



**U.S. Department of Education  
Office of Vocational and Adult Education  
Washington, D.C. 20202-7100**

**Archived Information**

# **APPLICATION PACKAGE**

## **School Dropout Prevention Program**

### **FY 2005 Competition**

**Form Approved  
OMB No. 1830-0561  
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# **TABLE OF CONTENTS**

<b>1. Letter from Assistant Secretary Susan Sclafani.....</b>	<b>6</b>
<b>2. Introducing the School Dropout Prevention (SDP) Program.....</b>	<b>8</b>
a. Who is eligible to receive a grant?.....	9
b. What will be the time period, size and number of grants?.....	9
c. Are the award ranges for the entire 36-month period or per year?.....	9
d. What performance measures will assess SDP program effectiveness?.....	9
e. What priorities apply to this program?.....	9
f. What definitions apply to this program?.....	10
<b>3. Application Requirements.....</b>	<b>11</b>
a. What statutory application requirements apply to this program.....	11
b. What selection criteria apply to this competition?.....	11
c. Additional application requirements.....	13
d. What regulations apply to this program?.....	15
<b>4. Applying for the Grants.....</b>	<b>15</b>
a. How to prepare an application.....	15
b. Electronic applications.....	16
c. Application transmittal instructions.....	19
d. Intergovernmental Review of Federal Programs.....	20
e. Estimated public reporting burden.....	26
f. Notice: Necessity of Meeting Deadlines.....	26
<b>5. Non-regulatory Guidance.....</b>	<b>28</b>
a. What is the purpose of the SDP Program?.....	28
b. What other Department programs can be used to support high school improvement?.....	29
c. Who is eligible to apply for an SDP grant?.....	29
d. Are former SDP grantees eligible to apply?.....	29
e. Who may submit the SDP grant application?.....	29
f. What is an “SEA”?.....	30
g. What is an “LEA”?.....	30
h. May public and private entities other than SEAs participate in this program?.....	30
i. Who can serve as the fiscal agent for the grant?.....	30
j. Is an intermediate unit (e.g., a county office of education) eligible to apply?.....	30
k. Can charter schools apply?.....	30
l. Can private schools apply?.....	31
m. What are the types of grants that will be awarded?.....	31
n. What is the basic purpose of a SDP grant?.....	31
o. What are the award ranges and the maximum award amount for SDP grants?.....	31

p.	Is there any limit on the amount of funding that an SEA can receive over the life of the program?.....	31
q.	What must each SDP grant application describe?.....	32
r.	What additional student indicators can the applicant identify and report?.....	32
s.	How long are the grant funds available to the SEAs?.....	32
t.	Since funding is available for a three-year period, are there any limits on when the money can be spent?.....	32
u.	What percentage of total grant funds may an SEA set aside to cover its administrative costs?.....	33
v.	May SDP funds be used to construct or purchase new facilities?.....	33
w.	Grant funds can be used to cover “limited equipment expenditures”. What is the definition of “limited equipment expenditures”?.....	33
x.	Can SDP funds be used to purchase computers?.....	33
y.	May a grantee use SDP funds to reimburse a proposal-writing firm or a consultant for developing an application?.....	34
z.	If a grantee had already begun plans for developing or implementing a school dropout rate reduction, increased reentry program, collaborations with other agencies, and assisting LEAs with schools to individualize performance plans for at-risk incoming ninth grade students, may SDP funds be used to reimburse the grantee for costs that were incurred prior to the date it was notified that it would receive funds?.....	34
aa.	How does the Department expect grantees to continue implementing school dropout prevention programs once the SDP grant funds have expired?.....	34
bb.	What types of evaluation activities will be expected of grantees?.....	34
cc.	What types of data will grantees be required to collect and submit annually?.....	35
dd.	How can I obtain a DUNS number?.....	36

**6. Supporting Documents.....36**

a.	Federal Legislation: No Child Left Behind, Title I, Part H, .....	36
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**7. Required Forms and Assurances.....42**

a.	Application Cover Page (ED 424).....	44
b.	SDP program grant application coversheet.....	54
c.	Budget Information, Non-construction Programs (ED 524).....	56
d.	Notice: General Education Provisions Act (GEPA) Section 427: Equitable Access and Participation.....	63
e.	Assurances: Non-construction Programs (SF 424B).....	65
f.	Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements (ED 80-0013).....	68
g.	Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Covered Transactions (ED 80-0014).....	70
h.	Disclosure of Lobbying Activities (Form LLL).....	73
i.	Survey on Ensuring Equal Opportunity for Applicants.....	76
j.	Assurance that the program funds will supplement, not supplant, State and local funds available for statewide school dropout prevention and reentry program.....	81
k.	Assurance that the dropout rates included in the application are calculated on the basis of the definitions in the application package.....	82

*Note: Copies of the forms listed above are also available at the U.S. Department of Education's Web site at <http://ocfo.ed.gov/grntinfo/appforms.htm>.*

<b>8. Appendices.....</b>	<b>83</b>
a. Appendix A - Definitions and terms.....	83
b. Appendix B - Notice inviting applications for new awards for fiscal year (FY) 2005...	84
c. Appendix C - Notice of final priorities, requirements, definitions, and selection criteria for fiscal year (FY) 2005 and subsequent years funds.....	90

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# 1. Letter from Assistant Secretary Susan Sclafani



UNITED STATES DEPARTMENT OF EDUCATION  
OFFICE OF VOCATIONAL AND ADULT EDUCATION

THE ASSISTANT SECRETARY

**Dear Applicant:**

Thank you for your interest in the School Dropout Prevention (SDP) program. The purpose of the SDP program is to support the development and implementation of effective, sustainable, and coordinated school dropout prevention and reentry programs. Through this grant, State educational agencies (SEAs) will create collaborations with other agencies to develop a comprehensive, statewide dropout prevention and reentry program to assist the schools most needing help. Additionally SEAs will work with local educational agencies (LEAs) to assist schools in using eighth grade assessments and other data to develop and implement individual performance plans for students entering the ninth grade who are at risk of failing to meet challenging State academic standards and of dropping out of high school. The plans will identify specific interventions to improve the academic achievement of these students and other supports and services they need in order to succeed in high school. The SDP program is authorized under Part H of Title I of the *Elementary and Secondary Education Act of 1965* (P.L. 107-110), as amended by the *No Child Left Behind Act of 2001*.

In implementing the *No Child Left Behind Act*, the U.S. Department of Education developed a strategic plan that serves as the roadmap for all departmental activities and investments. The plan specifically focuses on, among other areas, holding schools accountable for raising the academic achievement level of all students and improving the high school completion rate. The department is working with states to ensure that all students attain the strong academic knowledge and skills necessary for future success in postsecondary education and adult life. The department is also encouraging students to stay in school and get their diplomas.

The School Dropout Prevention program received \$4.9 million for FY 2005. For the purposes of this program, federal resources can be used most effectively to improve high school completion rates by targeting those resources to support the implementation of comprehensive, statewide strategies by SEAs. Under this approach, high schools within a State that have dropout rates above the State average would receive technical assistance and support from the SEA that receives funding through the SDP program. Awarding grants to a small number of LEAs would have a far more limited impact.

The complexity of the dropout problem requires the attention of multiple agencies due to the numerous factors that contribute to a student's decision to drop out. Therefore, successful dropout prevention and reentry activities should involve many agencies and community organizations and institutions in strong collaborative activities. By combining their expertise and resources, these entities can achieve much more than they could individually.

Another vital element for successful dropout prevention and reentry programs is the early identification of at-risk students and the implementation of a customized set of services and interventions that address the

needs of those students. By incorporating these strategies into the SDP program, grantees will have the highest probability of reducing dropout rates.

This application package contains all of the necessary instructions and forms needed to submit a complete application to the U. S. Department of Education. This package also includes information on the selection criteria that will be used to evaluate applications, and non-regulatory guidance, all of which provides important information regarding the FY 2005 grant competition. Please refer to the SDP Web site, <http://www.ed.gov/programs/dropout/index.html> for further information about the program and how to apply.

We look forward to receiving your application and learning about your success in helping students at-risk for dropping out stay in school and earn their diplomas.

Sincerely,

Susan Sclafani

## 2. Introducing the School Dropout Prevention Program

The School Dropout Prevention program provides financial support to State educational agencies to combat the dropout problem and help students reengage in high school. This funding will help SEAs support activities in schools that have a dropout rate above the state average and the feeder middle schools of those schools. Raising the academic achievement of students is a critical part of keeping them engaged in school and continuing on a path to graduation. Through these grants States can assist schools to challenge children to attain at high levels and offer effective dropout prevention and reentry programs.

Under this program, SEAs can provide technical assistance to schools to help them reduce the dropout rate and promote reentry through a variety of activities. These activities include the following:

- (1) professional development;
- (2) obtaining curricular materials;
- (3) release time for professional staff to obtain professional development;
- (4) planning and research;
- (5) remedial education;
- (6) reduction in pupil-to-teacher ratio;
- (7) efforts to meet State student academic achievement standards;
- (8) counseling and mentoring for at-risk students;
- (9) implementing comprehensive school reform models; and
- (10) school reentry activities.

**BACKGROUND INFORMATION:** The School Dropout Prevention Program is authorized under Title I, Part H of the Elementary and Secondary Education Act of 1965 (ESEA), as amended by Public Law 107-110, the No Child Left Behind Act of 2001.

The No Child Left Behind Act of 2001 is the most sweeping reform of Federal education policy in a generation. It is designed to implement the President's agenda to improve America's public schools by: (1) Ensuring accountability for results, (2) providing unprecedented flexibility in the use of Federal funds in implementing education programs, (3) focusing on proven educational methods, and (4) expanding educational choice for parents. Since the enactment of the original ESEA in 1965, the Federal Government has spent more than \$130 billion to improve public schools. Unfortunately, this investment in education has not yet eliminated the achievement gap between affluent and lower-income students or between minority students and non-minority students.

The U.S. Department of Education (Department) has developed a strategic plan that serves as the roadmap for all Departmental activities and investments. The plan specifically focuses on, among other areas, improving the performance of all high school students and holding schools accountable for raising the academic achievement level of all students. The department is working with states to ensure that students attain the strong academic knowledge and skills necessary for future success in postsecondary education and adult life. The department is also encouraging students to stay in school and get their diplomas.

The complexity of the dropout problem requires the attention of multiple agencies because numerous factors contribute to a student's decision to drop out. Therefore, successful dropout prevention and reentry activities should involve many agencies and community organizations and institutions in strong collaborative activities. By combining their expertise and resources, these entities can achieve much more than they could individually. Therefore under this program, funding is being limited to SEAs and also requiring an SEA to partner with other agencies in its efforts to reduce the dropout rate in high schools (grades 9-12) where the annual dropout rate exceeds the State average. Another vital element for successful dropout prevention and reentry programs is the early identification of at-risk students and the



implementation of a customized set of services and interventions that address the needs of those students. Funding under this program also requires applicants to work with LEAs to use eighth grade assessment and other data to identify those students who could benefit from intensive early assistance. We believe that by incorporating these strategies into the SDP program, the Department will make grants to SEAs for activities that have the highest probability of reducing dropout rates.

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**a. Who is eligible to receive a grant?**

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State educational agencies (SEAs). Per EDGAR 34 CFR Part 77.1, State educational agency means the State board of education or other agency or officer primarily responsible for the supervision of public elementary and secondary schools in a State. In the absence of this officer or agency, it is an officer or agency designated by the Governor or State law.

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**b. What will be the time period, size and number of grants?**

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The Department will award two grants that will be available for a 36-month project period. The size of the awards will be approximately \$2,200,000. The maximum award amount is \$2,500,000. Applicants will be expected to provide detailed, yearly budget information for the total project period. Understanding the unique complexities of implementing a coordinated statewide school dropout prevention and reentry program, we anticipate awarding the entire grant amount at the time of the initial award. The Department intends to use the grant slate developed from this forthcoming competition to make new grant awards in subsequent years (subject to future appropriations). However, please note that the Department of Education is not bound by any estimates in this document.

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**c. Are the award ranges for the entire 36-month period or per year?**

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The award ranges are for the full 36-month project period.

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**d. What performance measures will assess SDP program effectiveness?**

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Under the Government Performance and Results Act (GPRA), the Department is currently using the following two performance measures to assess the effectiveness of the SDP program: (1) the dropout rate in schools receiving program funds, and (2) the percentage of students reentering schools who complete their secondary education. Applicants for a grant under this program are advised to consider these two performance measures in conceptualizing the approach and evaluation of their proposed project. To assist the Department in assessing progress under the first measure, an applicant must use its State event dropout rate as the GPRA indicator and submit, as part of its application to the Department, a projected State event dropout rate for each year of the project. If funded, applicants would then be asked to collect and report data for this indicator in their performance and final reports for each year of the project. We will notify grantees if they will be required to provide any additional information related to the two measures.

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**e. What priorities apply to this program?**

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Absolute Priorities: Under 34 CFR 75.105(c)(3) we consider only applications that meet these priorities.

These priorities are:

Absolute Priority 1: Collaboration with other agencies

Under this priority, an applicant must include in its application evidence that other public or private entities will be involved in, or provide financial support for, the implementation of the activities described in the application. Applicants may involve such State agencies as those responsible for administering postsecondary education, Title I of the Workforce Investment Act, Temporary Assistance for Needy Families, Medicaid, the State Children's Health Insurance Program, foster care, juvenile justice, and others. Applicants also may collaborate with business and industry, civic organizations, foundations, and community- and faith-based organizations, among other private-sector entities. Acceptable evidence of collaboration is a memorandum of understanding or other document signed by the principal officer of each participating agency that identifies (1) how the agency will be involved in the implementation of the project or (2) the financial resources (cash or in-kind) that it will contribute to support the project, or both.

Absolute Priority 2: Individual performance plans for at-risk incoming ninth grade students

Under this priority, an applicant must work with LEAs to assist schools in using eighth grade assessment and other data to develop and implement (in consultation with parents, teachers, and counselors) individual performance plans for students entering the ninth grade who are at-risk of failing to meet challenging State academic standards and of dropping out of high school. The plans would identify specific interventions to improve the academic achievement of these students and other supports and services they need in order to succeed in high school.

The Secretary will fund only applicants that meet the absolute priorities described above and that meet all of the other requirements for this competition described elsewhere in this application and in the accompanying notice of final priorities, requirements, definitions, and selection criteria, and the notice inviting applications for new awards.

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## **f. What definitions apply to this program?**

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In addition to the definitions set out in the authorizing statute and 34 CFR 77.1, we require that the following definitions also apply to this program:

High school dropout means an individual who

- (a) Was enrolled in a district in grades 9-12 at some time during the preceding school year;
- (b) Was not enrolled at the beginning of the current school year;
- (c) Has not graduated or completed a program of studies by the maximum age established by a State;
- (d) Has not transferred to another public school district or to a nonpublic school or to a State-approved educational program; and
- (e) Has not left school because of death, illness, or a school-approved absence.

State event dropout rate means the dropout rate calculated by dividing the number of high school dropouts (as defined elsewhere in this notice) in the State by the total number of students enrolled in grades 9 through 12 in public schools in the State during the current school year. This calculation is based upon the annual school event dropout rate calculation of the National Center for Education Statistics' Common Core of Data.

School event dropout rate means the dropout rate calculated by dividing the number of high school dropouts (as defined elsewhere in this notice) in a school by the total number of students enrolled in grades 9 through 12 in that school during the current school year.

### **3. Application Requirements**

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#### **a. What statutory application requirements apply to this program?**

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ESEA, Title I Part H requires SDP program applicants to include the following information in their applications.

- An outline-
  - of the State educational agency's or local educational agency's strategy for reducing the State educational agency or local educational agency's annual school dropout rate;
  - for targeting secondary schools, and the middle schools that feed students into those secondary schools, that have the highest annual school dropout rates; and
  - for assessing the effectiveness of the efforts described in the plan;
- Contain an identification of the schools in the State or operated by the local educational agency that have annual school dropout rates that are greater than the average annual school dropout rate for the State;
- Describe the instructional strategies to be implemented, how the strategies will serve all students, and the effectiveness of the strategies;
- Describe a budget and timeline for implementing the strategies;
- Contain evidence of coordination with existing resources;
- Provide an assurance that funds provided under this subpart will supplement, and not supplant, other State and local funds available for school dropout prevention and reentry programs; and
- Describe how the activities to be assisted conform with research knowledge about school dropout prevention and reentry.

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#### **b. What selection criteria apply to this competition?**

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The Department will use five (5) criteria to evaluate applications for SDP grants. The relative weights for each criterion are indicated in parentheses. Our intent in this section is to identify the selection criteria and help applicants understand how they will be applied during the review process. A peer review panel will make a careful evaluation of applications. Each panelist will evaluate the applications against the criteria listed below. The panel results are advisory in nature and not binding on the Secretary. The Secretary will use the following selection criteria and associated point values in evaluating applications for SDP grants:

- (1) The maximum score for SDP grants is 100 points.
- (2) The maximum score for each criterion is indicated in parentheses.

### Quality of Project Design. (30 points)

In determining the quality of the project design, we will consider the extent to which--

- (a) The applicant demonstrates its readiness to implement a comprehensive and coordinated statewide dropout and reentry program;
- (b) The goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable;
- (c) The activities described in the application are evidence-based and likely to be successful in improving the graduation rate within the State, particularly among youth who are at the greatest risk of dropping out;
- (d) Other public and private agencies will support and participate in the implementation of the proposed project;
- (e) The technical assistance activities that will be undertaken by the applicant are likely to be successful in helping local educational agencies use eighth grade assessment and other data to develop individual performance plans for entering ninth graders who are at risk of failing to meet challenging State academic standards and of dropping out of high school; and
- (f) The proposed project is designed to build capacity and yield results that will extend beyond the period of Federal financial assistance.

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

In determining the quality of project personnel for the proposed project, we consider the following factors:

- (a) The qualifications, including relevant training and experience, of the project director or principal investigator;
- (b) The qualifications, including relevant training and experience, of key project personnel; and
- (c) The qualifications, including relevant training and experience, of project consultants or subcontractors.

### Adequacy of Resources. (25 points)

In determining the adequacy of resources for the proposed project, we consider the following factors:

- (a) The relevance and demonstrated commitment of each partner in the proposed project to the implementation and success of the project;
- (b) The extent to which the budget is adequate to support the proposed project;
- (c) The extent to which the costs are reasonable in relation to the objectives, design, and potential significance of the proposed project;
- (d) The extent of the cash or in-kind support the SEA will provide;
- (e) The extent of the cash or in-kind support other public and private agencies will contribute to the implementation of the proposed project; and
- (f) The potential for continued support of the project after Federal funding ends, including, as appropriate, the demonstrated commitment of appropriate entities to such support.

### Quality of the Management Plan. (20 points)

In determining the quality of the management plan for the proposed project, we consider the following:

- (a) The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including the extent to which the plan clearly defines the roles and responsibilities of each agency and its key personnel and establishes detailed timelines and milestones for accomplishing each of the project tasks; and

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

Quality of the SDP Project Evaluation. (15 points)

In determining the quality of the evaluation, we consider the following factors:

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

(b) The extent to which the methods of evaluation will yield accurate and reliable data for each of the required performance indicators;

(c) The extent to which the evaluation will produce reports or other documents at appropriate intervals to enable the agencies, organizations, or institutions participating in the project to use the data for planning and decision-making for continuous program improvement; and

(d) Whether the independent third-party evaluator identified in the application has the necessary background and expertise to carry out the evaluation.

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### **c. Additional application requirements**

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- **REPORTING REQUIREMENTS AND EXPECTED OUTCOMES**

Applicants for school dropout prevention grants must describe their:

- (1) Project objectives including measurable goals, objectives and timelines; and
- (2) Indicators to gauge progress toward meeting project objectives.

In addition, we require grantees to collect data that address the performance indicators for this program, in order to produce annual performance reports. These reports will document the grantee's yearly progress toward expected project objectives. The Secretary will use these reports to measure the success of the grantee's project, as well as the effects of the Department of Education's School Dropout Prevention grant program nationwide. Grantees may collect additional site-based data to assess the progress of their program. We require applicants to identify in their application specific performance indicators and annual performance objectives for each of these indicators. Specifically, we require applicants to use the following performance indicators to measure the progress of each school:

- **Performance Measures**

Under the GPRA, the Department is currently using the following two performance measures to assess the effectiveness of the SDP program: (1) the dropout rate in schools receiving program funds, and (2) the percentage of students reentering schools who complete their secondary education. Applicants for a grant under this program are advised to consider these two performance measures in conceptualizing the approach and evaluation of their proposed project. To assist the Department in assessing progress under the first measure, an applicant must use its State event dropout rate as the GPRA indicator and submit, as part of its application to the Department, a projected State event dropout rate for each year of the project. If funded, applicants would then be asked to collect and report data for this indicator in their performance and final reports for each year of the project. We will notify grantees if they will be required to provide any additional information related to the two measures.

- **Accountability for Results**

In addition to the GPRA indicator, we require applicants to identify in their applications at least two specific performance indicators and annual performance objectives for the schools that receive services and technical assistance through projects funded under this program, in addition to the two GPRA indicators. Applicants may identify and report on additional student indicators, such as graduation rates; year-to-year retention; rates of average daily attendance; the percentage of secondary school students who score at the proficient or advanced levels on the reading/English language arts and mathematics assessments used by the State to measure adequate yearly progress under part A of title I of the Elementary and Secondary Education Act of 1965, as amended (ESEA); student achievement and gains in English proficiency; and the incidence of school violence, drug and alcohol use, and disciplinary actions.

Applicants must identify annual performance objectives for the two GPRA indicators and the two additional indicators identified in the application. The Department intends to negotiate these performance levels with potential grantees.

We require that applicants identify all outcomes in their evaluation plan that are relevant to the scope of the project and will assist in continuous improvement of the services offered.

- **Evaluation**

We require that each applicant include in its application a plan to support an independent, third-party evaluation of its SDP project and that the applicant reserve not less than 10 percent of its grant award for this evaluation. At a minimum, the evaluation must--

- (a) Be both formative and summative in nature;
- (b) Include performance measures that are clearly related to the intended outcomes of the project and the GPRA indicators for the SDP program described elsewhere in this notice;
- (c) Measure the effectiveness of the project, including a comparison between the intended and observed results and, if appropriate, a demonstration of a clear link between the observed results and the specific treatment given to project participants;
- (d) Measure the extent to which the SEA implements an effective, sustainable, and coordinated school dropout prevention and reentry program; and
- (e) Measure the extent to which the project implements research-based strategies and practices.

We require that applicants submit their proposed project evaluation designs to the Department for review and approval prior to the end of the second month of the project period.

We require that each evaluation include (i) an annual report for each of the first two years of the project period, and (ii) a final report that would be completed at the end of the third year of implementation and that would include information on implementation during the third year as well as information on the implementation of the project across the entire project period. We would require each grantee to submit each of these annual reports to the Department along with its required annual performance report.

The implementation of an effective, sustainable, and coordinated statewide school dropout prevention and reentry program is difficult and complex work that requires coordinating a variety of activities with multiple entities. An evaluation that provides regular feedback on the progress of implementation and the project's outcomes can help the SEA identify successes and areas in which improvement is needed.

In addition, we require that the evaluation be conducted by an independent third party, selected by the applicant, whose role in the project is limited to conducting the evaluation.

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## **d. What regulations apply to this program?**

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(a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 75, 77, 79, 80, 81, 82, 84, 85, 97, 98, and 99; and (b) the regulations in the Notice of Final Priorities, Requirements, Definitions, and Selection Criteria and Notice Inviting Applications as published elsewhere in the *Federal Register*.

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## **4. Applying for the Grants**

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### **a. How to prepare an application**

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Carefully read the entire application package, the Notice of Final Priorities, Requirements, Definitions, and Selection Criteria and the Notice Inviting Applications before beginning to prepare an application. The application package clearly identifies who is eligible to apply under this competition, what applicants must propose to do, what must be contained in an application, and what criteria will be used to evaluate applications. Copies of the authorizing statute as well as supplementary materials describing how to plan and manage the School Dropout Prevention grant are provided in this application package.

A completed application must contain the following sections, in the order provided below. Copies of all forms discussed in the following section are provided in this document.

- (1) **Application for Federal Assistance.** Use ED Form 424. The first page is the standard application face page on which you provide basic identifying information about the applicant and the application. Please note that the requirement for the employer identification number has been revised. Please indicate your D-U-N-S number. If you are unfamiliar with that number or how to obtain one, instructions are included in the package. Please include the e-mail address of the contact person, if available.
- (1) **Coversheet for the School Dropout Prevention (SDP) program application package.** The second page of your application consists of the SDP cover page indicating the name and address of each SEA, LEA, and school in the application.
- (2) **Budget Form.** Use the enclosed ED Form 524 (Budget Information, Non-Construction Programs) to provide a complete budget summary **for each year of the project.**
- (3) **Program Abstract.** Begin with a one-page abstract summarizing the proposed School Dropout Prevention project, including state event dropout rate of the SEA, the school event dropout rate of the school, a short description of collaborations with other agencies, a description of the individual performance plans for at-risk incoming ninth grade students, and a description of the project's objectives and performance indicators.
- (4) **Table of Contents.** Include a table of contents listing the parts of the narrative in the order of the selection criteria and the page numbers where the parts of the narrative are found. Be sure to number the pages.
- (5) **Program Narrative.** We recommend applications be no more than 25 double-spaced "8.5 x 11" pages, typed on one side only, with 1" margins at top, bottom, and on both sides, and typed

or word processed with twelve-point font. Describe fully the proposed project in light of the selection criteria in the order in which the criteria are listed in the application package. Do not simply paraphrase the criteria. **NOTE:** The suggested page limit does not apply to the cover sheet, the budget section, the one-page abstract, appendices, and forms and assurances.

- (6) **Budget Narrative.** Please provide a budget narrative that explains: (1) the basis for estimating the costs of professional personnel salaries, benefits, project staff travel, materials and supplies, consultants and subcontracts, indirect costs, and any other projected expenditures; (2) how the major cost items relate to the proposed activities; (3) the cost of evaluation; and (4) a detailed description, as applicable, explaining in-kind support or funding provided by collaborative agencies in the project.
- (7) **Compliance with General Education Provisions Act (GEPA), Section 427.** Include a section that describes how the program narrative (Part III) describes its compliance with GEPA's Section 427 – equitable access to and participation in federally assisted programs for students, teachers, and other program beneficiaries with special needs.
- (8) **Assurances and Certifications.** Each of the forms and assurances provided in this application package must be completed, as appropriate, and included in the application.
- (9) **Appendices.** Applicants may also include supporting documentation as appendices to the narrative. This material should be concise and pertinent to the competition. Note, we consider only information contained in the application in ranking applications for funding consideration. Letters of support and other documentation sent separate from the formal application package are not considered in the review by the peer review panels.

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## **b. Electronic Applications**

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*We strongly encourage you to submit your application to us electronically.*

Applications for grants under this School Dropout Prevention Program CFDA# 84.360A may be submitted electronically or in paper format by mail or hand delivery.

a. Electronic Submission of Applications.

If you choose to submit your application to us electronically, you must use e-Application available through the Department's e-Grants system, accessible through the e-Grants portal page at:

<http://e-grants.ed.gov/>

While completing your electronic application, you will be entering data online that will be saved into a database. You may not e-mail an electronic copy of a grant application to us.

Please note the following:

- Your participation in e-Application is voluntary.
- You must complete the electronic submission of your grant application by 4:30 p.m., Washington, DC time, on the application deadline date. The e-Application system will not accept an application for this School Dropout Prevention Program CFDA# 84.360A after 4:30 p.m., Washington, DC time, on the application deadline date. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the application process.
- The regular hours of operation of the e-Grants Web site are 6:00 a.m. Monday until 7:00 p.m. Wednesday; and 6:00 a.m. Thursday until midnight Saturday, Washington, DC time. Please note that the system is unavailable on Sundays, and between 7:00 p.m. on Wednesdays and 6:00 a.m. on Thursdays,



Washington, DC time, for maintenance. Any modifications to these hours are posted on the e-Grants Web site.

- You will not receive additional point value because you submit your application in electronic format, nor will we penalize you if you submit your application in paper format.
- You must submit all documents electronically, including the Application for Federal Education Assistance (ED 424, Budget Information--Non-Construction Programs (ED 524), and all necessary assurances and certifications.
- Any narrative sections of your application should be attached as files in a .DOC (document), .RTF (rich text), or .PDF (Portable Document) format.
- Your electronic application must comply with any page limit requirements described in this notice.
- Prior to submitting your electronic application, you may wish to print a copy of it for your records.
- After you electronically submit your application, you will receive an automatic acknowledgement that will include a PR/Award number (an identifying number unique to your application).
- Within three working days after submitting your electronic application, fax a signed copy of the ED 424 to the Application Control Center after following these steps:
  - (1) Print ED 424 from e-Application.
  - (2) The SEAs Authorizing Representative must sign this form.
  - (3) Place the PR/Award number in the upper right hand corner of the hard-copy signature page of the ED 424.
  - (4) Fax the signed ED 424 to the Application Control Center at (202) 245-6272.
- We may request that you provide us original signatures on other forms at a later date.

Application Deadline Date Extension in Case of System Unavailability: If you are prevented from electronically submitting your application on the application deadline date because the e-Application system is unavailable, we will grant you an extension of one business day in order to transmit your application electronically, by mail, or by hand delivery. We will grant this extension if--

- (1) You are a registered user of e-Application and you have initiated an electronic application for this competition; and
- (2) (a) The e-Application system is unavailable for 60 minutes or more between the hours of 8:30 a.m. and 3:30 p.m., Washington, DC time, on the application deadline date; or
- (b) The e-Application system is unavailable for any period of time between 3:30 p.m. and 4:30 p.m., Washington, DC time, on the application deadline date.

We must acknowledge and confirm these periods of unavailability before granting you an extension. To request this extension or to confirm our acknowledgement of any system unavailability, you may contact either (1) the person listed elsewhere in this notice under For Further Information Contact (see VII. Agency Contact) or (2) the e-Grants help desk at 1-888-336-8930. If the system is down and therefore the application deadline is extended, an e-mail will be sent to all registered users who have initiated an e-Application.

Extensions referred to in this section apply only to the unavailability of the Department's e-Application system. If the e-Application system is available, and, for any reason, you are unable to submit your application electronically or you do not receive an automatic acknowledgement of your submission, you may submit your application in paper format by mail or hand delivery in accordance with the instructions in this notice.

**b. Submission of Paper Applications by Mail.**

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

**By mail through the U.S. Postal Service:**

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.360A)  
400 Maryland Avenue, SW.

Washington, DC 20202-4260

or

By mail through a commercial carrier:

U.S. Department of Education  
Application Control Center – Stop 4260  
Attention: (CFDA Number 84.360A)  
7100 Old Landover Road  
Landover, MD 20785-1506

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

- (1) A legibly dated U.S. Postal Service postmark,
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service,
- (3) A dated shipping label, invoice, or receipt from a commercial carrier, or
- (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, or
- (2) A mail receipt that is not dated by the U.S. Postal Service.

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

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

c. Submission of Paper Applications by Hand Delivery.

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

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.360A)  
550 12th Street, SW.  
Room 7041, Potomac Center Plaza  
Washington, DC 20202-4260

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

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

(1) You must indicate on the envelope and — if not provided by the Department — in Item 4 of the ED 424 the CFDA number – and suffix letter, if any – of the competition under which you are submitting your application.

(2) The Application Control Center will mail a grant application receipt acknowledgment to you. If you do not receive the grant application receipt acknowledgment 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.

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## **c. Application transmittal instructions**

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

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

### **Applications Submitted Electronically**

You must submit your grant application through the Internet using the software provided on the e-Grants Web site (<http://e-grants.ed.gov>) by 4:30 p.m. (Washington, DC time) on the application deadline date. The regular hours of operation of the e-Grants website are 6:00 a.m. Monday until 7:00 p.m. Wednesday; and 6:00 a.m. Thursday until midnight Saturday (Washington, DC time). Please note that the system is unavailable on Sundays, and after 7:00 p.m. on Wednesdays for maintenance (Washington, DC time). Any modifications to these hours are posted on the e-Grants Web site.

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

### **Applications Sent by Mail**

You must mail the original and two copies of the application on or before the deadline date to.

**Please mail copies to:**

**U.S. Department of Education  
Application Control Center  
Attention: CFDA# 84.360A  
400 Maryland Avenue, SW  
Washington, DC 20202-4260**

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

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

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

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

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

**Applications Delivered by Commercial Carrier:**

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

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

**U.S. Department of Education  
Application Control Center – Stop 4260  
Attention: CFDA# 84.360A  
7100 Old Landover Road  
Landover, MD 20785-1506**

**Applications Delivered by Hand**

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

**Please hand deliver copies to:**

**U.S. Department of Education  
Application Control Center  
Attention: CFDA# 84.360A  
550 12<sup>th</sup> Street, SW  
PCP - Room 7041  
Washington, DC 20202 – 4260**

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

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**d. Intergovernmental Review of Federal Programs**

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

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

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

follow the procedure established in each of those States under the Executive order. A listing containing the Single Point of Contact for each State is included in this package.

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

Any State Process Recommendation and other comments submitted by a State Single Point of Contact and any comments from State, area-wide, regional, and local entities must be mailed or hand-delivered by the date indicated in the actual application notice to the following address:

The Secretary  
Re: EO 12372  
U.S. Department of Education  
Room 7W-100  
400 Maryland Avenue, SW  
Washington, DC 20202-0124.

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

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

**DO NOT SEND APPLICATIONS TO THE ABOVE ADDRESS!**

## **Intergovernmental Review (SPOC List)**

Executive Order 12372, "Intergovernmental Review of Federal Programs," was issued with the desire to foster the intergovernmental partnership and strengthen federalism by relying on State and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The Order allows each State to designate an entity to perform this function. Below is the official list of those entities. For those States that have a home page for their designated entity, a direct link has been provided below.

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

Contact information for Federal agencies that award grants can be found in [Appendix IV of the Catalog of Federal Domestic Assistance](#).

<p><u><b>ARKANSAS</b></u></p> <p>Tracy L. Copeland            Manager, State Clearinghouse            Office of Intergovernmental Services            Department of Finance and Administration            1515 W. 7th St., Room 412            Little Rock, Arkansas 72203            Telephone: (501) 682-1074            Fax: (501) 682-5206  <a href="mailto:tlcopeland@dfa.state.ar.us">tlcopeland@dfa.state.ar.us</a></p>	<p><u><b>CALIFORNIA</b></u></p> <p>Grants Coordination            State Clearinghouse            Office of Planning and Research            P.O. Box 3044, Room 222            Sacramento, California 95812-3044            Telephone: (916) 445-0613            Fax: (916) 323-3018  <a href="mailto:state.clearinghouse@opr.ca.gov">state.clearinghouse@opr.ca.gov</a></p>
<p><u><b>DELAWARE</b></u></p> <p>Charles H. Hopkins            Executive Department            Office of the Budget            540 S. Dupont Highway, 3rd Floor            Dover, Delaware 19901            Telephone: (302) 739-3323            Fax: (302) 739-5661  <a href="mailto:chopkins@state.de.us">chopkins@state.de.us</a></p>	<p><u><b>DISTRICT OF COLUMBIA</b></u></p> <p>Luisa Montero-Diaz            Office of Partnerships and Grants Development            Executive Office of the Mayor            District of Columbia Government            441 4th Street, NW, Suite 530 South            Washington, DC 20001            Telephone: (202) 727-8900            Fax: (202) 727-1652  <a href="mailto:opgd.eom@dc.gov">opgd.eom@dc.gov</a></p>
<p><u><b>FLORIDA</b></u></p> <p>Jasmin Raffington            Florida State Clearinghouse            Department of Community Affairs            2555 Shumard Oak Blvd.            Tallahassee, Florida 32399-2100            Telephone: (850) 922-5438            Fax: (850) 414-0479  <a href="mailto:clearinghouse@dca.state.fl.us">clearinghouse@dca.state.fl.us</a></p>	<p><u><b>GEORGIA</b></u></p> <p>Georgia State Clearinghouse            270 Washington Street, SW            Atlanta, Georgia 30334            Telephone: (404) 656-3855            Fax: (404) 656-7901  <a href="mailto:gach@mail.opb.state.ga.us">gach@mail.opb.state.ga.us</a></p>

<p><b><u>ILLINOIS</u></b>  Virginia Bova  Department of Commerce  and Community Affairs  James R. Thompson Center  100 West Randolph, Suite 3-400  Chicago, Illinois 60601  Telephone: (312) 814-6028  Fax (312) 814-8485  <a href="mailto:vbova@commerce.state.il.us">vbova@commerce.state.il.us</a></p>	<p><b>IOWA</b>  Steven R. McCann  Division of Community and Rural Development  Iowa Department of Economic Development  200 East Grand Avenue  Des Moines, Iowa 50309  Telephone: (515) 242-4719  Fax: (515) 242-4809  steve.mccann@ided.state.ia.us</p>
<p><b>KENTUCKY</b>  Ron Cook  Department for Local Government  1024 Capital Center Drive, Suite 340  Frankfort, Kentucky 40601  Telephone: (502) 573-2382  Fax: (502) 573-2512  <a href="mailto:ron.cook@mail.state.ky.us">ron.cook@mail.state.ky.us</a></p>	<p><b>MAINE</b>  Joyce Benson  State Planning Office  184 State Street  38 State House Station  Augusta, Maine 04333  Telephone: (207) 287-3261  (207) 287-1461 (direct)  Fax: (207) 287-6489  joyce.benson@state.me.us</p>
<p><b><u>MARYLAND</u></b>  Linda Janey  Manager, Clearinghouse  and Plan Review Unit  Maryland Office of Planning  301 West Preston Street - Room 1104  Baltimore, Maryland 21201-2305  Telephone: (410) 767-4490  Fax: (410) 767-4480  linda@mail.op.state.md.us</p>	<p><b>MICHIGAN</b>  Richard Pfaff  Southeast Michigan Council of Governments  535 Griswold, Suite 300  Detroit, Michigan 48226  Telephone: (313) 961-4266  Fax: (313) 961-4869  pfaff@semcog.org</p>
<p><b>MISSISSIPPI</b>  Cathy Mallette  Clearinghouse Officer  Department of Finance and Administration  1301 Woolfolk Building, Suite E  501 North West Street  Jackson, Mississippi 39201  Telephone: (601) 359-6762  Fax: (601) 359-6758</p>	<p><b><u>MISSOURI</u></b>  Angela Boessen  Federal Assistance Clearinghouse  Office of Administration  P.O. Box 809  Truman Building, Room 840  Jefferson City, Missouri 65102  Telephone: (573) 751-4834  Fax: (573) 522-4395  igr@mail.oa.state.mo.us</p>

<p><b><u>NEVADA</u></b>  Heather Elliott  Department of Administration  State Clearinghouse  209 E. Musser Street, Room 200  Carson City, Nevada 89701  Telephone: (775) 684-0209  Fax: (775) 684-0260  <a href="mailto:helliott@govmail.state.nv.us">helliott@govmail.state.nv.us</a></p>	<p><b><u>NEW HAMPSHIRE</u></b>  Jeffrey H. Taylor  Director  New Hampshire Office of State Planning  Attn: Intergovernmental Review Process  Mike Blake  2-1/2 Beacon Street  Concord, New Hampshire 03301  Telephone: (603) 271-2155  Fax: (603) 271-1728  <a href="mailto:jtaylor@osp.state.nh.us">jtaylor@osp.state.nh.us</a></p>
<p><b><u>NEW MEXICO</u></b>  Ken Hughes  Local Government Division  Room 201 Bataan Memorial Building  Santa Fe, New Mexico 87503  Telephone: (505) 827-4370  Fax: (505) 827-4948  <a href="mailto:khughes@dfa.state.nm.us">khughes@dfa.state.nm.us</a></p>	<p><b><u>NORTH CAROLINA</u></b>  Jeanette Furney  Department of Administration  1302 Mail Service Center  Raleigh, North Carolina 27699-1302  Telephone: (919) 807-2323  Fax: (919) 733-9571  <a href="mailto:jeanette.furney@ncmail.net">jeanette.furney@ncmail.net</a></p>
<p><b><u>NORTH DAKOTA</u></b>  Jim Boyd  Division of Community Services  600 East Boulevard Ave, Dept 105  Bismarck, North Dakota 58505-0170  Telephone: (701) 328-2094  Fax: (701) 328-2308  <a href="mailto:jboyd@state.nd.us">jboyd@state.nd.us</a></p>	<p><b><u>RHODE ISLAND</u></b>  Kevin Nelson  Department of Administration  Statewide Planning Program  One Capitol Hill  Providence, Rhode Island 02908-5870  Telephone: (401) 222-2093  Fax: (401) 222-2083  <a href="mailto:knelson@doa.state.ri.us">knelson@doa.state.ri.us</a></p>
<p><b><u>SOUTH CAROLINA</u></b>  Omeagia Burgess  Budget and Control Board  Office of State Budget  1122 Ladies Street, 12th Floor  Columbia, South Carolina 29201  Telephone: (803) 734-0494  Fax: (803) 734-0645  <a href="mailto:aburgess@budget.state.sc.us">aburgess@budget.state.sc.us</a></p>	<p><b><u>TEXAS</u></b>  Denise S. Francis  Director, State Grants Team  Governor's Office of Budget and Planning  P.O. Box 12428  Austin, Texas 78711  Telephone: (512) 305-9415  Fax: (512) 936-2681  <a href="mailto:dfrancis@governor.state.tx.us">dfrancis@governor.state.tx.us</a></p>



<p><b><u>UTAH</u></b>  Carolyn Wright  Utah State Clearinghouse  Governor's Office of Planning and Budget  State Capitol, Room 114  Salt Lake City, Utah 84114  Telephone: (801) 538-1535  Fax: (801) 538-1547  <a href="mailto:cwright@gov.state.ut.us">cwright@gov.state.ut.us</a></p>	<p><b>WEST VIRGINIA</b>  Fred Cutlip, Director  Community Development Division  West Virginia Development Office  Building #6, Room 553  Charleston, West Virginia 25305  Telephone: (304) 558-4010  Fax: (304) 558-3248  fcutlip@wvdo.org</p>
<p><b><u>WISCONSIN</u></b>  Jeff Smith  Section Chief, Federal/State Relations  Wisconsin Department of Administration  101 East Wilson Street - 6th Floor  P.O. Box 7868  Madison, Wisconsin 53707  Telephone: (608) 266-0267  Fax: (608) 267-6931  <a href="mailto:jeffrey.smith@doa.state.wi.us">jeffrey.smith@doa.state.wi.us</a></p>	<p><b>AMERICAN SAMOA</b>  Pat M. Galea'i  Federal Grants/Programs Coordinator  Office of Federal Programs  Office of the Governor/Department  of Commerce  American Samoa Government  Pago Pago, American Samoa 96799  Telephone: (684) 633-5155  Fax: (684) 633-4195  pmgaleai@samoatelco.com</p>
<p><b>GUAM</b>  Director  Bureau of Budget and Management Research  Office of the Governor  P.O. Box 2950  Agana, Guam 96910  Telephone: 011-671-472-2285  Fax: 011-472-2825  <a href="mailto:jer@ns.gov.gu">jer@ns.gov.gu</a></p>	<p><b>PUERTO RICO</b>  Jose Caballero / Mayra Silva  Puerto Rico Planning Board  Federal Proposals Review Office  Minillas Government Center  P.O. Box 41119  San Juan, Puerto Rico 00940-1119  Telephone: (787) 723-6190  Fax: (787) 722-6783</p>
<p><b>NORTH MARIANA ISLANDS</b>  Ms. Jacoba T. Seman  Federal Programs Coordinator  Office of Management and Budget  Office of the Governor  Saipan, MP 96950  Telephone: (670) 664-2289  Fax: (670) 664-2272  <a href="mailto:omb.jseman@saipan.com">omb.jseman@saipan.com</a></p>	<p><b>VIRGIN ISLANDS</b>  Ira Mills  Director, Office of Management and Budget  #41 Norre Gade Emancipation Garden  Station, Second Floor  Saint Thomas, Virgin Islands 00802  Telephone: (340) 774-0750  Fax: (340) 776-0069  irmills@usvi.org</p>

Changes to this list can be made only after OMB is notified by a State's officially designated representative. E-mail messages can be sent to [grants@omb.eop.gov](mailto:grants@omb.eop.gov). If you prefer, you may send correspondence to the following postal address:

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

**Please note:** Inquiries about obtaining a Federal grant should not be sent to the OMB e-mail or postal address shown above. The best source for this information is the [CFDA](#).

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## **e. Estimated public reporting burden**

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According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is: 1830-0561. Expiration date: 7/5/2008.

The time required to complete this information collection is estimated to average 80 hours (eighty hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection.)

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

If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Valerie Randall-Walker, Office of Vocational and Adult Education, U.S. Department of Education, 550 12<sup>th</sup> Street, SW, Potomac Center Plaza, room 11081, Washington, D.C. 20202-7241.

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## **f. Notice: Necessity of Meeting Deadlines**

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### **IMPORTANT NOTICE To Prospective Participants in U.S. Department of Education Contract and Grant Programs**

#### **GRANTS**

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

The rules, including the deadline, for applying for each grant are published, individually, in the *Federal Register*. A one-year subscription to the Register may be obtained by sending \$340.00 to: Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402-9371. (Send check or money order only, no cash or stamps.) The instructions in the *Federal Register* must be followed exactly. **Do not accept any other advice you may receive. No ED employee is authorized to extend any deadline published in the Register.** Questions regarding submission of applications may be addressed to:

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

CONTRACTS

Competitive procurement actions undertaken by the Department are governed by the Federal Procurement Regulation and implementing ED Procurement Regulation. Generally, prospective competitive procurement actions are synopsisized in the Commerce Business Daily (CBD). Prospective offerors are therein advised of the nature of the procurement and where to apply for copies of the Request for Proposals (RFP).

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

**Do not accept any advice you receive that is contrary to instructions contained in either the CBD synopsis or the RFP. No ED employee is authorized to consider a proposal, which is non-responsive to the RFP.**

A subscription to the CBD is available for \$208.00 per year via second class mailing or \$261.00 per year via first class mailing. Information included in the Federal Acquisition Regulation is contained in Title 48, Code of Federal Regulations, Chapter 1 (\$49.00). The foregoing publication may be obtained by sending your check or money order only, no cash or stamps, to:

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

In an effort to be certain this important information is widely disseminated, this notice is being included in all ED mail to the public. You may therefore, receive more than one notice. If you do, we apologize for any annoyance it may cause you.

## 5. Non-regulatory Guidance

### PURPOSE OF THESE GUIDELINES

These guidelines contain information primarily on:

- The purpose of the School Dropout Prevention (SDP) program,
- The state educational agency application process,

The guidance in this document applies to School Dropout Prevention programs, Part H of Title I of the Elementary and Secondary Education Act of 1965 (P.L. 107-110), as amended by the No Child Left Behind Act of 2001. Certain specific requirements explicated in this guidance are taken from the statute or the Notice inviting applications for new awards for fiscal year (FY) 2005 and the Notice of final priorities, requirements, definitions, and selection criteria for fiscal year (FY) 2005 and subsequent years funds (*Federal Register* Notices). All such requirements remain binding on grantees. These guidelines impose no additional requirements.

### *Looking at the SDP program*

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#### **a. What is the purpose of the School Dropout Prevention (SDP) program?**

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The School Dropout Prevention program supports the development and implementation of an effective, sustainable, and coordinated school dropout prevention and reentry program. Also, the SEA would create collaborations with other agencies and work with LEAs to assist schools in dropout prevention and reentry activities including using eighth grade assessments and other data to develop and implement individual performance plans for students entering the ninth grade who are at-risk of failing to meet challenging State academic standards and of dropping out of high school. The plans would identify specific interventions to improve the academic achievement of these students and other supports and services they need in order to succeed in high school.

This program provides competitive grants to SEAs. The Department expects these strategies to:

- reduce the annual dropout rate;
- increase school reentry;
- create collaborations with other agencies;
- aid LEAs in assisting schools using eighth grade assessments and other data to develop and implement individual performance plans for students entering the ninth grade who are at-risk of failing to meet challenging State academic standards and of dropping out of high school;
- improve student achievement;
- increase the number of students mastering State content and performance standards;
- improve student attendance rates, graduation rates, and college enrollment rates;
- reduce the frequency of disciplinary actions; and
- create a safe, drug-free learning environment.

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**b. What other Department programs can be used to support high school improvement?**

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The Department has a number of programs designed to assist schools with other components of comprehensive reform. Among other things, Department programs can help high schools prepare students to meet challenging academic standards, train teachers in technology, expose students to the world of work, provide students with after-school activities and focus on local school improvement goals. Federal programs that can support some, or all, of these reform efforts include:

- Advanced Placement Programs
- Career and Technical Education
- Comprehensive School Reform
- GEAR UP
- Safe and Drug-Free Schools
- Educational Technology State Grants
- Title I (Improving the Academic Achievement of the Disadvantaged)
- Innovative Programs State Grants
- Tech-Prep Demonstration Program Grants
- Smaller Learning Communities

Pursuant to the statutory application requirements, applications will describe how the applicant will coordinate or use funds provided under this part with other funds provided under this act or other Federal laws.

***Eligibility***

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**c. Who is eligible to apply for an SDP grant?**

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State educational agencies (SEAs). Per EDGAR 34 CFR Part 77.1, State educational agency means the State board of education or other agency or officer primarily responsible for the supervision of public elementary and secondary schools in a State. In the absence of this officer or agency, it is an officer or agency designated by the Governor or State law.

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**d. Are former SDP grantees eligible to apply?**

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Yes, former SDP grantees are eligible to apply, as long as they are applying as an SEA.

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**e. Who may submit the SDP grant application?**

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An SEA is required to submit the grant application.

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**f. What is an “SEA?”**

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The Elementary and Secondary Education Act, Title IX, Part A, defines “State educational agency” in pertinent part, as the agency primarily responsible for the State supervision of public elementary schools and secondary schools.

For the full definition of “SEA,” see 20 U.S.C. 8801 (28).

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**g. What is an “LEA?”**

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The Elementary and Secondary Education Act, Title IX, Part A, defines “local educational agency” in part, as a public board of education or other public authority legally constituted within a State for either administrative control or direction of, or to perform a service function for, public elementary or secondary schools in a city, county, township, school district, or other political subdivision. An LEA may be in a city, county, township, school district, or some other political subdivision of a State. An LEA may also be a combination of school districts that are recognized in a State for administering public elementary or secondary schools.

For the full definition of “LEA,” see 20 U.S.C. 8801 (18).

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**h. May public and private entities other than SEAs participate in this program?**

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The SEA, as the grantee, is the only authorized fiscal agent that can apply for the grant. However, applicants may form partnerships with other public or private agencies to plan or implement grant activities. Applicants must document the roles and responsibilities of all stakeholders that will be involved in the implementation of grant activities.

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**i. Who can serve as the fiscal agent for the grant?**

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Only the SEA may serve as the fiscal agent for the grant.

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**j. Is an intermediate unit (e.g., a county office of education) eligible to apply for a grant?**

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No, only the SEA may serve as the fiscal agent for the grant (please refer to question above regarding eligibility).

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**k. Can charter schools apply?**

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The SEA, as the grantee, is the only authorized fiscal agent that can apply for the grant. Charter schools are generally either LEAs or public schools within an LEA.

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**l. Can private schools apply?**

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The SEA, as the grantee, is the only authorized fiscal agent that can apply for the grant. There is no provision in the statute for providing services to private school students. However, the Department encourages LEAs to share their knowledge of effective school dropout prevention programs with private school officials.

***Types of Grants to be Awarded***

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**m. What are the types of grants that will be awarded?**

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Under the SDP program, the Department will award two three-year discretionary grants.

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**n. What is the basic purpose of an SDP grant?**

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The basic purpose of an SDP grant is to provide an SEA with the means to develop and implement an effective, sustainable, and coordinated school dropout prevention and reentry program. Also, the SEA will create collaborations with other agencies and work with LEAs to assist schools in using eight grade assessments and other data to develop and implement individual performance plans for students entering the ninth grade who are at-risk of failing to meet challenging State academic standards and of dropping out of high school. The plans would identify specific interventions to improve the academic achievement of these students and other supports and services they need in order to succeed in high school.

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**o. What are the award ranges and the maximum award amount for SDP grants?**

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The range of the awards is approximately \$2,000,000 to \$2,500,000 per grant.

Applications that propose a budget exceeding \$2,500,000 for a project period of 36 months will not be reviewed as part of the regular application process. However, if after the Secretary selects applications to be funded, it appears that additional funds remain available, the Secretary may choose to review those additional applications that requested funds exceeding the maximum amounts specified. If the Secretary chooses to fund any of those additional applications, applicants will be required to work with the Department to revise their proposed budgets to fit within the appropriate funding range.

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**p. Is there any limit on the amount of funding that an SEA can receive over the life of the program?**

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No, there is no limit on the amount of funding that an SEA can receive over the life of the program.

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**q. What must each SDP grant application describe?**

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As set out in the *Federal Register* Notices governing this competition and application package for this program, all SDP grant applicants must include all required application content as set out in the program statute of the ESEA.

To apply for SDP funds, an applicant must be prepared to implement a plan to reduce the annual dropout rate, increase school reentry, create collaborations with other agencies, and assist LEAs in using eight grade assessments and other data to develop and implement individual performance plans for students entering the ninth grade who are at-risk of failing to meet challenging State academic standards and of dropping out of high school.

An SDP grant application will describe each SEAs need for a grant. It should include a viable implementation plan addressing, each of these points: (a) an independent, third-party evaluation of its SDP project and that the applicant reserve not less than 10 percent of its grant award for this evaluation, (b) the applicant must use its State event dropout rate as the GPRA indicator and submit as part of its application to the Department, and (c) the applicant identify in their applications at least two specific performance indicators and annual performance objectives for the schools that receive services and technical assistance through projects funded under this program, in addition to the two GPRA indicators.

Carefully read the entire application package, the Notice of Final Priorities, Requirements, Definitions, and Selection Criteria and the Notice Inviting Applications before beginning to prepare an application. The application package clearly identifies who is eligible to apply under this competition, what applicants must propose to do, what must be contained in an application, and what criteria will be used to evaluate applications.

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**r. What additional student indicators can the applicant identify and report?**

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Applicants may identify and report on additional student indicators, such as graduation rates; year-to-year retention; rates of average daily attendance; the percentage of secondary school students who score at the proficient or advanced levels on the reading/English language arts and mathematics assessments used by the State to measure adequate yearly progress under part A of title I of the Elementary and Secondary Education Act of 1965, as amended (ESEA); student achievement and gains in English proficiency; and the incidence of school violence, drug and alcohol use, and disciplinary actions.

### *Distribution and Use of Funds*

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**s. How long are the grant funds available to the SEAs?**

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The grant will fund activities for up to 36 months.

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**t. Since funding is available for a three-year period, are there any limits on when the money can be spent?**

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The Department requires applicants to submit a detailed yearly budget as part of a complete application. Through GAPS, the Department of Education's Grants and Payments System, the Department will monitor grantees' spending activities. Grantees whose spending diverges from the plan outlined in their application will be required to explain any discrepancies and risk losing funds as will grantees that are not in compliance with GAPS regulations for drawing down and spending money.

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**u. What percentage of total grant funds may an SEA set aside to cover its administrative costs?**

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The statute for the School Dropout Prevention program does not establish a specific percentage that can be set aside to cover administrative costs. However, in keeping with the applicable cost principles, any set-aside must be "necessary and reasonable" for the proper and efficient administration of the SDP program.

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**v. May SDP funds be used to construct or purchase new facilities?**

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Funds may not be used to construct or purchase facilities (34 CFR 75.553).

Grant funds may be used to:

- complete minor renovations (although grantees will need prior approval from the Department's SDP program office),
- rent new facilities, and
- purchase equipment on a limited basis (see question "w" for more information on limited equipment expenditures). Hardware purchased for the SDP project that will cost less than \$5,000 per unit, should be included in the "Supplies" category of the proposed budget.

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**w. Grant funds can be used to cover "limited equipment" expenditures. What is the definition of "limited purchases?"**

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Although the Department has not specified an amount or percentage cap on equipment acquisitions with grant funds, applicants should be aware that grants awarded under this program are not to support large purchases of equipment. In addition, applicants should not propose spending plans for scheduled replacements or upgrades of equipment. Applicants may make modest equipment acquisitions with grant funds that enable them to establish a core infrastructure that can be used to seek additional and larger levels of equipment support from consortium members or from corporate donors or foundation sponsors.

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**x. Can SDP funds be used to purchase computers?**

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The statute does not prohibit purchase of computers. The Department encourages applicants, however, to limit hardware costs because the intent of the program is to reduce dropout rates and increase reentry programs. The Department encourages applicants to look to other funding sources to support technology needs.

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**y. May a grantee use SDP funds to reimburse a proposal-writing firm or a consultant for developing an application?**

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No. A grantee may not use SDP grant funds to cover the cost of proposal development. SDP funds may only be used for costs that are necessary and reasonable for the proper and efficient performance and administration of the SDP project.

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**z. If a grantee had already begun plans for developing and implementing school dropout rate reductions, increased reentry programs, collaborations with other agencies, and assisting LEAs with schools to individualize performance plans for at-risk incoming ninth grade students, may SDP funds be used to reimburse the grantee for costs that were incurred prior to the date it was notified that it would receive SDP funds?**

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Yes. As authorized in EDGAR Part 74.25, recipients may use award funds to reimburse for pre-award costs incurred 90 calendar days prior to award. All pre-award costs are incurred at the recipient's risk.

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**aa. How does the Department expect grantees to continue implementing school dropout prevention programs once SDP funds have expired?**

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The Department recognizes that there are costs associated with the development and implementation of effective, sustainable, and coordinated school dropout prevention and reentry programs. Therefore, SEAs are required to determine how they will sustain school dropout prevention programs beyond the life of their grants. The Department expects that SEAs will use funds provided under the ESEA, the Carl D. Perkins Vocational and Technical Education Act, or other Federal programs, as well as local, State, and private funds sufficient to ensure continuation of efforts after Federal support ends.

***Data Collection***

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**bb. What types of evaluation activities will be expected of grantees?**

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We require that each applicant include in its application a plan to support an independent, third-party evaluation of its SDP project and that the applicant reserve not less than 10 percent of its grant award for this evaluation. We propose that, at a minimum, the evaluation must--

- (a) Be both formative and summative in nature;
- (b) Include performance measures that are clearly related to the intended outcomes of the project and the GPRA indicators for the SDP program described elsewhere in this notice;
- (c) Measure the effectiveness of the project, including a comparison between the intended and observed results and, if appropriate, a demonstration of a clear link between the observed results and the specific treatment given to project participants;
- (d) Measure the extent to which the SEA implements an effective, sustainable, and coordinated school dropout prevention and reentry program; and
- (e) Measure the extent to which the project implements research-based strategies and practices.

We require that applicants submit their proposed project evaluation designs to the Department for review and approval prior to the end of the second month of the project period.

We require that each evaluation include (i) an annual report for each of the first two years of the project period, and (ii) a final report that would be completed at the end of the third year of implementation and that would include information on implementation during the third year as well as information on the implementation of the project across the entire project period. We would require each grantee to submit each of these annual reports to the Department along with its required annual performance report.

The implementation of an effective, sustainable, and coordinated statewide school dropout prevention and reentry program is difficult and complex work that requires coordinating a variety of activities with multiple entities. An evaluation that provides regular feedback on the progress of implementation and the project's outcomes can help the SEA identify successes and areas in which improvement is needed.

In addition, we require that the evaluation be conducted by an independent third party, selected by the applicant, whose role in the project is limited to conducting the evaluation.

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### **cc. What types of data will grantees be required to collect and submit annually?**

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Under the GPRA, the Department is currently using the following two performance measures to assess the effectiveness of the SDP program: (1) the dropout rate in schools receiving program funds, and (2) the percentage of students reentering schools who complete their secondary education. Applicants for a grant under this program are advised to consider these two performance measures in conceptualizing the approach and evaluation of their proposed project. To assist the Department in assessing progress under the first measure, an applicant must use its State event dropout rate as the GPRA indicator and submit, as part of its application to the Department, a projected State event dropout rate for each year of the project. If funded, applicants would then be asked to collect and report data for this indicator in their performance and final reports for each year of the project. We will notify grantees if they will be required to provide any additional information related to the two measures.

In addition to the GPRA indicator, we require applicants to identify in their applications at least two specific performance indicators and annual performance objectives for the schools that receive services and technical assistance through projects funded under this program, in addition to the two GPRA indicators. Applicants may identify and report on additional student indicators, such as graduation rates; year-to-year retention; rates of average daily attendance; the percentage of secondary school students who score at the proficient or advanced levels on the reading/English language arts and mathematics assessments used by the State to measure adequate yearly progress under part A of title I of the Elementary and Secondary Education Act of 1965, as amended (ESEA); student achievement and gains in English proficiency; and the incidence of school violence, drug and alcohol use, and disciplinary actions.

Applicants must identify annual performance objectives for the two GPRA indicators and the two additional indicators identified in the application. The Department intends to negotiate these performance levels with potential grantees.

We require that applicants identify all outcomes in their evaluation plan that are relevant to the scope of the project and will assist in continuous improvement of the services offered.

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**dd. How can I obtain a DUNS number?**

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If you are currently participating in Department of Education programs, the Department has already obtained a DUNS number for all grantees and payees. If you did not receive the DUNS number in the mail, they can be obtained at no charge by calling 1-800-333-0505, or by completing the DUNS Number Request Form that is accessible via the Internet at <http://www.dnb.com/aboutdb/dunsform.htm>.

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**6. Supporting Documents**

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**a. Federal Legislation: No Child Left Behind Act of 2001, Title I, Part H**

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**Part H — School Dropout Prevention**

[SEC. 1801](#) | [SEC. 1802](#) | [SEC. 1803](#)

**SEC. 1801. SHORT TITLE.**

This part may be cited as the 'Dropout Prevention Act'.

**SEC. 1802. PURPOSE.**

The purpose of this part is to provide for school dropout prevention and reentry and to raise academic achievement levels by providing grants that —

- (1) challenge all children to attain their highest academic potential; and
- (2) ensure that all students have substantial and ongoing opportunities to attain their highest academic potential through schoolwide programs proven effective in school dropout prevention and reentry.

**SEC. 1803. AUTHORIZATION OF APPROPRIATIONS.**

For the purpose of carrying out this part, there are authorized to be appropriated \$125,000,000 for fiscal year 2002 and such sums as may be necessary for each of the 5 succeeding fiscal years, of which —

- (1) 10 percent shall be available to carry out subpart 1 for each fiscal year; and
- (2) 90 percent shall be available to carry out subpart 2 for each fiscal year.

**Subpart 1 — Coordinated National Strategy**

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[SEC. 1811](#)

**SEC. 1811. NATIONAL ACTIVITIES.**

(a) IN GENERAL- The Secretary is authorized —

- (1) to collect systematic data on the effectiveness of the programs assisted under this part in reducing school dropout rates and increasing school reentry and secondary school graduation rates;

(2) to establish a national clearinghouse of information on effective school dropout prevention and reentry programs that shall disseminate to State educational agencies, local educational agencies, and schools —

- (A) the results of research on school dropout prevention and reentry; and
- (B) information on effective programs, best practices, and Federal resources to

—

- (i) reduce annual school dropout rates;
- (ii) increase school reentry; and
- (iii) increase secondary school graduation rates;

(3) to provide technical assistance to State educational agencies, local educational agencies, and schools in designing and implementing programs and securing resources to implement effective school dropout prevention and reentry programs;

(4) to establish and consult with an interagency working group that shall —

- (A) address inter- and intra-agency program coordination issues at the Federal level with respect to school dropout prevention and reentry, and assess the targeting of existing Federal services to students who are most at risk of dropping out of school, and the cost-effectiveness of various programs and approaches used to address school dropout prevention and reentry;
- (B) describe the ways in which State educational agencies and local educational agencies can implement effective school dropout prevention and reentry programs using funds from a variety of Federal programs, including the programs under this part; and
- (C) examine Federal programs that may have a positive impact on secondary school graduation or school reentry;

(5) to carry out a national recognition program in accordance with subsection (b) that recognizes schools that have made extraordinary progress in lowering school dropout rates; and

(6) to use funds made available for this subpart to carry out the evaluation required under section 1830(c).

**(b) RECOGNITION PROGRAM-**

(1) ESTABLISHMENT- The Secretary shall —

- (A) establish a national recognition program; and
- (B) develop uniform national guidelines for the recognition program that shall be used to recognize eligible schools from nominations submitted by State educational agencies.

(2) RECOGNITION- The Secretary shall recognize, under the recognition program established under paragraph (1), eligible schools.

(3) SUPPORT- The Secretary may make monetary awards to an eligible school recognized under this subsection in amounts determined appropriate by the Secretary that shall be used for dissemination activities within the eligible school district or nationally.

(4) DEFINITION OF ELIGIBLE SCHOOL- In this subsection, the term eligible school' means a public middle school or secondary school, including a charter school, that has implemented comprehensive reforms that have been effective in lowering school dropout rates for all students —

- (A) in that secondary school or charter school; or
- (B) in the case of a middle school, in the secondary school that the middle school feeds students into.

**(c) CAPACITY BUILDING-**

(1) IN GENERAL- The Secretary, through a contract with one or more non-Federal entities, may conduct a capacity building and design initiative in order to increase the

types of proven strategies for school dropout prevention and reentry that address the needs of an entire school population rather than a subset of students.

(2) NUMBER AND DURATION-

(A) NUMBER- The Secretary may award not more than five contracts under this subsection.

(B) DURATION- The Secretary may award a contract under this subsection for a period of not more than 5 years.

(d) SUPPORT FOR EXISTING REFORM NETWORKS-

(1) IN GENERAL- The Secretary may provide appropriate support to eligible entities to enable the eligible entities to provide training, materials, development, and staff assistance to schools assisted under this part.

(2) DEFINITION OF ELIGIBLE ENTITY- In this subsection, the term eligible entity' means an entity that, prior to the date of enactment of the Dropout Prevention Act —

(A) provided training, technical assistance, and materials related to school dropout prevention or reentry to 100 or more elementary schools or secondary schools; and

(B) developed and published a specific educational program or design related to school dropout prevention or reentry for use by the schools.

SEC. 1821. DEFINITIONS.

In this subpart:

(1) LOW-INCOME STUDENT- The term low-income student' means a student who is determined by a local educational agency to be from a low-income family using the measures described in section 1113(c).

(2) STATE- The term State' means each of the several States of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the United States Virgin Islands, Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and the Bureau of Indian Affairs for purposes of serving schools funded by the Bureau.

SEC. 1822. PROGRAM AUTHORIZED.

(a) GRANTS TO STATE EDUCATIONAL AGENCIES AND LOCAL EDUCATIONAL AGENCIES-

(1) AMOUNT LESS THAN \$75,000,000-

(A) IN GENERAL- If the amount appropriated under section 1803 for a fiscal year equals or is less than \$75,000,000, then the Secretary shall use such amount to award grants, on a competitive basis, to —

(i) State educational agencies to support activities —

(I) in schools that —

(aa) serve students in grades 6 through 12; and

(bb) have annual school dropout rates that are above the State average annual school dropout rate; or

(II) in the middle schools that feed students into the schools described in subclause (I); or

(ii) local educational agencies that operate —

(I) schools that —

(aa) serve students in grades 6 through 12; and

(bb) have annual school dropout rates that are above the State average annual school dropout rate; or

(II) middle schools that feed students into the schools described in subclause (I).

(B) USE OF GRANT FUNDS- Grant funds awarded under this paragraph shall be used to fund effective, sustainable, and coordinated school dropout prevention

and reentry programs that may include the activities described in subsection (b)(2), in —

- (i) schools serving students in grades 6 through 12 that have annual school dropout rates that are above the State average annual school dropout rate; or
- (ii) the middle schools that feed students into the schools described in clause (i).

(2) AMOUNT LESS THAN \$250,000,000 BUT MORE THAN \$75,000,000- If the amount appropriated under section 1803 for a fiscal year is less than \$250,000,000 but more than \$75,000,000, then the Secretary shall use such amount to award grants, on a competitive basis, to State educational agencies to enable the State educational agencies to award subgrants under subsection (b).

(3) AMOUNT EQUAL TO OR EXCEEDS \$250,000,000- If the amount appropriated under section 1803 for a fiscal year equals or exceeds \$250,000,000, then the Secretary shall use such amount to award a grant to each State educational agency in an amount that bears the same relation to such appropriated amount as the amount the State educational agency received under part A for the preceding fiscal year bears to the amount received by all State educational agencies under such part for the preceding fiscal year, to enable the State educational agency to award subgrants under subsection (b).

(b) SUBGRANTS TO LOCAL EDUCATIONAL AGENCIES-

(1) IN GENERAL- From amounts made available to a State educational agency under paragraph (2) or (3) of subsection (a), the State educational agency shall award subgrants, on a competitive basis, to local educational agencies that operate public schools that serve students in grades 6 through 12 and that have annual school dropout rates that are above the State average annual school dropout rate, to enable those schools, or the middle schools that feed students into those schools, to implement effective, sustainable, and coordinated school dropout prevention and reentry programs that involve activities such as —

- (A) professional development;
- (B) obtaining curricular materials;
- (C) release time for professional staff to obtain professional development;
- (D) planning and research;
- (E) remedial education;
- (F) reduction in pupil-to-teacher ratios;
- (G) efforts to meet State student academic achievement standards;
- (H) counseling and mentoring for at-risk students;
- (I) implementing comprehensive school reform models, such as creating smaller learning communities; and
- (J) school reentry activities.

(2) AMOUNT- Subject to paragraph (3), a subgrant under this subpart shall be awarded —

(A) in the first year that a local educational agency receives a subgrant payment under this subpart, in an amount that is based on factors such as —

- (i) the size of schools operated by the local educational agency;
- (ii) costs of the model or set of prevention and reentry strategies being implemented; and
- (iii) local cost factors such as poverty rates;

(B) in the second year, in an amount that is not less than 75 percent of the amount the local educational agency received under this subpart in the first such year;

(C) in the third year, in an amount that is not less than 50 percent of the amount the local educational agency received under this subpart in the first such year; and

(D) in each succeeding year, in an amount that is not less than 30 percent of the amount the local educational agency received under this subpart in the first year.

(3) DURATION- A subgrant under this subpart shall be awarded for a period of 3 years, and may be continued for a period of 2 additional years if the State educational agency determines, based on the annual reports described in section 1830(a), that significant progress has been made in lowering the annual school dropout rate for secondary schools participating in the program assisted under this subpart.

## SEC. 1823. APPLICATIONS.

(a) IN GENERAL- To receive —

(1) a grant under this subpart, a State educational agency or local educational agency shall submit an application and plan to the Secretary at such time, in such manner, and accompanied by such information as the Secretary may reasonably require; and

(2) a subgrant under this subpart, a local educational agency shall submit an application and plan to the State educational agency at such time, in such manner, and accompanied by such information as the State educational agency may reasonably require.

(b) CONTENTS-

(1) STATE EDUCATIONAL AGENCY AND LOCAL EDUCATIONAL AGENCY- Each application and plan submitted under subsection (a) shall —

(A) include an outline —

(i) of the State educational agency's or local educational agency's strategy for reducing the State educational agency or local educational agency's annual school dropout rate;

(ii) for targeting secondary schools, and the middle schools that feed students into those secondary schools, that have the highest annual school dropout rates; and

(iii) for assessing the effectiveness of the efforts described in the plan;

(B) contain an identification of the schools in the State or operated by the local educational agency that have annual school dropout rates that are greater than the average annual school dropout rate for the State;

(C) describe the instructional strategies to be implemented, how the strategies will serve all students, and the effectiveness of the strategies;

(D) describe a budget and timeline for implementing the strategies;

(E) contain evidence of coordination with existing resources;

(F) provide an assurance that funds provided under this subpart will supplement, and not supplant, other State and local funds available for school dropout prevention and reentry programs; and

(G) describe how the activities to be assisted conform with research knowledge about school dropout prevention and reentry.

(2) LOCAL EDUCATIONAL AGENCY- Each application and plan submitted under subsection (a) by a local educational agency shall contain, in addition to the requirements of paragraph (1) —

(A) an assurance that the local educational agency is committed to providing ongoing operational support for such schools to address the problem of school dropouts for a period of 5 years; and

(B) an assurance that the local educational agency will support the plan, including —

(i) provision of release time for teacher training;



- (ii) efforts to coordinate activities for secondary schools and the middle schools that feed students into those secondary schools; and
- (iii) encouraging other schools served by the local educational agency to participate in the plan.

SEC. 1824. STATE RESERVATION.

A State educational agency that receives a grant under paragraph (2) or (3) of section 1822(a) may reserve not more than 5 percent of the grant funds for administrative costs and State activities related to school dropout prevention and reentry activities, of which not more than 2 percent of the grant funds may be used for administrative costs.

SEC. 1825. STRATEGIES AND CAPACITY BUILDING.

Each local educational agency receiving a grant or subgrant under this subpart and each State educational agency receiving a grant under this subpart shall implement scientifically based, sustainable, and widely replicated strategies for school dropout prevention and reentry. The strategies may include —

- (1) specific strategies for targeted purposes, such as —
  - (A) effective early intervention programs designed to identify at-risk students;
  - (B) effective programs serving at-risk students, including racial and ethnic minorities and pregnant and parenting teenagers, designed to prevent such students from dropping out of school; and
  - (C) effective programs to identify and encourage youth who have already dropped out of school to reenter school and complete their secondary education; and
- (2) approaches such as breaking larger schools down into smaller learning communities and other comprehensive reform approaches, creating alternative school programs, and developing clear linkages to career skills and employment.

SEC. 1826. SELECTION OF LOCAL EDUCATIONAL AGENCIES FOR SUBGRANTS.

(a) STATE EDUCATIONAL AGENCY REVIEW AND AWARD- The State educational agency shall review applications submitted under section 1823(a)(2) and award subgrants to local educational agencies with the assistance and advice of a panel of experts on school dropout prevention and reentry.

(b) ELIGIBILITY- A local educational agency is eligible to receive a subgrant under this subpart if the local educational agency operates a public school (including a public alternative school) —

- (1) that is eligible to receive assistance under part A; and
- (2)(A) that serves students 50 percent or more of whom are low-income students; or
- (B) in which a majority of the students come from feeder schools that serve students 50 percent or more of whom are low-income students.

SEC. 1827. COMMUNITY BASED ORGANIZATIONS.

A local educational agency that receives a grant or subgrant under this subpart and a State educational agency that receives a grant under this subpart may use the funds to secure necessary services from a community-based organization or other government agency if the funds are used to provide school dropout prevention and reentry activities related to schoolwide efforts.

SEC. 1828. TECHNICAL ASSISTANCE.

Notwithstanding any other provision of law, each local educational agency that receives funds under this subpart shall use the funds to provide technical assistance to secondary schools served

by the agency that have not made progress toward lowering annual school dropout rates after receiving assistance under this subpart for 2 fiscal years.

#### SEC. 1829. SCHOOL DROPOUT RATE CALCULATION.

For purposes of calculating an annual school dropout rate under this subpart, a school shall use the annual event school dropout rate for students leaving a school in a single year determined in accordance with the National Center for Education Statistics' Common Core of Data.

#### SEC. 1830. REPORTING AND ACCOUNTABILITY.

##### (a) LOCAL EDUCATIONAL AGENCY REPORTS-

(1) IN GENERAL- To receive funds under this subpart for a fiscal year after the first fiscal year that a local educational agency receives funds under this subpart, the local educational agency shall provide, on an annual basis, a report regarding the status of the implementation of activities funded under this subpart, and the dropout data for students at schools assisted under this subpart, disaggregated by race and ethnicity, to the —

(A) Secretary, if the local educational agency receives a grant under section 1822(a)(1); or

(B) State educational agency, if the local educational agency receives a subgrant under paragraph (2) or (3) of section 1822(a).

(2) DROPOUT DATA- The dropout data under paragraph (1) shall include annual school dropout rates for each fiscal year, starting with the 2 fiscal years before the local educational agency received funds under this subpart.

(b) STATE REPORT ON PROGRAM ACTIVITIES- Each State educational agency receiving funds under this subpart shall provide to the Secretary, at such time and in such format as the Secretary may require, information on the status of the implementation of activities funded under this subpart and outcome data for students in schools assisted under this subpart.

(c) ACCOUNTABILITY- The Secretary shall evaluate the effect of the activities assisted under this subpart on school dropout prevention compared, if feasible, to a control group using control procedures. The Secretary may use funds appropriated for subpart 1 to carry out this evaluation.

## 7. Required Forms and Assurances

**Note:** Copies of the standard forms shown from this page forward are available at the U.S. Department of Education's Web site at <http://www.ed.gov/fund/grant/apply/appforms/appforms.html>.

- a. Application for Federal Assistance (ED Form 424)
- b. SDP program grant application coversheet
- c. Budget Information, Non-Construction Programs (ED Form 524)
- d. General Education Provisions Act (GEPA), Section 427
- e. Assurances: Non-Construction Programs (SF 424B)
- f. Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements (ED 80-0013)
- g. Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Covered Transactions (ED 80-0014)
- h. Disclosure of Lobbying Activities (Form LLL)
- i. Survey on Ensuring Equal Opportunity
- j. Assurance that the program funds will supplement, and not supplant, State and local funds available for statewide school dropout prevention and reentry programs

- k. Assurance that the dropout rates in the application are calculated on the basis of the definitions in this application package

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**a. Application Cover Page (ED 424)**

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# Application for Federal Education Assistance (ED 424)

U.S.



Department of Education

Form Approved  
OMB No. 1890-0017  
Exp. OMB Approved

## Applicant Information

### 1. Name and Address

Legal Name: \_\_\_\_\_

Address: \_\_\_\_\_

Organizational Unit

Code + 4

City

State

County

ZIP

2. Applicant's D-U-N-S Number | | | | | | | | | | | | | | | |

6. Novice Applicant  Yes  No

3. Applicant's T-I-N | | | | | - | | | | | | | | | | | | | | | |  
debt?  Yes  No

7. Is the applicant delinquent on any Federal

(If "Yes," attach an explanation.)

4. Catalog of Federal Domestic Assistance #: **84.** | | | | | | | | | |

Title: \_\_\_\_\_  
the box.) | | | |

8. Type of Applicant (Enter appropriate letter in

- A - State
- B - Local
- C - Special District
- D - Indian Tribe
- E - Individual
- F - Independent School District
- G - Public College or University
- H - Private, Non-profit College or University
- I - Non-profit Organization
- J - Private, Profit-Making Organization

5. Project Director: \_\_\_\_\_

Address: \_\_\_\_\_

K - Other (Specify): \_\_\_\_\_

City State Zip code + 4

Tel. #: ( ) \_\_\_\_\_ - \_\_\_\_\_ Fax #: ( ) \_\_\_\_\_ - \_\_\_\_\_

9. State Application Identifier

E-Mail Address: \_\_\_\_\_

## Application Information

### 10. Type of Submission:

subjects planned at

-PreApplication -Application  
 Construction  Construction

14.)  Non-Construction  Non-Construction

designated to be

11. Is application subject to review by Executive Order 12372 process?

Yes (Date made available to the Executive Order 12372

process for review): \_\_\_\_/\_\_\_\_/\_\_\_\_

No (If "No," check appropriate box below.)

13. Are any research activities involving human

any time during the proposed project period?

Yes (Go to 13a.)  No (Go to item

13a. Are all the research activities proposed

exempt from the regulations?

Yes (Provide Exemption(s) #):

No (Provide Assurance #):



## Instructions for Form ED 424

1. **Legal Name and Address.** Enter the legal name of applicant and the name of the primary organizational unit which will undertake the assistance activity.
  2. **D-U-N-S Number.** Enter the applicant's D-U-N-S Number. If your organization does not have a D-U-N-S Number, you can obtain the number by calling 1-800-333-0505 or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL: <http://www.dnb.com>.
  3. **Tax Identification Number.** Enter the taxpayer's identification number as assigned by the Internal Revenue Service.
  4. **Catalog of Federal Domestic Assistance (CFDA) Number.** Enter the CFDA number and title of the program under which assistance is requested. The CFDA number can be found in the federal register notice and the application package.
  5. **Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.
  6. **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 Form ED 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.
  7. **Federal Debt Delinquency.** Check "Yes" if the applicant's organization is delinquent on any Federal debt. (This question refers to the applicant's organization and not to the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.) Otherwise, check "No."
  8. **Type of Applicant.** Enter the appropriate letter in the box provided.
  9. **State Application Identifier.** State use only (if applicable).
  10. **Type of Submission.** See "Definitions for Form ED 424" attached.
  11. **Executive Order 12372.** See "Definitions for Form ED 424" attached. Check "Yes" if the application is subject to review by E.O. 12372. Also, please enter the month, day, and four (4) digit year (mm/dd/yyyy). Otherwise, check "No."
  12. **Proposed Project Dates.** Please enter the month, day, and four (4) digit year (mm/dd/yyyy).
  13. **Human Subjects Research.** (See I.A. "Definitions" in attached page entitled "Definitions for Form ED 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 12 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 Form ED 424.")
  - 13a. **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 Form ED 424." Insert this narrative immediately following the ED 424 face page.
  - 13a. **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 Form ED 424." Insert this narrative immediately following the ED 424 face page.
  - 13a. **Human Subjects Assurance Number.** If the applicant has an approved Federal Wide (FWA) or Multiple Project Assurance (MPA) 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 face page, 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.

- 14. Project Title.** Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.
- 15. Estimated Funding.** Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate **only** the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.
- 16. Certification.** To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. Be sure to enter the telephone and fax number and e-mail address of the authorized representative. Also, in item 15e, please enter the month, day, and four (4) digit year (mm/dd/yyyy) in the date signed field.

**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 1875-0106. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4700. **If you have comments or concerns regarding the status of your individual submission of this form write directly to:** Joyce I. Mays, Application Control Center, U.S. Department of Education, Potomac Center Plaza, 550 12th Street SW, Room 7076, Washington, DC 20202-4260



## Definitions for Form ED 424

**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.

**Type of Submission.** "Construction" includes construction of new buildings and acquisition, expansion, remodeling, and alteration of existing buildings, and initial equipment of any such buildings, or any combination of such activities (including architects' fees and the cost of acquisition of land). "Construction" also includes remodeling to meet standards, remodeling designed to conserve energy, renovation or remodeling to accommodate new technologies, and the purchase of existing historic buildings for conversion to public libraries. For the purposes of this paragraph, the term "equipment" includes machinery, utilities, and built-in equipment and any necessary enclosures or structures to house them; and such term includes all other items necessary for the functioning of a particular facility as a facility for the provision of library services.

**Executive Order 12372.** The purpose of Executive Order 12372 is to foster an intergovernmental partnership and strengthen federalism by relying on State and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The application notice, as published in the Federal Register, informs the applicant as to whether the program is subject to the requirements of E.O. 12372. In addition, the application package contains information on the State Single Point of Contact. An applicant is still eligible to apply for a grant or grants even if its respective State, Territory, Commonwealth, etc. does not have a State Single Point of Contact. For additional information on E.O. 12372 go to [http://12.46.245.173/pls/portal30/catalog.REQ\\_FOR\\_12372.show](http://12.46.245.173/pls/portal30/catalog.REQ_FOR_12372.show)

## 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 which 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 13 on the ED 424, the applicant must provide a human subjects "exempt research" or "nonexempt research" narrative and insert it immediately following the ED 424 face page.

### A. Exempt Research Narrative.

If you marked "Yes" for item 13 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 13 a. you must provide the "nonexempt research" narrative. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

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

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

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

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

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

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

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

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

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**b. SDP Program Grant Application Coversheet**

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**c. Budget Information, Non-Construction Programs (ED 524)**

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U.S. DEPARTMENT OF EDUCATION  
BUDGET INFORMATION  
NON-CONSTRUCTION PROGRAMS

OMB Control Number: 1890-0004  
Expiration Date: 10-31-2007

Name of Institution/Organization

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

**SECTION A - BUDGET SUMMARY : U.S. DEPARTMENT OF EDUCATION FUNDS**

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)						
10. Indirect Costs*						
11. Training Stipends						
12. Total Costs (lines 9-11)						

**\*Indirect Cost Information (To Be Completed by Your Business Office):**

If you are requesting reimbursement for indirect costs on line 10, please answer the following questions:

- (1) Do you have an Indirect Cost Rate Agreement approved by the Federal government?  Yes  No
- (2) If yes, please provide the following information:  
 Period Covered by the Indirect Cost Rate Agreement: From: \_\_\_/\_\_\_/\_\_\_\_\_ To: \_\_\_/\_\_\_/\_\_\_\_\_ (mm/dd/yyyy)  
 Approving Federal agency:  ED  Other (please specify): \_\_\_\_\_
- (3) For Restricted Rate Programs (check one) -- Are you using a restricted indirect cost rate that:  
 Is included in your approved Indirect Cost Rate Agreement? or  Complies with 34 CFR 76.564(c)(2)?



Name of Institution/Organization	Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.
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**SECTION B - BUDGET SUMMARY  
NON-FEDERAL FUNDS**

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (Lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (Lines 9-11)						

**SECTION C – BUDGET NARRATIVE** (see instructions)

## Instructions for ED 524

### General Instructions

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

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

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

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

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

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

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

### Indirect Cost Information:

If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. (1): Indicate whether or not your organization has an Indirect Cost Rate Agreement that was

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

Section B - Budget Summary  
Non-Federal Funds

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

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

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

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

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

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

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

Rate” programs) by a “modified total direct cost” (MTDC) base (34 CFR 75.563 or 76.563). Please indicate which costs are included and which costs are excluded from the base to which the indirect cost rate is applied.

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

4. Provide other explanations or comments you deem necessary.

***Paperwork Burden Statement***

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

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**d. Notice: General Education Provisions Act (GEPA), Section 427:  
Equitable Access and Participation**

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## NOTICE TO ALL APPLICANTS

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

### To Whom Does This Provision Apply?

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

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

### What Does This Provision Require?

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

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

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

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

- (1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.
- (2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in braille for students who are blind.
- (3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.

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

### Estimated Burden Statement for GEPA Requirements

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1890-0007**. The time required to complete this information collection is estimated to average 1.5 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** Director, Grants Policy and Oversight Staff, U.S. Department of Education, 400 Maryland Avenue SW, Washington, DC 20202-4250.

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**e. Assurances: Non-Construction Programs (SF 424B)**

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## ASSURANCES - NON-CONSTRUCTION PROGRAMS

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Public reporting burden for this collection of information is estimated to average 15 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 (0348-0040), 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.**

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**Note:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

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

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§ 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. §7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §4801 et seq.) which prohibits the use of lead- based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, AAudits of States, Local Governments, and Non-Profit Organizations.≡
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
APPLICANT ORGANIZATION	DATE SUBMITTED

**Standard Form 424B (Rev. 7-97) Back**

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**f. Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements (ED 80-0013)**

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## CERTIFICATION REGARDING LOBBYING

Applicants must review the requirements for certification regarding lobbying included in the regulations cited below before completing this form. Applicants must sign this form to comply with the certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying." This certification is a material representation of fact upon which the Department of Education relies when it makes a grant or enters into a cooperative agreement.

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a Federal contract, grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person 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 the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person 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 this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants and contracts under grants and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certification.

NAME OF APPLICANT	PR/AWARD NUMBER AND / OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

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**g. Certification Regarding Debarment, Suspension, Ineligibility and  
Voluntary Exclusion — Lower Tier Covered Transactions (ED 80-0014)**

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**Certification Regarding Debarment, Suspension, Ineligibility and  
Voluntary Exclusion -- Lower Tier Covered Transactions**

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This certification is required by the Department of Education regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, for all lower tier transactions meeting the threshold and tier requirements stated at Section 85.110.

**Instructions for Certification**

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled A Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion-Lower Tier Covered Transactions, <sup>≡</sup> without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may but is not required to, check the Nonprocurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

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**Certification**

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

NAME OF APPLICANT	PR/AWARD NUMBER AND/OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

ED 80-0014, 9/90 (Replaces GCS-009 (REV.12/88), which is obsolete)

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**h. Disclosure of Lobbying Activities (Form LLL)**

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## 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

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**i. Survey on Ensuring Equal Opportunity for Applicants**

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Survey on Ensuring Equal  
Opportunity  
**FOR APPLICANTS**

*Do not enter information below unless instructed to do so.*

OMB No. 1890-0014 Exp. 1/31/2006

**Purpose:** This form is for applicants that are nonprofit private organizations (not including private universities). Please complete it to assist the Federal government in ensuring that all qualified applicants, small or large, non-religious or faith-based, have an equal opportunity to compete for Federal funding. Information provided on this form will not be considered in any way in making funding decisions and will not be included in the Federal grants database.

Instructions for Submitting Survey

**If submitting hard copy**, please place the completed survey in an envelope labeled "Applicant Survey." Seal the envelope and include it with your application package.

**If submitting electronically**, please include the PR Award Number assigned to your e-application in the box above entitled "*Do not enter information below unless instructed to do so.*" Place and seal the completed survey in an envelope and mail it to: Joyce I. Mays, Application Control Center, U.S. Department of Education, 7<sup>th</sup> and D Streets, SW, ROB-3, Room 3671, Washington, DC 20202-4725.

1. Does the applicant have 501(c)(3) status?

Yes  No

2. How many full-time equivalent employees does the applicant have? (Check only one box).

3 or Fewer  15-50  
 4-5  51-100  
 6-14  over 100

3. What is the size of the applicant's annual budget? (Check only one box.)

Less Than \$150,000  
 \$150,000 - \$299,999  
 \$300,000 - \$499,999  
 \$500,000 - \$999,999  
 \$1,000,000 - \$4,999,999  
 \$5,000,000 or more

4. Is the applicant a faith-based/religious organization?

Yes  No

5. Is the applicant a non-religious community-based organization?

Yes  No

6. Is the applicant an intermediary that will manage the grant on behalf of other organizations?

Yes  No

7. Has the applicant ever received a government grant or contract (Federal, State, or local )?

Yes  No

8. Is the applicant a local affiliate of a national organization?

Yes  No

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## Survey Instructions on Ensuring Equal Opportunity for Applicant

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1. 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.
  
2. 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.
  
3. Annual budget means the amount of money your organization spends each year on all of its activities.
  
4. Self-identify.
  
5. An organization is considered a community-based organization if its headquarters/service location shares the same zip code as the clients you serve.
  
6. An “intermediary” is an organization that enables a group of small organizations to receive and manage government funds by administering the grant on their behalf.
  
7. Self-explanatory.
  
8. Self-explanatory

### **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:** U.S. Department of Education, Washington, D.C. 20202-4651. **If you have comments or concerns regarding the status of your individual submission of this form, write directly to:** Joyce I. Mays, Application Control Center, U.S. Department of Education, Potomac Center Plaza, 550 12<sup>th</sup> Street SW, Room 7076, Washington, DC 20202-4260.

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- j. Assurance that the program funds will supplement, and not supplant, State and local funds available for statewide school dropout prevention and reentry programs
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k. Assurance that the dropout rates included in the application are calculated on the basis of the definitions in this application package

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## a. Appendix A - Definitions and terms

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In addition to the definitions in the authorizing statute and 34 CFR part 77.1, the following definitions also apply to this program. We may apply these definitions in any year in which we conduct a SDP competition.

High school dropout means an individual who

- (a) Was enrolled in a district in grades 9-12 at some time during the preceding school year;
- (b) Was not enrolled at the beginning of the current school year;
- (c) Has not graduated or completed a program of studies by the maximum age established by a State;
- (d) Has not transferred to another public school district or to a nonpublic school or to a State-approved educational program; and
- (e) Has not left school because of death, illness, or a school-approved absence.

State event dropout rate means the dropout rate calculated by dividing the number of high school dropouts (as defined elsewhere in this notice) in the State by the total number of students enrolled in grades 9 through 12 in public schools in the State during the current school year. This calculation is based upon the annual school event dropout rate calculation of the National Center for Education Statistics' Common Core of Data.

School event dropout rate means the dropout rate calculated by dividing the number of high school dropouts (as defined elsewhere in this notice) in a school by the total number of students enrolled in grades 9 through 12 in that school during the current school year

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b. Appendix B - Notice inviting applications for new awards for fiscal year (FY) 2005

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FR Doc 05-13578

[Federal Register: July 8, 2005 (Volume 70, Number 130)]

[Notices]

[Page 39496-39499]

From the Federal Register Online via GPO Access [wais.access.gpo.gov]

[DOCID:fr08jy05-35]

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DEPARTMENT OF EDUCATION

Office of Vocational and Adult Education, Overview Information, School Dropout Prevention Program; Notice inviting applications for new awards for fiscal year (FY) 2005.

Catalog of Federal Domestic Assistance (CFDA) Number: 84.360A.

DATES: Application Available: July 8, 2005.

Deadline for Transmittal of Applications: August 17, 2005.

Eligible Applicants: State educational agencies (SEAs), as defined in 34 CFR 77.1.

Estimated Available Funds: \$4,500,000.

Estimated Range of Awards: \$2,000,000-\$2,500,000 for the 36-month project period.

Note: The Department will fund multi-year projects for a project period of 36 months entirely from the FY 2005 appropriation in order to assist grantees in meeting the statutory purposes of the School Dropout Prevention (SDP) program and the requirements of this notice.

Estimated Average Size of Awards: \$2,200,000.

Maximum Award: Applications that propose a budget exceeding \$2,500,000 for a project period of 36 months will not be reviewed as part of the regular application process. However, if after the Secretary selects applications to be funded, it appears that additional funds remain available, the Secretary may choose to review those additional applications that requested funds exceeding the maximum amount specified. If the Secretary chooses to fund any of those additional applications, applicants will be required to work with the Department to revise their proposed budgets to fit within the appropriate funding range.

Estimated Number of Awards: 2.

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

Project Period: Up to 36 months.

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program: This program supports the development and implementation of an effective, sustainable, and coordinated school dropout prevention and reentry programs. An additional purpose is for SEAs to create collaborations with other agencies and work with local educational agencies (LEAs) to assist schools in dropout prevention and reentry activities, including using eighth grade assessments and other data to develop and implement individual performance plans for students entering the ninth grade who are at risk of failing to meet challenging State academic standards and of dropping out of high school. The dropout prevention and reentry strategies implemented by the SEA must be scientifically-based, sustainable, and widely replicated.

SEAs must use the funds received under this competition to support activities--

(1) in schools that--

(a) serve students in grades 6 through 12; and

(b) have annual school dropout rates that are above the State average annual dropout rate; or

(2) in the middle schools that feed students into the schools described above.

Priorities: These priorities are from the notice of final priorities, requirements, definitions, and selection criteria for this program (NFP), published elsewhere in this issue of the Federal Register.

[[Page 39497]]

Absolute Priorities: For FY 2005 these priorities are absolute priorities. Under 34 CFR 75.105(c)(3) we consider only applications that meet these priorities.

The priorities are:

Priority 1--Collaboration with other agencies and Priority 2--Individual Performance Plans for At-Risk Incoming Ninth Grade Students

The requirements for meeting these priorities are in the NFP, published elsewhere in this issue of the Federal Register.

### Application Requirements

Additional requirements for all projects funded through this competition are in the NFP, published elsewhere in this issue of the Federal Register.

These additional requirements are: Eligibility Requirement--State Educational Agencies, Evaluation Requirements, Performance Measures Requirements and Requirements for Accountability for Results.

Definitions: In addition to the definitions in the authorizing statute and 34 CFR 77.1, the definitions in the NFP, published elsewhere in this issue of the Federal Register, apply.

Program Authority: 20 U.S.C. 6551, et seq.

Applicable Regulations: (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 75, 77, 79, 80, 81, 82, 84, 85, 97, 98, and 99. (b) The priorities, requirements, definitions, and selection criteria contained in the NFP, published elsewhere in this issue of the Federal Register.

## II. Award Information

Type of Award: Discretionary grants.

Estimated Available Funds: \$4,500,000.

Estimated Range of Awards: \$2,000,000-\$2,500,000 for the 36-month project period.

Note: The Department will fund multi-year projects for a project period of 36 months entirely from the FY 2005 appropriation in order to assist grantees in meeting the statutory purposes of the SDP and the requirements of this notice.

Estimated Average Size of Awards: \$2,200,000.

Maximum Award: Applications that propose a budget exceeding \$2,500,000 for a project period of 36 months will not be reviewed as part of the regular application process. However, if after the Secretary selects applications to be funded, it appears that additional funds remain available, the Secretary may choose to review those additional applications that requested funds exceeding the maximum amount specified. If the Secretary chooses to fund any of those additional applications, applicants will be required to work with the Department to revise their proposed budgets to fit within the appropriate funding range.

Estimated Number of Awards: 2.

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

Project Period: Up to 36 months.

## III. Eligibility Information

1. Eligible Applicants: SEAs, as defined in 34 CFR 77.1.

2. Cost Sharing or Matching: This program does not involve cost sharing or matching but does involve supplement-not-supplant funding provisions (Section 1823(a)(1)(F) of the Elementary and Secondary Education Act of 1965, as amended).

#### IV. Application and Submission Information

1. Address To Request Application Package: Valerie Randall-Walker, U.S. Department of Education, 400 Maryland Avenue, SW., Potomac Center Plaza, room 11081, Washington, DC 20202-7241. Telephone: (202) 245-7794 or by e-mail: dropoutprevention@ed.gov.

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

Individuals with disabilities may obtain a copy of the application package in an alternative format (e.g., Braille, large print, audiotope, or computer diskette) by contacting the program contact person listed in this section.

2. Content and Form of Application Submission: Applications must include the State's event dropout rate and the event dropout rate of each school to be served under this grant. Definitions of "State event dropout rate" and "school event dropout rate" are included in both the NFP, published elsewhere in this issue of the Federal Register, and the application package for this program. Other requirements concerning the content of an application, together with the forms you must submit, are in the application package.

Page Limit: The application narrative (Part III of the application) is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. We highly encourage you to limit Part III to the equivalent of no more than 25 pages.

A "page" is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.

Double space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, footnotes, quotations, references, and captions, as well as all text in charts, tables, figures, and graphs.

Use a font that is either 12 point or larger or no smaller than 10 pitch (characters per inch).

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

3. Submission Dates and Times: Applications Available: July 8, 2005.

Deadline for Transmittal of Applications: August 17, 2005.

Applications for grants under this program may be submitted electronically using the Electronic Grant Application System (e-Application) accessible through the Department's e-Grants system, or in paper format by mail or hand delivery. For information (including dates and times) about how to submit your application electronically, or by mail or hand delivery, please refer to section IV. 6. Other Submission Requirements in this notice.

We do not consider an application that does not comply with the deadline requirements.

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

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

6. Other Submission Requirements: Applications for grants under this program may be submitted electronically or in paper format by mail or hand delivery.

a. Electronic Submission of Applications.

If you choose to submit your application to us electronically, you must use e-Application available through the Department's e-Grants system, accessible through the e-Grants portal page at: <http://e-grants.ed.gov>.

While completing your electronic application, you will be entering data online that will be saved into a database. You may not e-mail an electronic copy of a grant application to us.

Please note the following:

[[Page 39498]]

Your participation in e-Application is voluntary.

You must complete the electronic submission of your grant application by 4:30 p.m., Washington, DC time, on the application deadline date. The e-Application system will not accept an application for this program after 4:30 p.m., Washington, DC time, on the application deadline date. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the application process.

The regular hours of operation of the e-Grants Web site are 6 a.m. Monday until 7 p.m. Wednesday; and 6 a.m. Thursday until midnight Saturday, Washington, DC time. Please note that the system is unavailable on Sundays, and between 7 p.m. on Wednesdays and 6 a.m. on Thursdays, Washington, DC time, for maintenance. Any modifications to these hours are posted on the e-Grants Web site.

You will not receive additional point value because you submit your application in electronic format, nor will we penalize you if you submit your application in paper format.

You must submit all documents electronically, including the Application for Federal Education Assistance (ED 424), Budget Information--Non-Construction Programs (ED 524), and all necessary assurances and certifications.

Any narrative sections of your application must be attached as files in a .DOC (document), .RTF (rich text), or .PDF (Portable Document) format.

Your electronic application must comply with any page limit requirements described in this notice.

Prior to submitting your electronic application, you may wish to print a copy of it for your records.

After you electronically submit your application, you will receive an automatic acknowledgment that will include a PR/Award number (an identifying number unique to your application).

Within three working days after submitting your electronic application, fax a signed copy of the ED 424 to the Application Control Center after following these steps:

- (1) Print ED 424 from e-Application.
- (2) The SEA's Authorizing Representative must sign this form.
- (3) Place the PR/Award number in the upper right hand corner of the hard-copy signature page of the ED 424.
- (4) Fax the signed ED 424 to the Application Control Center at (202) 245-6272.

We may request that you provide us original signatures on other forms at a later date.

**Application Deadline Date Extension in Case of System Unavailability:** If you are prevented from electronically submitting your application on the application deadline date because the e-Application system is unavailable, we will grant you an extension of one business day in order to transmit your application electronically, by mail, or by hand delivery. We will grant this extension if--

(1) You are a registered user of e-Application and you have initiated an electronic application for this competition; and

(2) (a) The e-Application system is unavailable for 60 minutes or more between the hours of 8:30 a.m. and 3:30 p.m., Washington, DC time, on the application deadline date; or

(b) The e-Application system is unavailable for any period of time between 3:30 p.m. and 4:30 p.m., Washington, DC time, on the application deadline date.

We must acknowledge and confirm these periods of unavailability before granting you an extension. To request this extension or to confirm our acknowledgment of any system unavailability, you may contact either (1) the person listed elsewhere in this notice under For Further Information Contact (see VII. Agency Contact) or (2) the e-Grants help desk at 1-888-336-8930. If the system is down and therefore the application deadline is extended, an e-mail will be sent to all registered users who have initiated an e-Application.

Extensions referred to in this section apply only to the unavailability of the Department's e-Application system. If the e-Application system is available, and, for any reason, you are unable to submit your application electronically or you do not receive an automatic acknowledgment of your submission, you may submit your application in paper format by mail or hand delivery in accordance with the instructions in this notice.

**b. Submission of Paper Applications by Mail.**

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

By mail through the U.S. Postal Service:

U.S. Department of Education, Application Control Center, Attention:  
(CFDA Number 84.360A), 400 Maryland Avenue, SW., Washington, DC 20202-4260, or

By mail through a commercial carrier:

U.S. Department of Education, Application Control Center--Stop 4260, Attention: (CFDA Number 84.360A), 7100 Old Landover Road, Landover, MD 20785-1506.

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

- (1) A legibly dated U.S. Postal Service postmark,
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service,
- (3) A dated shipping label, invoice, or receipt from a commercial carrier, or
- (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, or
- (2) A mail receipt that is not dated by the U.S. Postal Service.

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

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

#### c. Submission of Paper Applications by Hand Delivery.

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

U.S. Department of Education, Application Control Center, Attention: (CFDA Number 84.360A), 550 12th Street, SW., Room 7041, Potomac Center Plaza, Washington, DC 20202-4260.

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

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

(1) You must indicate on the envelope and--if not provided by the Department--in Item 4 of the ED 424 the CFDA number--and suffix letter, if any--of the competition under which you are submitting your application.

(2) The Application Control Center will mail a grant application receipt acknowledgment to you. If you do not receive the grant application receipt

[[Page 39499]]

acknowledgment 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 the NFP, published elsewhere in this issue of the Federal Register. The specific selection criteria to be used for this competition are listed in the application package.

#### VI. Award Administration Information

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

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

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

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

3. Reporting: At the end of your project period, you must submit a final performance report, including financial information, as directed by the Secretary. If you receive a multi-year award, you must submit an annual performance report that provides the most current performance and financial expenditure information as specified by the Secretary in 34 CFR 75.118.

4. Performance Measures: We explain the requirements for performance measures and accountability for results applicable to this program in the Performance Measures Requirements and Requirements for Accountability for Results sections of the Additional Requirements in the NFP, published elsewhere in this issue of the Federal Register.

#### VII. Agency Contact

FOR FURTHER INFORMATION CONTACT: Valerie Randall-Walker, U.S. Department of Education, 400 Maryland Avenue, SW., Potomac Center Plaza, room 11081, Washington, DC 20202-7241. Telephone: (202) 245-7794 or by e-mail: [dropoutprevention@ed.gov](mailto:dropoutprevention@ed.gov).

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

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

#### VIII. Other Information

Electronic Access to This Document: You may view this document, as well as all other documents of this Department published in the Federal Register, in text or Adobe Portable Document Format (PDF) on the Internet at the following site: <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: <http://www.access.gpo.gov/nara/index/html>.

Dated: July 5, 2005.  
Susan Sclafani,  
Assistant Secretary for Vocational and Adult Education.  
[FR Doc. 05-13578 Filed 7-7-05; 8:45 am]

BILLING CODE 4000-01-P



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c. Appendix C - Notice of final priorities, requirements, definitions, and selection criteria for fiscal year (FY) 2005 and subsequent years funds

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[Federal Register: July 8, 2005 (Volume 70, Number 130)]  
[Notices]  
[Page 39499-39502]  
From the Federal Register Online via GPO Access [wais.access.gpo.gov]  
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DEPARTMENT OF EDUCATION

**School Dropout** Prevention Program

AGENCY: Office of Vocational and Adult Education, Department of Education.

ACTION: Notice of final priorities, requirements, definitions, and selection criteria.

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SUMMARY: The Assistant Secretary for Vocational and Adult Education announces priorities, requirements, definitions, and selection criteria under the **School Dropout** Prevention (SDP) program. The Assistant Secretary may use one or more of these priorities, requirements, definitions, and selection criteria for competitions in fiscal year (FY) 2005 and later years. We take this action to further the purpose of the SDP program, which is to support the development and implementation of effective, sustainable, and coordinated **school dropout** prevention and reentry programs.

DATES: These final priorities, requirements, definitions, and selection criteria are effective August 8, 2005.

FOR FURTHER INFORMATION CONTACT: Valerie Randall-Walker, U.S. Department of Education, 400 Maryland Avenue, SW., Potomac Center Plaza, room 11081, Washington, DC 20202-7241. Telephone: (202) 245-7794 or via Internet: [dropoutprevention@ed.gov](mailto:dropoutprevention@ed.gov).

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

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

SUPPLEMENTARY INFORMATION:

Background

With the enactment of the No Child Left Behind Act of 2001 (NCLB), our Nation made a commitment to closing the achievement gap between disadvantaged and minority students and their peers and to changing the culture of America's schools so that all students receive the support and high-quality instruction they need to meet higher expectations. A critical part of this challenge, at the high **school** level, is reducing the number of young people who disengage and drop out of **school**. As several recent national studies have found, a staggering number of youth fail to graduate on time.

The complexity of the **dropout** problem requires the attention of multiple agencies because numerous factors contribute to a student's decision to drop out. Therefore, successful **dropout** prevention and reentry activities should involve many agencies and community organizations and institutions in strong collaborative activities. By combining their expertise and resources, these entities can achieve much more than they could individually. Through these priorities, requirements, definitions, and selection criteria, we limit eligibility for SDP funding to State

educational agencies (SEAs) and, under Priority 1, give priority to an SEA that partners with other public or private agencies in its efforts to reduce the **dropout** rate in high schools (grades 9 through 12) where the annual **dropout** rate exceeds the State average.

Another vital element for successful **dropout** prevention and reentry programs is the early identification of at-risk students and the implementation of a customized set of services and

[[Page 39500]]

interventions that address the needs of those students. Priority 2 supports projects in which applicants work with local educational agencies (LEAs) to use eighth grade assessment and other data to identify those students who could benefit from intensive early assistance. We intend that, by incorporating these strategies into the SDP program, the Department will make grants to SEAs for activities that have the highest probability of reducing **dropout** rates.

We published a notice of proposed priorities, requirements, definitions, and selection criteria for this program in the Federal Register on May 13, 2005 (70 FR 25556) (NPP). Except for minor editorial and technical revisions, there are no differences between the NPP and this notice of final priorities, requirements, definitions, and selection criteria (NFP).

#### Analysis of Comments and Changes

In response to our invitation in the NPP, two parties submitted three comments on the proposed priorities. An analysis and discussion of the comments and our responses follows.

Generally, we do not address technical and other minor changes and suggested changes the law does not authorize us to make under the applicable statutory authority.

Comment: One commenter asked whether SEAs could partner with juvenile justice or other criminal justice agencies to satisfy the collaboration requirement of the SDP project.

Discussion: As specified in the NPP, juvenile justice or criminal justice agencies are among the agencies with which SEAs may partner in carrying out the SDP project.

Changes: None.

Comments: One commenter asked whether applicants could consider information other than eighth grade assessment data to identify students who are at risk of failing to meet challenging State academic standards and dropping out of high **school**. The commenter also suggested that we identify specific factors that may place a student ``at-risk" in the Requirements or Definitions section.

Discussion: Priority 2 supports projects in which applicants work with LEAs to assist schools in using eighth grade assessment and other data to develop and implement individual performance plans for students who are at risk of failing to meet challenging State academic standards and of dropping out of **school**. It does not limit applicants to using only eighth grade assessment data to identify students who may need assistance. Although researchers have identified a large number of non-academic ``risk" factors that appear to be correlated with dropping out of high **school**, such as, for example, having a sibling who has dropped out of **school** or a parent who receives public assistance, there is little consensus about the relative significance of these factors or a good understanding of how they may interact with other observed and unobserved factors that may contribute to an individual's decision to drop out of high **school**. We decline, therefore, to require or encourage applicants to use any specific non-academic ``risk" factors in identifying students for whom the development of individual performance plans is appropriate. We defer to applicants to determine what information they will use in addition to eighth grade assessment data to identify students who are at-risk of failing to meet State academic standards and dropping out of high **school**.

Changes: None.

Comment: One commenter suggested amending the definition of a high **school dropout** to clarify that it excludes individuals who may not only have formally transferred to another public **school** district, a nonpublic **school**, or a State-approved educational program, but who may have enrolled in one of these three alternatives.

Discussion: Section 1829 of the Elementary and Secondary Education Act, as amended (ESEA) requires applicants to use the annual event **school dropout** rate as determined in accordance with the National Center for Education Statistics' (NCES') Common Core of Data. SEAs must use funds awarded under this program to support activities in schools that have annual **school** event **dropout** rates higher than the State average event **dropout** rate. The definition that must be used in this competition is the definition used by NCES.

Changes: None.

Note: This notice does not solicit applications. In any year in which we choose to use these priorities, requirements, definitions, and selection criteria, we invite applications through a notice in the Federal Register. When inviting applications we designate each priority as absolute, competitive preference, or invitational. The effect of each type of priority follows:

**Absolute priority:** Under an absolute priority we consider only applications that meet the priority (34 CFR 75.105(c)(3)).

**Competitive preference priority:** Under a competitive preference priority we give competitive preference to an application by either (1) awarding additional points, depending on how well or the extent to which the application meets the competitive preference priority (34 CFR 75.105(c)(2)(i)) or (2) selecting an application that meets the competitive preference priority over an application of comparable merit that does not meet the priority (34 CFR 75.105(c)(2)(ii)).

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

## Priorities

### Priority 1--Collaboration With Other Agencies

Under this priority, an applicant must include in its application evidence that other public or private entities will be involved in, or provide financial support for, the implementation of the activities described in the application. Applicants may involve such State agencies as those responsible for administering postsecondary education, Title I of the Workforce Investment Act, Temporary Assistance for Needy Families, Medicaid, the State Children's Health Insurance Program, foster care, juvenile justice, and others. Applicants also may collaborate with business and industry, civic organizations, foundations, and community- and faith-based organizations, among other private-sector entities. Acceptable evidence of collaboration is a memorandum of understanding or other document signed by the principal officer of each participating agency that identifies (1) how the agency will be involved in the implementation of the project or (2) the financial resources (cash or in-kind) that it will contribute to support the project, or both.

### Priority 2--Individual Performance Plans for At-Risk Incoming Ninth Grade Students

Under this priority, an applicant must work with LEAs to assist schools in using eighth grade assessment and other data to develop and implement (in consultation with parents, teachers, and counselors) individual performance plans for students entering the ninth grade who are at-risk of failing to meet challenging State academic standards and of dropping out of high **school**. The plans must identify specific interventions to improve the academic achievement of these students and other supports and services they need in order to succeed in high **school**.

## Additional Requirements

The Assistant Secretary announces the following requirements for the SDP program. We may apply these requirements in any year in which this program is in effect.

[[Page 39501]]

### Eligibility Requirement--State Educational Agencies

To be eligible for funding under this program, an applicant must be an SEA, as defined in 34 CFR 77.1.

### Evaluation Requirements

We require that each applicant include in its application a plan to support an independent, third-party evaluation of its SDP project and that the applicant reserve not less than 10 percent of its grant award for this evaluation. At a minimum, the evaluation must--

- (a) Be both formative and summative in nature;
- (b) Include performance measures that are clearly related to the intended outcomes of the project and the Government Performance and Results Act (GPRA) indicators for the SDP program described elsewhere

in this notice;

(c) Measure the effectiveness of the project, including a comparison between the intended and observed results and, if appropriate, a demonstration of a clear link between the observed results and the specific treatment given to project participants;

(d) Measure the extent to which the SEA implements an effective, sustainable, and coordinated **school dropout** prevention and reentry program; and

(e) Measure the extent to which the project implements research-based strategies and practices.

In addition, applicants must submit their proposed project evaluation designs to the Department for review and approval prior to the end of the second month of the project period.

Each evaluation must include: (i) an annual report for each of the first two years of the project period, and (ii) a final report that would be completed at the end of the third year of implementation and that would include information on implementation during the third year as well as information on the implementation of the project across the entire project period. Each grantee must submit each of these annual reports to the Department along with its required annual performance report.

### Performance Measures Requirements

Under the GPRA, the Department is currently using the following two performance measures to assess the effectiveness of the SDP program: (1) the **dropout** rate in schools receiving program funds, and (2) the percentage of students reentering schools who complete their secondary education. Applicants for a grant under this program are advised to consider these two performance measures in conceptualizing the approach and evaluation of their proposed project. To assist the Department in assessing progress under the first measure, an applicant must use its State event **dropout** rate as the GPRA indicator and submit, as part of its application to the Department, a projected State event **dropout** rate, for each year of the project. If funded, applicants would then be asked to collect and report data for this indicator in their performance and final reports for each year of the project. We will notify grantees if they will be required to provide any additional information related to the two measures.

### Requirements for Accountability for Results

Applicants must identify in their applications at least two specific performance indicators and annual performance objectives for the schools that receive services and technical assistance through projects funded under this program, in addition to the two GPRA indicators. Applicants may identify and report on additional student indicators, such as graduation rates; year-to-year retention; rates of average daily attendance; the percentage of secondary **school** students who score at the proficient or advanced levels on the reading/English language arts and mathematics assessments used by the State to measure adequate yearly progress under Part A of Title I of the Elementary and Secondary Education Act of 1965, as amended (ESEA); student achievement and gains in English proficiency; and the incidence of **school** violence, drug and alcohol use, and disciplinary actions.

Applicants must identify annual performance objectives for the two GPRA indicators and the two additional indicators identified in the application. The Department intends to negotiate these performance levels with potential grantees.

Applicants must identify all outcomes in their evaluation plan that are relevant to the scope of the project and will assist in continuous improvement of the services offered.

### Definitions

In addition to the definitions in the authorizing statute and 34 CFR 77.1, the following definitions also apply to this program. We may apply these definitions in any year in which we conduct a SDP competition.

**High school dropout** means an individual who--

- (a) Was enrolled in a district in grades 9 through 12 at some time during the preceding **school** year;
- (b) Was not enrolled at the beginning of the current **school** year;
- (c) Has not graduated or completed a program of studies by the maximum age established by a State;
- (d) Has not transferred to another public **school** district, a nonpublic **school**, or a State-approved educational program; and
- (e) Has not left **school** because of death, illness, or a **school**-approved absence.

State event **dropout** rate means the **dropout** rate calculated by dividing the number of high **school** dropouts (as defined elsewhere in this notice) in the State by the total number of students enrolled in grades 9 through 12 in public schools in the State during the current **school** year. This calculation is based upon the annual **school** event

**dropout** rate calculation of the National Center for Education Statistics' Common Core of Data.

**School event dropout** rate means the **dropout** rate calculated by dividing the number of high **school** dropouts (as defined elsewhere in this notice) in a **school** by the total number of students enrolled in grades 9 through 12 in that **school** during the current **school** year.

#### Selection Criteria

We establish the following selection criteria to evaluate applications for new grants under this program. We may apply these selection criteria in any year we conduct a SDP competition.

#### Quality of Project Design

In determining the quality of the project design, we will consider the extent to which--

- (a) The applicant demonstrates its readiness to implement a comprehensive and coordinated statewide **dropout** and reentry program;
- (b) The activities described in the application are evidence-based and likely to be successful in improving the graduation rate within the State, particularly among youth who are at the greatest risk of dropping out;
- (c) Other public and private agencies will support and participate in the implementation of the proposed project; and
- (d) The technical assistance activities that will be undertaken by the applicant are likely to be successful in helping local educational agencies use eighth grade assessment and other data to develop individual performance plans for entering ninth graders who are at risk of failing to meet challenging State

[[Page 39502]]

academic standards and of dropping out of high **school**.

#### Adequacy of Resources

In determining the adequacy of resources for the proposed project, we consider the following factors:

- (a) The extent of the cash or in-kind support the SEA will provide.
- (b) The extent of the cash or in-kind support other public and private agencies will contribute to the implementation of the proposed project.

#### Quality of the Management Plan

In determining the quality of the management plan for the proposed project, we consider the adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including the extent to which the plan clearly defines the roles and responsibilities of each agency and its key personnel and establishes detailed timelines and milestones for accomplishing each of the project tasks.

#### Quality of the SDP Project Evaluation

In determining the quality of the evaluation, we consider the following factors:

- (a) The extent to which the methods of evaluation will yield accurate and reliable data for each of the required performance indicators.
- (b) The extent to which the evaluation will produce reports or other documents at appropriate intervals to enable the agencies, organizations, or institutions participating in the project to use the data for planning and decisionmaking for continuous program improvement.
- (c) Whether the independent third-party evaluator identified in the application has the necessary background and expertise to carry out the evaluation.

#### Executive Order 12866

This NFP and selection criteria has been reviewed in accordance with Executive Order 12866. Under the terms of the order, we have assessed the potential costs and benefits of this regulatory action.

The potential costs associated with the NFP are those resulting from statutory requirements and those we have determined as necessary for administering this program effectively and efficiently.

In assessing the potential costs and benefits--both quantitative and qualitative--of this NFP, we have determined that the benefits of the NFP justify the costs.

We also have determined that this regulatory action does not unduly interfere with State, local, and tribal governments in the exercise of their governmental functions.

#### Intergovernmental Review

This program is subject to Executive Order 12372 and the regulations in 34 CFR part 79. One of the objectives of the Executive order is to foster an intergovernmental partnership and a strengthened federalism. The Executive order relies on processes developed by State and local governments for coordination and review of proposed Federal financial assistance.

This document provides early notification of our specific plans and actions for this program.

#### Electronic Access to This Document

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

<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: <http://www.access.gpo.gov/nara/index/html>

Program Authority: 20 U.S.C. 6551, et seq.

(Catalog of Federal Domestic Assistance Number 84.360A **School Dropout** Prevention Program)

Dated: July 5, 2005.

Susan Sclafani,

Assistant Secretary for Vocational and Adult Education.

[FR Doc. 05-13579 Filed 7-7-05; 8:45 am]

BILLING CODE 4000-01-P