the donated or contributed goods or services.

[Please review ED’s general cost sharing and matching regulations, which include specific limitations, in 34 CFR 74.23, applicable to non-governmental entities, and 80.24, applicable to governments, and the applicable Office of Management and Budget (OMB) cost principles for your entity type regarding donations, capital assets, depreciation and use allowances. OMB cost principle circulars are available on OMB’s website at:

<http://www.whitehouse.gov/omb/circulars/index.html>]

3. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
4. 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.

5. 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 **1894-0008**. 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. 20202-4537. 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.

### **Part 3: ED Abstract Form**

*This section should be attached as a single document to the ED Abstract Form in accordance with the instructions found on Grants.gov and should be organized in the following manner and include the following parts in order to expedite the review process.*

*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.*

*Please note that Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission.*

*When attaching files, applicants should limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We recommend your file names be less than 50 characters.*

#### **☐ Project Abstract**

The project abstract should not exceed **two** double spaced pages and should include a concise description of the following information:

- Background of the proposed project
- Project objectives and activities
- Applicable priorities
- Proposed project outcomes
- Number and needs of participating families to be served
- Number and location of proposed sites
- Adequacy of support, including facilities, equipment, supplies, and other resources, from the applicant organization or the lead applicant organization
- Federal funding request and the proposed cost-share amount
- Any special features about how the program would operate

**NOTE:** Please note that when stating the number of participating families to be served this is on a regular daily and weekly basis and not cumulative throughout the year. Please provide a realistic number of families that will be participating regularly in your proposed project. Grantees may not significantly reduce the number of families participating during the project period, as such a change may affect the size and scope of the project.

#### **Part 4: Project Narrative Attachment Form**

*This section should be attached as a **single** document to the Project Narrative Attachment Form in accordance with the instructions found on Grants.gov and should be organized in the following manner and include the following parts in order to expedite the review process.*

*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.*

*Please note that Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission.*

*When attaching files, applicants should limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We recommend your file names be less than 50 characters.*

#### Table of Contents

The Table of Contents shows where and how the important sections of your proposal are organized and should not exceed **one** double spaced page.

#### Application Narrative

*The application narrative responds to the selection criteria found in this application package and should follow the order of the selection criteria.*

We encourage applicants to this section of the application to the equivalent of no more than **25** pages and adhere to the following guidelines:

The following page and formatting standards apply for the application narrative and separate budget narrative:

- A page is 8.5” x 11”, on one side only, with 1” margins at the top, bottom, and both sides.
- Double space (no more than three lines per vertical inch) all text in the application and budget narratives, including titles, headings, footnotes, quotations, references, and captions. You may single space information in tables, charts, graphs, and the limited Appendices.
- Use a font that is either 12-point or larger or no smaller than 10-pitch (characters per inch). You may use other point fonts for any tables, charts, graphs, and the limited Appendices, but those tables, charts, graphs, and limited Appendices should be in a font size that is easily readable by the reviewers of your application. Any tables, charts or graphs are included in the application narrative and budget narrative page limits. The limited Appendices are not part of these page limits.
- Use one of the following fonts for the application and budget narratives: Times New Roman, Courier, Courier New, or Arial. An application or budget narrative submitted in any other font (includes Times Roman or Arial Narrow) will not be accepted.

Reviewers will not evaluate any sections of the application that:

- Exceed the page limits identified above for each section, even if the formatting standards detailed above are used, or
- Exceed the equivalent of the page limits if other formatting standards are applied.

If not submitting an electronic application, please submit the original signed application (and the two copies) in a format that will ensure that the application stays intact (e.g., using staples or binder clips), and that no pages are lost during the handling and review processes (for example, no rubber bands or paper clips).

**NOTE:** To make sure that there is sufficient space to explain the proposal, the applicant may wish to consider including tables, charts, or graphs that comprise no more than 15 percent of each program narrative.

### **Selection Criteria for Program Narrative**

The maximum score for all selection criteria is 100 points. The points or weights assigned to each criterion are indicated in parentheses. Non-Federal peer reviewers will review each application. They will be asked to evaluate and score each program narrative against the following selection criteria:

#### **(1) Quality of the project design (50 points).**

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

- (a) The extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable. (34 CFR 75.210(c)(2)(i))
- (b) The extent to which the proposed project represents an exceptional approach for meeting statutory purposes and requirements. (34 CFR 75.210(c)(2)(xiv))

**Note:** Under section 1235 of the ESEA, projects funded under this program must meet the following requirements:

- (1) Include the identification and recruitment of families most in need of services provided under this program, as indicated by a low level of income, a low level of adult literacy or English language proficiency of the eligible parent or parents, and other need-related indicators;
- (2) Include screening and preparation of parents, including teenage parents, and children to enable those parents and children to participate fully in the activities and services provided under this program, including testing, referral to necessary counseling, other developmental and support services, and related services;
- (3) Be designed to accommodate the participants' work schedule and other responsibilities, including the provision of support services, when those services are unavailable from

- other sources, necessary for participation in the activities assisted under this program, such as—
- (a) Scheduling and locating of services to allow joint participation by parents and children;
  - (b) Child care for the period that parents are involved in the program provided under this program; and
  - (c) Transportation for the purpose of enabling parents and their children to participate in activities authorized by this program;
- (4) Include high-quality, intensive instructional programs that promote adult literacy and empower parents to support the educational growth of their children, developmentally appropriate early childhood educational services, and preparation of children for success in regular school programs;
- (5) With respect to the qualifications of staff the cost of whose salaries are paid, in whole or in part, with Federal funds provided under the grant, ensure that —
- (a)(i) A majority of the individuals providing academic instruction —
    - (I) Have obtained an associate's, bachelor's, or graduate degree in a field related to early childhood education, elementary school or secondary school education, or adult education; and
    - (II) If applicable, meet qualifications established by the State for early childhood education, elementary school or secondary school education, or adult education provided as part of an Even Start program or another family literacy program;
  - (ii) The individual responsible for administration of family literacy services carried out through the grant has received training in the operation of a family literacy program; and
  - (iii) Paraprofessionals who provide support for academic instruction have a secondary school diploma or its recognized equivalent; and
- (b) All new personnel hired to provide academic instruction —
- (i) Have obtained an associate's, bachelor's, or graduate degree in a field related to early childhood education, elementary school or secondary school education, or adult education; and
  - (ii) If applicable, meet qualifications established by the State for early childhood education, elementary school or secondary school education, or adult education provided as part of an Even Start program or another family literacy program;
- (6) Include special training of staff, including child-care staff, to develop the skills necessary to work with parents and young children in the full range of instructional services offered through this program;
- (7) Provide and monitor integrated instructional services to participating parents and children through home-based programs;
- (8) Operate on a year-round basis, including the provision of some program services, including instructional and enrichment services, during the summer months;
- (9) Be coordinated with—
- (a) Other programs assisted under the ESEA;
  - (b) Any relevant programs under the Adult Education and Family Literacy Act, the Individuals with Disabilities Education Act, and title I of the Workforce Investment Act of 1998; and
  - (c) The Head Start program, volunteer literacy programs, and other relevant programs;

- (10) Use instructional programs based on scientifically based reading research for children and adults, to the extent that research is available;
- (11) Encourage participating families to attend regularly and to remain in the program a sufficient time to meet their program goals;
- (12) Include reading-readiness activities for preschool children based on scientifically based reading research, to the extent available, to ensure that children enter school ready to learn to read;
- (13) If applicable, promote the continuity of family literacy to ensure that individuals retain and improve their educational outcomes;
- (14) Ensure that the programs will serve those families most in need of the activities and services provided by this program; and
- (15) Provide for an independent evaluation of the program, to be used for program improvement.

**(2) Quality of project services (20 points).**

The Secretary considers the quality of the services to be provided by the proposed project. In determining the quality of the services to be provided by the proposed project, the Secretary considers the quality and sufficiency of strategies for ensuring equal access and treatment for eligible project participants who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability. (34 CFR 75.210(d)(2)) In addition, the Secretary considers the following factor: The likelihood that the services to be provided by the proposed project will lead to improvements in the achievement of students as measured against rigorous academic standards. (34 CFR 75.210(d)(3)(vii))

**(3) Adequacy of resources (15 points).**

The Secretary considers the adequacy of resources for the proposed project. In determining the adequacy of resources for the proposed project, the Secretary considers the following factors:

- (a) The adequacy of support, including facilities, equipment, supplies, and other resources, from the applicant organization or the lead applicant organization. (34 CFR 75.210(f)(2)(i))

**Note:** Please note that section 1234(b)(1) of the ESEA requires grantees to provide an increasing local project share over the grant period (at least the following amounts: 10 percent in the first year, 20 percent in the second year, 30 percent in the third year, 40 percent in the fourth year, 50 percent in the fifth through eighth years, and 65 percent thereafter). The law also does not permit indirect costs to be included in the budget, either as a part of the Federal funding or for the local project's share or match, unless a project requests and qualifies for a waiver of that requirement under section 1234(b)(3) of the ESEA.

- (b) The extent to which the costs are reasonable in relation to the objectives, design, and potential significance of the proposed project. (34 CFR 75.210(f)(2)(iv))

**(4) Quality of the management plan (15 points).**

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

(a) The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks. (34 CFR 75.210(g)(2)(i))

(b) The extent to which the time commitments of the project director and principal investigator and other key personnel are appropriate and adequate to meet the objectives of the proposed project. (34 CFR 75.210 (g)(2)(iv))

**Note:** Grantees will be required to report annually on any project-specific performance measures that are included in the grantees' approved grant application, including the performance measures established for the Tribal Even Start Program under the Government Performance and Results Act (GPRA) and identified in section VI of the Federal notice under the heading Performance Measures.



### **Part 5: Budget Narrative**

*This section should be attached as a single document to the Budget Narrative Attachment Form in accordance with the instructions found on Grants.gov. It should be organized in the following manner and include the following parts in order to expedite the review process.*

*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.*

*Please note that Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission.*

*When attaching files, applicants should limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We recommend your file names be less than 50 characters.*

Each application must also provide a Budget Narrative (which serves to meet the requirements of ED Form 524, Section C) for requested Federal funds. The Budget Narrative for requested Federal funds should provide a justification of how the money requested for each budget item will be spent.

This section requires an **itemized budget breakdown** for each project year and the **basis for estimating the costs** of personnel salaries, benefits, project staff travel, materials and supplies, consultants and subcontracts, indirect costs and any other projected expenditures. Be sure to complete an itemized budget breakdown and narrative for each year of the proposed project (up to 48 months).

The Budget Narrative provides an opportunity for the applicant to identify the nature and amount of the proposed expenditures. The applicant should provide sufficient detail to enable reviewers and project staff to understand how requested funds will be used, how much will be expended, and the relationship between the requested funds and project activities and outcomes.

#### **Important Notes**

- Applicants are encouraged to review OMB Circular A-21, *Cost Principles for Educational Institutions* [OMB Circular A-87, *Cost Principles for State, Local, and Indian Tribal Governments* or OMB Circular A-122, *Cost Principles for Nonprofit Organizations*] in preparing their budget and budget narrative.
- OMB Circular A-21 may be found at the following link:  
[http://www.whitehouse.gov/omb/circulars/a021/a21\\_2004.html](http://www.whitehouse.gov/omb/circulars/a021/a21_2004.html)
- OMB Circular A-87 may be found at the following link:  
[http://www.whitehouse.gov/omb/circulars/a087/a87\\_2004.html](http://www.whitehouse.gov/omb/circulars/a087/a87_2004.html)
- OMB Circular A-122 may be found at the following link:  
[http://www.whitehouse.gov/omb/circulars/a122/a122\\_2004.html](http://www.whitehouse.gov/omb/circulars/a122/a122_2004.html)

## **Suggested Guidelines for the Budget Narrative**

In accordance with 34 CFR 75.232, Department of Education staff perform a cost analysis of the each recommended project to ensure that costs relate to the activities and objectives of the project, are reasonable, allowable and allocable. We may delete or reduce costs from the budget during this review.

To facilitate the review of your Budget Narrative, we encourage each applicant to include the following information for each year of the project:

### **1. Personnel**

- Provide the title and duties of each position to be compensated under this project.
- Provide the salary for each position under this project.
- Provide the amounts of time, such as hours or percentage of time to be expended by each position under this project.
- Explain the importance of each position to the success of the project.
- Provide the basis for cost estimates or computations.

### **2. Fringe Benefits**

- Give the fringe benefit percentages of all personnel included under Personnel.
- Provide the rate and base on which fringe benefits are calculated.

### **3. Travel**

- Explain the purpose of the travel, how it relates to project success, how it aligns with the project goals and objectives and which program participants or staff will participate.
- Submit an estimate for the number of trips, points of origin and destination, and purpose of travel.
- Submit an itemized estimate of transportation and/or subsistence costs for each trip.
- Provide the basis for cost estimates or computations.

**NOTE:** ED strongly encourages applicants to set aside adequate funds within their proposed budget to send a project director and at least two key individuals included in the application to a two-day technical assistance meeting in Washington, DC, (or where otherwise specified) in each year of the project period.

### **4. Equipment**

- Indicate the estimated unit cost for each item to be purchased.
- Identify each type of equipment.
- Provide adequate justification of the need for items of equipment to be purchased.
- Explain the purpose of the equipment, and how it relates to project success.
- Provide the basis for cost estimates or computations.

### **5. Supplies**

- Provide an itemized estimate of materials and supplies by nature of expense or general category (e.g., instructional materials, office supplies, etc.).
- Explain the purpose of the supplies and how they relate to project success.
- Provide the basis for cost estimates or computations.

### **6. Contractual**

- Provide the purpose and relation to project success.
- Describe the products to be acquired, and/or the professional services to be provided.
- Provide a brief justification for the use of the contractors selected.
- Identify the name(s) of the contracting party, including consultants, if available.
- Provide the cost per contractor.
- Provide the amount of time that the project will be working with the contractor(s).
- For professional services contracts, provide the amounts of time to be devoted to the project, including the costs to be charged to this proposed grant award.
- Provide a brief statement that you have followed the procedures for procurement under 34 CFR Parts 74.40 - 74.48 and Part 80.36.
- Provide the basis for cost estimates or computations.

#### **7. Construction**

- Not applicable.

#### **8. Other**

- List and identify items by major type or category (e.g., communications, printing, postage, equipment rental, etc.).
- Provide the cost per item (printing = \$500, postage = \$750).
- Provide the purpose for the expenditures and relation to project success.
- Provide the basis for cost estimates or computations.

#### **9. Total Direct Costs**

- The amount that is the sum of expenditures, per budget category, of lines 1-8.

#### **10. Indirect Costs**

- Indirect costs may not be charged to this grant unless the applicant requests, justifies, and is granted a waiver in accordance with section 1234(b)(2) of the ESEA.
- Identify indirect cost rate (if the applicant will charge indirect costs to the grant)
- *Note:* remember to provide a copy of the most recent approved indirect cost agreement in the Other Attachments form section of the application.

#### **11. Training Stipends**

- Not applicable.

#### **12. Total Costs**

- Sum total of direct costs, indirect costs, and stipends.
- Please provide total costs for each year of the project as well as grand total cost for the entire project period (up to 48 months).

***Important Information Regarding Indirect Cost Rates***

**Indirect Costs: Not Allowed**

The Even Start Family Literacy Program Grants for Federally Recognized Indian Tribes and Tribal Organizations program (CFDA 84.258A) does not reimburse grantees for indirect costs they incur in carrying out a project funded under the program. Therefore, applicants should not show any dollar amounts for indirect costs on either line 10 of the application budget form (ED 524) or in their budget narrative.

Applicants should also be aware that un-reimbursed indirect costs under grants of this program may not be charged as direct cost items in the same award, used to satisfy matching or cost-sharing requirements, or charged to another Federal award.

**NOTE:** Recipients of an Even Start Indian tribe and tribal organization grant may request the Secretary to waive this limitation. To obtain a waiver, however, the recipient must demonstrate to the Secretary's satisfaction that the recipient otherwise would not be able to participate in the Even Start Family Literacy Program. (See Section 1234(b)(3), ESEA.)

**Part 6: Other Attachments Form**

*Attach one or more documents to the Other Attachments Form in accordance with the instructions found on Grants.gov. You may provide all of the required information in a single document, or in multiple documents.*

*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.*

*Please note that Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission.*

*When attaching files, applicants should limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We recommend your file names be less than 50 characters.*

- Individual Resumes for Project Directors and Key Personnel:** Provide brief resumes or job descriptions that describe their qualifications for the responsibilities they will carry out under the project of no more than 5 people (including key contract personnel and consultants).
- Letters of Commitment of Each Partner or Collaborative Partner in the Proposed Project** (Required): Applicants must submit a letter of agreement that details the activities that each partner or collaborative partner plans to perform.
- Performance Indicators** (If applicable): Provide any project-specific performance measures for the proposal.

***Part 7: Assurances and Certifications***

Be certain to complete all required assurances and certifications in Grants.gov, and include all required information in the appropriate place on each form. The assurances and certifications required for this application are:

- Assurances – Non-Construction Programs (SF 424B Form)
- Disclosure of Lobbying Activities (SF LLL Form)
- Grants.gov Lobbying Form
- General Education Provisions Act (GEPA) Requirements – Section 427
- Survey on Ensuring Equal Opportunity for Applicants (form 1890-0014)

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

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

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

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

## **Instructions for Meeting the General Education Provisions Act (GEPA) Section 427 Requirements**

All applicants for new awards **must** include information in their applications to address this new provision 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 provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age.

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.

Please review the Notice to all Applicants (included in the electronic application package in Grants.gov) for further information on meeting the provisions in the Department of Education's General Education Provisions Act (GEPA).

Applicants are **required** to address this provision by attaching a statement (not to exceed three pages) to the **ED GEPA427 form** that is included in the electronic application package in Grants.gov.



## Survey Instructions on Ensuring Equal Opportunity for Applicants

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**Provide the applicant's (organization) name and DUNS number and the grant name and CFDA number.**

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

### **Paperwork Burden Statement**

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

OMB No. 1890-0014 Exp. 02/28/09

### Reporting and Accountability

## **Annual Reporting and Performance Measures**

Successful applicants with multi-year grants must submit an **annual performance report** demonstrating their progress in meeting approved project objectives. Grantees must also provide the most current financial and performance measure data for each year of the project.

At the end of the project period, applicants will also be required to submit a **final performance report**.

Under the Government Performance and Results Act (GPRA), the following performance indicators have been established to evaluate the overall effectiveness of the Even Start Family Literacy Program Grants for Federally Recognized Indian Tribes and Tribal Organizations Program:

- (1) The percentage of Tribal Even Start adults who do not have limited English proficiency who achieve significant learning gains in reading;
- (2) The percentage of Tribal Even Start adults with limited English proficiency who achieve significant learning gains in reading/English Language acquisition;
- (3) The percentage of Tribal Even Start adults with a high school completion goal who earn a high school diploma;
- (4) The percentage of Tribal Even Start adults with the goal of General Equivalency Diploma (GED) attainment who earn a GED;
- (5) The percentage of preschool-aged children participating in Tribal Even Start programs who achieve significant gains in oral language skills;
- (6) The average number of letters Tribal Even Start preschool-aged children are able to identify; and
- (7) The percentage of preschool-aged children participating in Tribal Even Start programs who demonstrate age-appropriate oral language skills.

These measures constitute the Department's indicators of success for this program. Consequently, we advise an applicant for a grant under this program to give careful consideration to these measures in conceptualizing the approach and evaluation for its proposed project. Each grantee will be required to provide, in its annual performance and final reports, data about its progress in meeting these measures. The Department will provide further information on selecting valid, reliable, and program-appropriate assessment instruments on the program website at <http://www.ed.gov/programs/evenstartindian/applicant.html>

For specific requirements on grantee reporting, please go to the ED Performance Report Form 524B at <http://www.ed.gov/fund/grant/apply/appforms/appforms.html>.

### **Annual Local Evaluation Activities**

Each project must provide for an independent local evaluation to be used for program improvement. (Section 1235(15), ESEA). The independent evaluation is conducted annually and provides critical data and information to the local program, the Department, and the Congress on the performance of each family, the retention rates of those participants, the achievement of all families in the project, as well as the quality of the implementation of the core components and program elements the activities and services provided by the project. The project must use the data and information for participant progress monitoring and continuous program improvement to lead to better participant outcomes. These evaluations provide local projects with critical information on individual participant achievement results and areas of program strength and weakness.

In budgeting for the cost of this independent local evaluation, you may wish to contact potential local evaluators, such as researchers or teachers at local community colleges or universities, to ascertain a typical hourly rate. The most effective local evaluators for Even Start projects often are those who understand the family literacy model, who are able to work with the project as a partner in designing the evaluation, and who will help the project use its evaluation results in an on-going way for continuous program improvement.