Archived Information

U.S. DEPARTMENT OF EDUCATION

Office of Postsecondary Education
Washington, DC 20006-8510

Fiscal Year 2009

APPLICATION FOR GRANTS UNDER THE TECHNOLOGICAL INNOVATION AND COOPERATION FOR FOREIGN ACCESS PROGRAM (TICFIA) Program

(CFDA NUMBER: 84.337A)

Form Approved
OMB No. 1840-0734, Exp. Date: 11/30/2010

CLOSING DATE: APRIL 16, 2009

Application for new awards under the Technological Innovation and Cooperation for Foreign Information Access (TICFIA) Program
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Dear Applicant:

Thank you for your interest in applying for a grant under the Technological Innovation and Cooperation for Foreign Information Access (TICFIA) program. The TICFIA program provides grants for up to 48 months to support projects that will develop innovative programs using electronic technologies to collect, organize, preserve, and widely disseminate information on world regions and countries other than the United States that address our Nation's teaching and research needs in international education and foreign languages.

In the Fiscal Year (FY) 2009 competition, we have announced one invitational priority. This priority is to solicit applications for projects that focus on any of the seventy-eight (78) languages on the U.S. Department of Education's (the Department's) list of Less Commonly Taught Languages (LCTLs). The Department strongly encourages all applicants to give consideration to this priority. For additional information about this invitational priority and the complete list of 78 Less Commonly Taught Languages, refer to the Federal Register Notice Inviting Applications for New Awards for FY 2009.

This letter highlights a few items in the FY 2009 application package that will be important to you in applying for grants under this program. You should review the entire application package carefully before preparing and submitting your application. Information on the TICFIA Program is accessible at the Department's Web site at:

http://www.ed.gov/programs/iegpsticfia/index.html

Please be sure to review thoroughly the entire application booklet for information concerning the TICFIA Program. Applicants should pay particular attention to the section entitled "Competition Highlights" that outlines invitational and competitive priorities as well as other program and competition details.

The Department of Education is requiring that applications for FY 2009 grants under the TICFIA Program be submitted electronically using Grants.gov. You are urged to acquaint yourself with the requirements of Grants.gov early. A more thorough discussion is included in the application package. Grants.gov is accessible through its portal page at:

http://www.grants.gov

We also urge you to consider the following three extremely important administrative factors if you are planning to apply for this program:

1. We strongly encourage you to register in Grants.gov early. The registration procedures may require 5 or more days to complete.

2. We strongly recommend that you submit your application 2-3 days prior to the closing date. The time it takes to upload an application will vary depending on your application and the speed of your Internet connection. The application submission process must be completed prior to the deadline for transmittal of applications.

3. In order to submit successfully, you must remember to provide on your application the DUNS number that was used when your organization registered with the CCR (Central Contractor Registry).

After you electronically submit your application, you will first receive an e-mail from Grants.gov acknowledging the date and time at which your application was received. You will receive a second e-mail from Grants.gov that will state that your application has been validated OR that your application was rejected with errors. If your application is validated, you will receive a third e-mail from the Department of Education with an assigned PR/Award number, which is an ED-specified identifying number that is unique to your application. **This third confirmation by e-mail, with a PR/Award number assigned, is the e-mail that verifies that your application was submitted on time by the closing date.   This may take several days.**

For information (including dates and times) about how to submit your application electronically, please refer to the official Notice Inviting Applications for New Awards for FY 2009 published in the Federal Register.

You are reminded that the document published in the Federal Register (the Closing Date notice) is the official document, and that you should not rely upon any information that is inconsistent with the guidance contained within the official document.

A program officer is available to provide technical assistance if you have any questions after reviewing the application. Please refer to the introduction that follows for the names and telephone numbers of the contact persons.

We look forward to receiving your application and appreciate your efforts to promote excellence in international education.

Sincerely,

Signed
Vickie L. Schray
Acting Deputy Assistant Secretary
Higher Education Programs

2009 Technological Innovation and Cooperation for Foreign Information Access (TICFIA) Program Competition Highlights

1. **TICFIA applications submitted for FY 2009 must be submitted electronically using Grants.gov**. You are urged to acquaint yourself with the requirements of Grants.gov early as the <u>registration procedures may require five or more days to complete</u>. A more thorough discussion is included later in this application package. Grants.gov is accessible through its portal page at:

   ## http://www.grants.gov

2. It is important to know that the Grants.gov site works differently than the Department's e-Application system, used in past competitions.

   Grants.gov does not allow applicants to "un-submit" applications. Therefore, if you discover that changes or additions are needed once your application has been accepted and validated by the Department, you must "re-submit" the application. You should know that if the Department receives duplicate applications, we will accept and process the application with the latest "date/time received" validation.

3. In the FY 2009 competition, the Department is particularly interested in applications that meet the following program priority: Projects that focus on any of the seventy-eight (78) languages on the U. S. Department of Education's list of Less Commonly Taught Languages (LCTLCs) which are published in the TICFIA Closing Date notice.

   Please note that this invitational priority is explained in detail in the Closing Date notice contained in this application package. You are urged to fully review the Closing Date notice carefully before preparing your application.

4. The project abstract is limited to one page, single-spaced. The abstract must be uploaded into the ED abstract form.

5. Please note that you must submit your application by 4:30 p.m. (Washington, D.C. time) on or before the application deadline date. Late applications <u>will not be accepted</u>. **We suggest that you submit your application several days before the deadline.** The Department is required to enforce the established deadline to ensure fairness to all applicants. No changes or additions to an application will be accepted after the deadline date and time.

6. Electronic submission of applications is required; therefore, you must submit an electronic application unless you follow the procedures outlined in the <u>Federal Register</u>

notice inviting applications for new awards for FY 2009 and qualify for one of the exceptions to the electronic submission requirement.

7. All applicants are required to adhere to the 40-page limit for the Program Narrative portion of the application.   The <u>Federal Register</u> notice contains the specific standards for preparing the Program Narrative.

8. This application package includes the TICFIA legislation, as amended by the Higher Education Opportunity Act in August 2008.

9. All attachments must be in .DOC, .RTF, or .PDF format. Other types of files will not be accepted.

Please note, once you download an application from Grants.gov   you will be working offline and saving data on your computer. Please be sure to note where you are saving the Grants.gov file on your computer. You will need to logon to Grants.gov to upload and submit the application. (This is different from e-Application, where you are working online and saving data to the Department's database.) You must provide the DUNS number that was used when your organization registered with the Central Contractor Registry (CCR).

Please go to http://www.grants.gov/ForApplicants for help with Grants.gov. For additional tips related to submitting grant applications, refer to the procedures and tips for applicants found on pages 44-45 of this application booklet.

You are reminded that the document published in the <u>Federal Register</u> is the official document, and that you should not rely upon any information that is inconsistent with the guidance contained within the official document.

Supplemental Information

General Information

The following information supplements the information provided in the "Dear Applicant" letter and the Notice.

AUTHORIZATION:

Title VI, Part A, Section 606, of the Higher Education Act of 1965, as amended.

A.   Eligible Applicants

Institutions of higher education, public or nonprofit private libraries, or consortia of such institutions or libraries may apply.

B.   **Purpose**

The TICFIA program provides grants to support projects that will develop innovative techniques or programs using new electronic technologies to collect, organize, preserve, and widely disseminate information on world regions and countries other than the United States that address our Nation's teaching and research needs in international education and foreign languages.

C.   **Matching Requirements**

The matching requirement is described in section 606(d) of the HEA. The statute states that the Federal share of the total cost of carrying out a program supported by a grant under this program shall not exceed 66 2/3 percent. The non-Federal share of such costs may be provided either in-kind or in cash, and may include contributions from private sector corporations or foundations.

D.   **Criteria for Funding**

As there are no program-specific regulations, we encourage each potential applicant to read the authorizing statute for the TICFIA program in section 606 of title VI, part A, of the Higher Education Act of 1965, as amended (HEA), 20 U.S.C. 1126.

All applications for grants under the TICFIA program will be evaluated using the selection criteria listed in the CDN which are taken from EDGAR (EDGAR 34 CFR 75.209 and 75.210).

E.   **Length of New Award**

Applicants may apply for a maximum grant performance period up to forty-eight months.

F.   Financial Provisions

Cost Sharing or Matching: The matching requirement is described in section 606(d) of the HEA. The statute states that the Federal share of the total cost of carrying out a program supported by a grant under this program shall not exceed 66 2/3 percent. The non-Federal share of such costs may be provided either in-kind or in cash, and may include contributions from private sector corporations or foundations.

We will reject any application that proposes a budget exceeding $190,000 for a single budget period of 12 months.

Up to 8% indirect costs rate is allowed under this grant. Institutions with a higher negotiate indirect cost rate may not use the un-recovered indirect cost as a part of their matching.

G.   Evaluation of Applications for Awards

A three-member panel of non-federal reviewers reviews each application. Each reviewer will prepare a written evaluation of the application and assign points for each selection criterion.

H.   Selection of Grantees

The Secretary will select an application for funding in rank order, based on the application's total score for the selection criteria and competitive preference priority points, if any.   If there are insufficient funds to fund all applications with the same total score, the Secretary will choose among the tied applications.

I.   Applicant Funding

The Department is often unable to award the full amount of funds requested. Applicants should pay close attention to the "Maximum Award" section of the Notice. The Department will not fund any application at an amount exceeding the applicable maximum award level.

J.   Notice to Successful Applicants

The Department's Office of Legislation and Congressional Affairs will inform the Congress regarding applicants approved for new BIE grants. Successful applicants will receive award notices by mail shortly after the Congress is notified. No funding information will be released before the Congress is notified. Notification generally occurs in the month of April.

K.   Notice to Unsuccessful Applicants

Unsuccessful applicants will be notified in writing following the notice to successful applicants.

L.   Performance Reports

All TICFIA grantees must submit project performance reports using the International Resource Information System (IRIS) electronic reporting system. If you wish to view the performance report currently required, visit the IRIS Web site at **http://www.ieps-iris.org**.   Please be advised that the report is for informational purposes only, and does not reflect the actual reporting instrument that you will use, should you receive a FY 2009 grant award. The performance report will assist IEPS staff in determining whether or not the TICFIA project is making substantial progress toward meeting the approved project objectives and whether or not a continuation award is in the best interest of the federal government. Project Directors will be responsible for overall project reports as well as entering project participant information into the system and ensuring that participants complete and submit individual reports.

The IRIS reporting instrument includes sections for grantees to input data and information that respond to the Government Performance and Results Act (GPRA) to assess overall program performance.

CONTACT PERSON

For program-related questions and assistance, please contact:

Program Officer: Susanna Easton
Address: International Education Programs Service (IEPS)
                                U.S. Department of Education
                                1990 K Street, N.W., 6th Floor, Room 6093
                                Washington, DC 20006-8521
Telephone: (202) 502-7628
Fax: (202) 502-7860
E-mail Address: susanna.easton@ed.gov

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DEPARTMENT OF EDUCATION

Office of Postsecondary Education

Overview Information

Technological Innovation and Cooperation for Foreign

   Information Access Program

Notice inviting applications for new awards for fiscal year

   (FY) 2009.

Catalog of Federal Domestic Assistance (CFDA) Number: 84.337A.

Dates:

Applications Available: March 17, 2009.

Deadline for Transmittal of Applications: April 16, 2009.

Deadline for Intergovernmental Review: June 15, 2009.

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program: The Technological Innovation and

Cooperation for Foreign Information Access (TICFIA) Program

provides grants to support projects that will develop innovative

techniques or programs using electronic technologies to collect

information from foreign sources. The projects access, collect,

organize, preserve, and widely disseminate information on world

regions and countries other than the United States that address

our Nation's teaching and research needs in international education and foreign languages.

Priority: This notice contains one invitational priority.

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

Invitational Priority:

This priority is:

Projects that focus on any of the seventy-eight (78) languages on the U.S. Department of Education's list of Less Commonly Taught Languages (LCTLs), which follows:

Akan (Twi-Fante), Albanian, Amharic, Arabic (all dialects), Armenian, Azeri (Azerbaijani), Balochi, Bamanakan (Bamana, Bambara, Mandikan, Mandingo, Maninka, Dyula), Belarusian, Bengali (Bangla), Berber (all languages), Bosnian, Bulgarian, Burmese, Cebuano (Visayan), Chechen, Chinese (Cantonese), Chinese (Gan), Chinese (Mandarin), Chinese (Min), Chinese (Wu), Croatian, Dari, Dinka, Georgian, Gujarati, Hausa, Hebrew (Modern), Hindi, Igbo, Indonesian, Japanese, Javanese, Kannada, Kashmiri, Kazakh, Khmer (Cambodian), Kirghiz, Korean, Kurdish (Kurmanji), Kurdish (Sorani), Lao, Malay (Bahasa Melayu or Malaysian), Malayalam, Marathi, Mongolian, Nepali, Oromo, Panjabi, Pashto, Persian (Farsi), Polish, Portuguese (all varieties), Quechua, Romanian, Russian, Serbian, Sinhala

(Sinhalese), Somali, Swahili, Tagalog, Tajik, Tamil, Telugu, Thai, Tibetan, Tigrigna, Turkish, Turkmen, Ukrainian, Urdu, Uyghur/Uigur, Uzbek, Vietnamese, Wolof, Xhosa, Yoruba, and Zulu.

Program Authority: 20 U.S.C. 1126.

Applicable Regulations: The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 79, 82, 84, 85, 86, 97, 98 and 99. As there are no program-specific regulations, each applicant is encouraged to read the authorizing statute for the TICFIA Program in section 606 of Title VI, part A of the Higher Education Act of 1965, as amended (HEA), 20 U.S.C. 1126.

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

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

Areas of National Need:

In accordance with section 601(c) of the HEA, (20 U.S.C. 1121(c)), the Secretary has consulted with and received recommendations regarding national need for expertise in foreign languages and world regions from the head officials of a wide range of Federal agencies. The Secretary has taken these recommendations into account, and a list of foreign languages and world regions identified by the Secretary as areas of national need may be found on the following Web site:

www.ed.gov/ope/iegps, along with the specific recommendations the Secretary received from Federal agencies.

II. Award Information

Type of Award: Discretionary grants.

Estimated Available Funds: We propose to allocate $1,700,000 for new awards for this program for FY 2009. The actual level of funding, if any, depends on final Congressional action. However, we are inviting applications to allow enough time to complete the grant process if Congress appropriates funds for this program.

Estimated Range of Awards: $150,000-$190,000.

Estimated Average Size of Awards: $170,000.

Maximum Award: We will reject any application that proposes a budget exceeding $190,000 for a single budget period of 12 months. The Assistant Secretary for Postsecondary Education may change the maximum amount through a notice published in the Federal Register.

Estimated Number of Awards: 10.

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

Project Period: Up to 48 months.

III. Eligibility Information

1. Eligible Applicants: (1) Institutions of higher education (IHEs); (2) public or nonprofit private libraries; (3)

a partnership of an IHE and one or more of the following: (A) another IHE; (B) a library; or (C) a nonprofit educational organization.

2. <u>Cost Sharing or Matching</u>: This program has a matching requirement under section 606(d) of the HEA, 20 U.S.C. 1126(d). The Federal share of the total cost of carrying out a program under this section shall not be more than 66 2/3 percent. The non-Federal share of such costs may be provided either in-kind or in cash, and may include contributions from private sector corporations or foundations.

IV. Application and Submission Information

1. <u>Address to Request Application Package</u>: Susanna Easton, International Education Programs Service, U.S. Department of Education, 1990 K Street, N.W., room 6093, Washington, DC 20006-8521. Telephone: (202) 502-7628; or, by e-mail: Susanna.Easton@ed.gov.

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

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

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

*Page Limit: The application narrative is where you, the
applicant, address the selection criteria that reviewers use to
evaluate your application. You must limit the application
narrative [Part III] that addresses the selection criteria to no
more than 40 pages, using the following standards:*

- *A "page" is 8.5" x 11", on one side only, with 1"
margins at the top, bottom, and both sides. Page numbers and an
identifier may be outside of the 1" margin.*

- *Double space (no more than three lines per vertical
inch) all text in the application narrative, <u>except</u> titles,
headings, footnotes, quotations, references, captions, and all
text in charts, tables, and graphs. These items may be single-
spaced. Charts, tables, figures, and graphs in the application
narrative count toward the page limit.*

- *Use a font that is either 12 point or larger, or no
smaller than 10 pitch (characters per inch). However, you may
use a 10 point font in charts, tables, figures, and graphs.*

- *Use one of the following fonts: Times New Roman,
Courier, Courier New, or Arial. An application submitted in any*

other font (including Times Roman and Arial Narrow) will not be accepted.

The page limit does not apply to Part I, the Application for Federal Assistance face sheet (SF 424); the supplemental information form required by the Department of Education; Part II, the budget information summary form (ED Form 524); or Part IV, the assurances and certifications. The page limit also does not apply to a table of contents. If you include any attachments or appendices not specifically requested, these items will be counted as part of your program narrative [Part III] for purposes of the page limit requirement. You must include your complete response to the selection criteria in the program narrative.

We will reject your application if you apply these standards and exceed the page limit.

3. <u>Submission Dates and Times</u>:

Applications Available: March 17, 2009.

Deadline for Transmittal of Applications: April 16, 2009.

Applications for grants under this program must be submitted electronically using the Grants.gov Apply site (Grants.gov). For information (including dates and times) about how to submit your application electronically, or in paper format by mail or hand delivery if you qualify for an exception

to the electronic submission requirement, please refer to

Section IV. 6. Other Submission Requirements of this notice.

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

Individuals with disabilities who need an accommodation or auxiliary aid in connection with the application process should contact the person listed under For Further Information Contact in Section VII of this notice. If the Department provides an accommodation or auxiliary aid to an individual with a disability in connection with the application process, the individual's application remains subject to all other requirements and limitations in this notice.

4. Intergovernmental Review: This 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. Deadline for Intergovernmental

   Review: June 15, 2009.

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

a. Electronic Submission of Applications.

Applications for grants under the Technological Innovation and Cooperation for Foreign Information Access (TICFIA) Program, CFDA number 84.337A, must be submitted electronically using the Governmentwide Grants.gov Apply site at http://www.grants.gov. Through this site, you will be able to download a copy of the application package, complete it offline, and then upload and submit your application. You may not e-mail an electronic copy of a grant application to us.

We will reject your application if you submit it in paper format unless, as described elsewhere in this section, you qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. Further information regarding calculation of the date that is two weeks before the application deadline date is provided later in this section under Exception to Electronic Submission Requirement.

You may access the electronic grant application for the TICFIA Program at www.Grants.gov. You must search for the

downloadable application package for this competition by the CFDA number. Do not include the CFDA number's alpha suffix in your search (e.g., search for 84.337, not 84.337A).

Please note the following:

• When you enter the Grants.gov site, you will find information about submitting an application electronically through the site, as well as the hours of operation.

• Applications received by Grants.gov are date and time stamped. Your application must be fully uploaded and submitted, and must be date and time stamped by the Grants.gov system no later than 4:30:00 p.m., Washington, DC time, on the application deadline date. Except as otherwise noted in this section, we will not accept your application if it is received--that is, date and time stamped by the Grants.gov system—-after 4:30:00 p.m., Washington, D.C. time, on the application deadline date. We do not consider an application that does not comply with the deadline requirements. When we retrieve your application from Grants.gov, we will notify you if we are rejecting your application because it was date and time stamped by the Grants.gov system after 4:30:00 p.m., Washington, D.C. time, on the application deadline date.

• The amount of time it can take to upload an application will vary depending on a variety of factors, including the size of the application and the speed of your Internet connection.

Therefore, we strongly recommend that you do not wait until the application deadline date to begin the submission process through Grants.gov.

• You should review and follow the Education Submission Procedures for submitting an application through Grants.gov that are included in the application package for this competition to ensure that you submit your application in a timely manner to the Grants.gov system. You can also find the Education Submission Procedures pertaining to Grants.gov at http://e-Grants.ed.gov/help/GrantsgovSubmissionProcedures.pdf.

• To submit your application via Grants.gov, you must complete all steps in the Grants.gov registration process (see www.grants.gov/applicants/get_registered.jsp). These steps include (1) registering your organization, a multi-part process that includes registration with the Central Contractor Registry (CCR); (2) registering yourself as an Authorized Organization Representative (AOR); and (3) getting authorized as an AOR by your organization. Details on these steps are outlined in the Grants.gov 3-Step Registration Guide (see www.grants.gov/section910/Grants.govRegistrationBrochure.pdf). You also must provide on your application the same D-U-N-S Number used with this registration. Please note that the registration process may take five or more business days to complete, and you must have completed all registration steps to

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

- You will not receive additional point value because you submit your application in electronic format, nor will we penalize you if you qualify for an exception to the electronic submission requirement, as described elsewhere in this section, and submit your application in paper format.

- You must submit all documents electronically, including all information you typically provide on the following forms: Application for Federal Assistance (SF 424), the Department of Education Supplemental Information for SF 424, Budget Information--Non-Construction Programs (ED 524), and all necessary assurances and certifications.

- You must attach any narrative sections of your application as files in a .DOC (document), .RTF (rich text), or .PDF (Portable Document) format. If you upload a file type other than the three file types specified in this paragraph or submit a password-protected file, we will not review that material.

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

• After you electronically submit your application, you will receive from Grants.gov an automatic notification of receipt that contains a Grants.gov tracking number. (This notification indicates receipt by Grants.gov only, not receipt by the Department.) The Department then will retrieve your application from Grants.gov and send a second notification to you by e-mail. This second notification indicates that the Department has received your application and has assigned your application a PR/Award Number (an ED-specified identifying number unique to your application).

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

Application Deadline Date Extension in Case of Technical Issues with the Grants.gov System: If you are experiencing problems submitting your application through Grants.gov, please contact the Grants.gov Support Desk, toll free, at 1-800-518-4726. You must obtain a Grants.gov Support Desk Case Number and must keep a record of it.

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

mail your application by following the mailing instructions described elsewhere in this notice.

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

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

Exception to Electronic Submission Requirement: You qualify for an exception to the electronic submission requirement, and may

submit your application in paper format, if you are unable to submit an application through the Grants.gov system because--

- You do not have access to the Internet; or

- You do not have the capacity to upload large documents to the Grants.gov system;

and

- No later than two weeks before the application deadline date (14 calendar days or, if the fourteenth calendar day before the application deadline date falls on a Federal holiday, the next business day following the Federal holiday), you mail or fax a written statement to the Department, explaining which of the two grounds for an exception prevent you from using the Internet to submit your application.

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

Address and mail or fax your statement to: Susanna Easton, International Education Programs Service, U.S. Department of Education, 1990 K Street, NW., room 6093, Washington, DC 20006-8521. FAX: (202) 502-7860.

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

b.   <u>Submission of Paper Applications by Mail</u>.

If you qualify for an exception to the electronic submission requirement, you may mail (through the U.S. Postal Service or a commercial carrier) your application to the Department. You must mail the original and two copies of your application, on or before the application deadline date, to the Department at the following address:

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U.S. Department of Education
Application Control Center
Attention:  (CFDA Number 84.337A)
LBJ Basement Level 1
400 Maryland Avenue, S.W.
Washington, DC 20202-4260
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You must show proof of mailing consisting of one of the following:

(1) A legibly dated U.S. Postal Service postmark.

(2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.

(3) A dated shipping label, invoice, or receipt from a commercial carrier.

(4) Any other proof of mailing acceptable to the Secretary of the U.S. Department of Education.

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

(1) A private metered postmark.

(2) A mail receipt that is not dated by the U.S. Postal Service.

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

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

c. Submission of Paper Applications by Hand Delivery.

If you qualify for an exception to the electronic submission requirement, you (or a courier service) may deliver your paper application to the Department by hand. You must deliver the original and two copies of your application by hand, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education
Application Control Center
Attention: (CFDA Number 84.337A)
550 12th Street, S.W.
Room 7041, Potomac Center Plaza
Washington, DC 20202-4260

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

mail or hand deliver your application to the Department--

(1) You must indicate on the envelope and--if not provided by the Department--in Item 11 of the SF 424 the CFDA number, including suffix letter, if any, of the competition under which you are submitting your application; and

(2) The Application Control Center will mail to you a notification of receipt of your grant application. If you do not receive this notification within 15 business days from the application deadline date, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

V. Application Review Information

1. General: For FY 2009, applications will be randomly divided and reviewed by separate panels of foreign language and area studies and international studies experts. A rank order from highest to lowest score will be developed and used for funding purposes.

2. Selection Criteria: The selection criteria for this program are from EDGAR (34 CFR 75.209 and 75.210) and are as follows: (a) Meeting the purpose of the authorizing statute (15 points), (b) Need for project (10 points), (c) Significance (14 points), (d) Quality of the project design (12 points), (e) Quality of key personnel (8 points), (f) Quality of project services (4 points), (g) Adequacy of resources (12 points), (h)

Quality of the management plan (10 points), and (i) Quality of the project evaluation (15 points).

Note: Applicants should address these selection criteria only in the context of the program requirements in section 606 of the HEA.

VI. Award Administration Information

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

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

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

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

3. Reporting: At the end of your project period, you must submit a final performance report, including financial information, as directed by the Secretary. If you receive a

multi-year award, you must submit an annual performance report that provides the most current performance and financial expenditure information as directed by the Secretary under 34 CFR 75.118. Grantees are required to use the electronic data instrument International Resource Information System (IRIS) to complete the final report. The Secretary may also require more frequent performance reports under 34 CFR 75.720(c). For specific requirements on reporting, please go to: www.ed.gov/fund/grant/apply/appforms/appforms.html.

4. Performance Measure: Under the Government Performance and Results Act of 1993(GPRA), the Department will use the following measure to evaluate the success of this program: Percentage of projects judged to be successful by the program officer, based on a review of information provided in annual performance reports.

The information provided by grantees in their performance reports submitted via IRIS will be the source of data for this measure. Reporting screens for institutions can be viewed at:

http://www.ieps-iris.org/iris/pdfs/TICFIA.pdf.

VII. Agency Contact

For Further Information Contact: Susanna Easton, International Education Programs Service, U.S. Department of Education, 1990 K

Street, NW., room 6069, Washington, DC 20006-8521. Telephone:
(202) 502-7628 or by e-mail: susanna.easton@ed.gov.

 If you use a TDD, call the FRS, toll free, at 1-800-877-
8339.

VIII. Other Information

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

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

 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, D.C., 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 <u>Federal Register</u> and the Code of Federal

Regulations is available on GPO Access at:

www.gpoaccess.gov/nara/index.html

<u>Delegation of Authority</u>: The Secretary of Education has

delegated authority to Daniel T. Madzelan, Director, Forecasting

and Policy Analysis for the Office of Postsecondary Education to

perform the functions of the Assistant Secretary for

Postsecondary Education.

Dated:

<u>Signed   </u>
Daniel T. Madzelan,
<u>Director</u>
<u>Forecasting and Policy Analysis</u>.

Regulations and Authorizing Legislation

Applicable Regulations: The Education Department **General Administrative Regulations** (EDGAR) in 34 CFR parts 74, 75, 77, 79, 80, 81, 82, 84, 85, 86, 97, 98, and 99. As there are no program-specific regulations, we encourage each potential applicant to read the authorizing statute for the TICFIA program in section 606 of title VI, part A, of the Higher Education Act of 1965, as amended (HEA), 20 U.S.C. 1126.
Note: The regulations in 34 CFR part 86 apply to institutions only.

TITLE VI OF THE HIGHER EDUCATION ACT
Part A – INTERNATIONAL AND FOREIGN LANGUAGE STUDIES

SEC. 606 TECHNOLOGICAL INNOVATION AND COOPERATION FOR FOREIGN INFORMATION ACCESS

(a) AUTHORITY. –
(1) IN GENERAL – The Secretary is authorized to make grants to institutions of higher education, public or nonprofit private libraries, or partnerships between such institutions and other such institutions, libraries, or nonprofit educational organizations to develop innovative techniques or programs using electronic technologies to collect, organize, and preserve, and widely disseminate information from foreign sources on world regions and countries other than the United States that address our Nation's teaching and research needs in international education and foreign languages.
(2) GRANT RECIPIENTS – The Secretary may award grants under this section to carry out the activities authorized under this section to the following:
(A) An institution of higher education.
(B) A public or nonprofit private library.
(C) A partnership of an institution of higher education and one or more of the following:
(i) Another institution of higher education.
(ii) A library.
(iii) A nonprofit educational organization.

(b) AUTHORIZED ACTIVITIES.-Grants under this section may be used—
(1) to acquire, facilitate access to, or preserve foreign information resources in print or electronic forms;
(2) to develop new means of immediate, full-text document delivery for information and scholarship from abroad;
(3) to develop new means of or standards for shared electronic access to international data;

(4) to support collaborative projects of indexing, cataloging, and other means of bibliographic access for scholars to important research materials published or distributed outside the United States;

(5) to develop methods for the wide dissemination of resources written in non-Roman language alphabets;

(6) to assist teachers of less commonly taught languages in acquiring, via electronic and other means, materials suitable for classroom use

(7) to promote collaborative technology based projects in foreign languages, area studies, and international studies among grant recipients under this title;

(8) to establish linkages to facilitate carrying out the activities described in this subsection between –

(A) the institutions of higher education, libraries and partnerships receiving grants under this section; and

(B) institutions of higher education, nonprofit educational organizations, and libraries overseas; and

(9) to carry out other activities that the Secretary determines are consistent with the purpose of the grants awarded under this section.

 (c) APPLICATION.-Each institution of higher education, library, or partnership desiring a grant under this section shall submit an application to the Secretary at such time, in such manner, and accompanied by such information and assurances as the Secretary may reasonably require.

(d) MATCH REQUIRED.-The federal share of the total cost of carrying out a program supported by a grant under this section shall not be more than 66 2/3 percent. The non Federal share of such cost may be provided either in-kind or in cash, and may include contributions from private sector corporations or foundations.

Government Performance and Results Act (GPRA)

What is GPRA?

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

How has the Department of Education Responded to the GPRA Requirements?

As required by GPRA, the Department of Education has prepared a strategic plan for 2007-2012. This plan reflects the Department's priorities and integrates them with its mission and program authorities and describes how the Department will work to improve education for all children and adults in the U.S. The Department's goals, as listed in the plan, are:

Goal 1: Increase student achievement, reward qualified teachers, and renew troubled schools so that every student can read and do math at grade level by 2014, as called for by the No Child Left Behind Act.

Goal 2: Encourage more rigorous and advanced coursework to improve the academic performance of our middle and high school students.

Goal 3: Work with colleges and universities to improve access, affordability, and accountability, so that our higher education system remains the world's finest.

The performance indicators for the International Education Programs are part of the Department's plan for meeting Goal 3.

What is the Performance Indicator for the Technological Innovation and Cooperation for Foreign Information Access Program?

The objective of the TICFIA program is to meet the nation's security and economic needs through the development of a national capacity in foreign languages, and area and international studies. Under the Government Performance and Results Act, the Department will use the following measures to evaluate the success of the program in meeting this objective.

TICFIA Performance Measures:

a.   Efficiency measure: cost per high-quality, successfully-completed TICFIA project.

b.   Percentage of TICFIA projects judged to be successful by the program officer, based on a review of information provided in annual performance reports.

The information provided by grantees in their performance repots submitted via the electronic International Resource Information System (IRIS) will be the source of data for this measure.

Instructions for Completing
the TICFIA Application Package

The TICFIA application consists of four parts. These parts are organized in the same manner that the submitted application should be organized. The parts are as follows:

> ### Part I: 424 Forms
>
> Application for Federal Assistance – (SF 424)
> Department of Education Supplemental Information Form for SF 424
>
> ### Part II: 524 Forms
>
> Department of Education Budget Summary Form – (ED 524)
> Sections A & B

*Note: Section C – Budget Narrative should be included in the Program Narrative Attachment Form, located in Part III.

> ### Part III: Program Narrative
>
> ED Abstract Narrative Attachment Form
> Project Narrative Attachment Form
> Other Narrative Attachment Form
> Budget Narrative Attachment Form

The ED Abstract Narrative Attachment Form is where you would attach your program abstract.

The Project Narrative Attachment Form will include the narrative sections addressing the program selection criteria that will be used to evaluate applications submitted for this competition – this section has a strict page limit of 40 pages. Remember to include a Table of Contents before the narrative.

The Other Narrative Attachment Form is where you would attach proposal appendices. Examples may include agreements with foreign and domestic partners, curriculum vitas of key personnel, letters of support, detailed management and evaluation plans, technical specifications of the project, etc. The grants.gov system will allow applicants to attach as many as ten separate appendices in this section. This section does not count against your page limit of 40 pages.

The Budget Narrative Attachment Form is where you would attach any supplemental budget information not included in your project narrative.   This section does not count against your page limit of 40 pages.

> ### Part IV: Assurances, Certifications, and Survey Forms
>
> GEPA Section 427 Requirement
> Assurances - Non-Construction Programs (SF 424B)
> Grants.gov Lobbying Form (formerly ED Form 80-0013)
> Survey on Ensuring Equal Opportunity for Applicants
> Disclosure of Lobbying Activities (SF-LLL)

Instructions for Program Narrative

Applicants will attach the program narrative to the Project Narrative Attachment Form.

Formatting

> A "page" is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides. Page numbers and an identifier may be within the 1" margin. Double space (no more than three lines per vertical inch) all text in the application narrative, except titles, headings, footnotes, quotations, references, captions and all text in charts, tables, and graphs. Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial. Applications submitted in any other font (including Times Roman and Arial Narrow) will not be accepted. Do not use anything smaller than a 12-point font.

Include a Table of Contents. Please note that the Project Narrative Attachment Form is limited to **40 pages**. This section is a discussion of the selection criteria as they pertain to your project. The abstract, required forms, other narrative attachments, appendices, assurances and certifications will not count against your 40-page limit.

Before preparing the Program Narrative, applicants should review the Dear Applicant Letter, the Federal Register notice (Notice), and the program statute for specific guidance and requirements. Please note that applications will be evaluated according to the specific selection criteria specified in the Notice and this package.

The Secretary evaluates an application on the basis of the criteria in EDGAR 34 CFR 75.209 and 75.210. The Program Narrative should provide, in detail, the information that addresses each selection criterion. The maximum possible score for each category of selection criterion is indicated in parenthesis. The TICFIA selection criteria contain sub-criteria. Applicants **MUST** specifically address each sub-criterion.

Please limit the Program Narrative to 40 pages, double-spaced in 12-point font, and number the pages consecutively. The narrative should be written concisely. Only the required information should be submitted. Please refer to the Notice in this application for additional application submission requirements.

To facilitate the review of the application, provide responses to each of the following selection criteria in the following order:

1.	Meeting the Purpose of the Authorizing Statute	(15 points)
2.	Need for Project	(10 points)
3.	Significance	(14 points)
4.	Quality of the Project Design	(12 points)
5.	Quality of Key Personnel	(8 points)
6	Quality of Project Services	(4 points)
7.	Adequacy of Resources	(12 points)
8.	Quality of the Management Plan	(10 points)
9.	Quality of the Project Evaluation	(15 points)

Total Maximum Score for Selection Criteria   **100 points**

The following guidance may assist you in addressing each of the selection criteria:

NOTE: In addressing the selection criteria printed below, refer only to section 606 of the legislation that is the statute for the TTICFIA Program.

1. Meeting the Purpose of the Authorizing Statute. **(Maximum 15 points)**

The Secretary reviews each application to determine how well the project will meet the purposes of

section 606 of Title VI, part A, of the Higher Education Act of 1965, as amended by the Higher Education

Amendments of 1998, Pub. L.105-244.

        a. Describe the objectives of the project.

        b. Describe the extent to which these objectives further the statutory provisions.

2. Extent of Need for the Project. (Maximum 10 points)

        a. Describe the magnitude of the need for the services to be provided and the activities to be

carried out by the proposed project.

3. Significance. (Maximum 14 points)

        a. Describe the national significance of the proposed project.

        b. Describe the potential contribution of the proposed project to the development and

advancement of theory, knowledge, and practices in the field of study.

        c. Describe the likely utility and high quality of the products (such as information, materials,

processes, or techniques) that will result from the proposed project, including the potential for their being

used effectively in a variety of other settings.

        d. Describe the extent to which the results of the proposed project are to be disseminated in ways

that will enable others to use the information, products, or strategies.

e. Describe the extent to which the size of the potential target audience gives the project national significance.

4. Quality of the Project Design. (Maximum 12 points)

a. Describe the extent to which the proposed project represents an exceptional approach for meeting statutory purposes and requirements.

b. Describe the extent to which the design of the proposed project is appropriate to, and will successfully address, the needs of the target population and other identified needs.

c. Describe the extent to which the proposed activities constitute a coherent, sustained program of research and development in the field.

d. Describe the extent to which the proposed project is designed to build capacity and yield results that will extend beyond the period of Federal financial assistance.

5. Quality of Project Personnel. (Maximum 8 points)

a. Do the qualifications, including relevant training and experience, of the project director or principal investigator meet the needs of the project? Show the percent of full time effort which will be spent on the project.

b. Do the qualifications, including relevant training and experience, of key project personnel meet the needs of the project. Show the percent of full time effort which will be spent on the project?

c. Do the qualifications, including relevant training and experience, of project consultants or subcontractors, (if such consultants or subcontractors are employed) meet the needs of the project?

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

Note: Briefly describe the staff in this section. As an appendix to the application (as supplemental materials in the e-Application) provide standard academic resumes, not to exceed three pages per person. In the e-application this data is considered supplemental materials and does not count against the page limit.

6. Quality of Project Services. (Maximum 4 points)

a. Describe the extent to which the proposed project for technological innovation and cooperation reflect up-to-date knowledge from research and effective practices.

b. Describe the extent to which the proposed project for technological innovation and cooperation utilize the most effective and advanced technological methods and techniques.

7. Adequacy of Resources. (Maximum 12 points)

a. Describe the extent to which the costs are reasonable in relation to the objectives, design, and potential significance of the proposed project.

b. Describe the extent to which the costs are reasonable in relation to the number of persons to be served and to the anticipated results and benefits.

c. Describe the support, including, but not limited to, matching funds, facilities equipment, supplies, and other resources from the applicant organization or the lead applicant organization.

d. Describe the potential for continued support of the project after Federal funding ends; including as appropriate, the demonstrated commitment of appropriate entities to such support.

8. <u>Quality of the Management Plan</u>. (Maximum 10 points)

a. Describe the extent to which the management plan is adequate to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks.

b. Describe 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.

c. Describe the extent to which the mechanisms for ensuring high quality products and services from the proposed project are adequate.

9. <u>Quality of the Project Evaluation</u>. (Maximum 15 points)

a. Provide a plan for evaluating the effectiveness of the project.

b. Indicate the criteria to be used to evaluate the results of the project.

c. Describe the kinds of data to be collected and analyzed. Will this provide an evaluation that is objective, and quantifiable?

d. Explain the methodology that will be used to determine if the needs for which the project is designed are being met.

10. <u>Competitive Program Priorities (if any</u>) (Maximum TBA points)

a. Describe how the project meets the competitive program priorities announced in the <u>Notice</u>.

Instructions for Budget Summary Form & Itemized Line Item Budget

NOTE: Applicants to the TICFIA program must submit (1) a budget summary form to categorize requested funds (ED Form 524, Sections A & B), **AND** (2) appended as section C a detailed itemized line item budget and accompanying budget narrative where the costs are explained. The budget pages do not count against the page limit.

The budget summary is to be included on the "Department of Education Budget Summary Form – (ED Form 524)." The applicant must complete both Sections A & B and append section C.

Both the detailed line item budget AND accompanying budget narrative for each of the four years should be included in the "Budget Narrative Attachment Form" as appendix C.

This section requests information on the applicant's financial plan for carrying out the project. Show both the Federal and non-Federal match. Explain how these costs support the project activities.

The TICFIA program selection criteria provide for an applicant to receive up to twelve points for its proposed budget. The budget must include all cost that are allowable, reasonable and necessary for carrying out the objectives of the TICFIA Program. Among the cost that may be supported with grants funds are:

1. Personnel: On line 1 (ED Form 524), enter only the project personnel salaries and wages. [Fees and expenses for consultants should be included on line 8.] The budget should include the total commitment of time and the total salary to be charged to the project for each key staff member. You should provide a breakdown of project personnel that includes: the position titles; the percent of time and number of months committed to the project for each key staff member; the salary for each key staff member; and the total salary costs to be charged to the grant.

2. Fringe Benefits: On line 2 (ED Form 524), enter the amount of fringe benefits. The institution's normal fringe benefit contribution may be charged to the program. Leave this blank if fringe benefits applicable to direct salaries and wages are treated as part of the indirect costs. In the budget, include an explanation and appropriate justification if the institution's normal fringe benefit contribution exceeds 20 percent of salaries.

    a.   Travel: On line 3 (ED Form 524), provide the costs for project personnel and student participants. [Consultants' travel should be included on line 8.] In the budget, you should detail the proposed travel costs: for each trip explain the purpose and objective of the travel and provide the number of persons traveling. Transportation costs

should not exceed tourist class airfare. For automobile mileage, the established institution rate should be used. Reimbursement is allowed for taxicab, bus, train, or limousine transportation. Per diem at the established institution rate is permitted when an individual is away from home overnight on official project business (see OMB Circular A-21, J.48.c - Commercial Air Travel). Foreign travel can be authorized under the grant and must be carefully justified. Include in your travel budget funds to travel to the annual project directors' meeting. Allowable expenses regarding this meeting include airfare and ground transportation, hotels, conference fees, meals and incidentals.

4. Equipment: On line 4 (ED Form 524), indicate the cost of equipment -- non-expendable personal property, which has a usefulness of greater than one year and an acquisition cost of $5,000 or more per unit. [Consistent with an applicant's policy, a lower dollar amount may be used to define equipment.] In the budget, explain why the requested equipment is necessary to carry out project activities, and include a list of all equipment in the following format: item, quantity, cost per unit, and total cost.

5. Supplies: On line 5 (ED Form 524), include the costs of all tangible personal property that was not included as "equipment" on line 4. In the budget, provide an itemized list of the supplies.

6. Contractual: Not applicable. Leave blank.

7. Construction: Not applicable. Leave blank.

8. Other: On line 8 (ED Form 524), indicate all direct costs not covered on lines 1 through 5. The costs/fees for consultants and consultants' travel should be included here. Examples of "other" costs are: equipment rental, required fees, communications costs, rental of space, utilities, and printing costs. In the budget, provide a breakdown of all direct costs not clearly covered by other budget categories.

   Evaluators and Consultants: If the project proposes to use outside evaluators and consultants, identify the consultants who will work on the project, the scope of work to be performed by each consultant, and justify why project personnel cannot perform this work. Also, provide a detailed breakdown of the costs (daily fees to be paid, estimated number of days of services, and all travel expenses, including per diem). Cost allowances for consultant fees, honoraria, per diem, and travel should not exceed amounts permitted by comparable institutional policies.

9. Total Direct Costs: On line 9 (ED Form 524), provide the total direct costs requested – the sum of lines 1 through 8.

10. Indirect Costs: On line 10 (ED Form 524), provide the amount of indirect costs.

    Remember: Indirect costs are limited to 8 percent of a modified total direct cost base both for the federal costs and the matching cost. In other words, you cannot match with more than 8% indirect cost. To determine the modified total direct cost base, subtract capital expenditures of $5,000 or more. {See EDGAR, 34 CFR 75.562 (c)}

11. Training Stipends: Not applicable. Leave blank.

12. <u>Total Cost</u>: On line 12 (ED Form 524, provide total amount that you are requesting – the The sum of lines 9 and 10. Note: This amount should also be the same as that shown as 14a on the application face sheet (SF 424).

Technological Innovation and Cooperation for Foreign Access Program
FY 2009 Application Checklist

Use This Checklist While Preparing Your Application. All items listed on this checklist are required. The list is organized in the same manner that the submitted application should be organized.

Part I: 424 Forms
☐　　Application for Federal Assistance - (SF 424)

☐　　Department of Education Supplemental Information Form for the SF 424

Part II: 524 Forms
☐　　Department of Education Budget Summary Form - (ED 524) – Sections A & B &C

Part III: Program Narrative
☐　　Ed Abstract Form

☐　　Project Narrative Attachments Form

☐　　Other Attachments Form

☐　　Budget Narrative Attachment Form

NOTE: The "Ed Abstract Form" is where you would attach your program abstract. The "Project Narrative Attachment Form" will include the narrative sections addressing the program selection criteria that will be used to evaluate applications submitted for this competition. The "Other Attachments Form" should include appendices such as detailed agreements with foreign and domestic partners, curriculum vitas of key personnel, letters of support, detailed management plans, detailed evaluation plans, and technical specifications of the project, etc. The "Budget Narrative Attachment Form" is where you would attach a detailed line item budget and supplemental budget information.

Part IV: Assurances and Certifications
☐　　GEPA Section 427 Requirement

☐　　Assurances – Non-Construction Programs (SF 424B)

☐   Grants.gov Lobbying Form (formerly ED Form 80-0013)

☐   Survey on Ensuring Equal Opportunity for Applicants

☐   Disclosure of Lobbying Activities (SF-LLL)

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 **1840-0734**. The time required to complete this information collection is estimated to average 65 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:** Office of Postsecondary Education/IEPS, U.S. Department of Education, 1990 K Street, N.W., Sixth Floor, Washington, D.C. 20006-8521.

IMPORTANT – PLEASE READ FIRST
U.S. Department of Education

Grants.gov Submission Procedures and Tips for Applicants

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

ATTENTION

Applications submitted to Grants.gov for the Department of Education will be posted using Adobe forms. Therefore, applicants will need to download the latest version of Adobe reader (at least Adobe Reader 8.1.2). Information on computer and operating system compatibility with Adobe and links to download the latest version is available on Grants.gov. We strongly recommend that you review these details on www.grants.gov before completing and submitting your application. In addition, applicants should submit their application a day or two in advance of the closing date as detailed below. Applicants will no longer need to use the PureEdge software to create or submit an application. If you have any questions regarding this matter please email the Grants.gov Contact Center at support@grants.gov or call 1-800-518-4726.

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

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

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

3) **VERIFY SUBMISSION IS OK** – You will want to verify that Grants.gov and the Department of Education receive your Grants.gov submission timely and that it was

validated successfully. To see the date/time your application was received, login to Grants.gov and click on the Track My Application link. For a successful submission, the date/time received should be earlier than 4:30:00 p.m. Washington, DC time, on the deadline date, AND the application status should be: Validated, Received by Agency, or Agency Tracking Number Assigned.

If the date/time received is later than 4:30:00 p.m. Washington, D.C. time, on the deadline date, your application is late. If your application has a status of "Received" it is still awaiting validation by Grants.gov. Once validation is complete, the status will either change to "Validated" or "Rejected with Errors." If the status is "Rejected with Errors," your application has not been received successfully. Some of the reasons Grants.gov may reject an application can be found on the Grants.gov site: http://www.grants.gov/applicants/applicant_faqs.jsp#54. For more detailed information on why an application may be rejected, you can review Application Error Tips http://www.grants.gov/section910/ApplicationErrorTips.pdf. If you discover your application is late or has been rejected, please see the instructions below. Note: You will receive a series of confirmations both online and via e-mail about the status of your application. Please do not rely solely on e-mail to confirm whether your application has been received timely and validated successfully.

Submission Problems – What should you do?
If you have problems submitting to Grants.gov before the closing date, please contact Grants.gov Customer Support at 1-800-518-4726 or http://www.grants.gov/contactus/contactus.jsp, or use the customer support available on the Web site: http://www.grants.gov/applicants/applicant_help.jsp.

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

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

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

Please go to http://www.grants.gov/applicants/applicant_help.jsp for help with Grants.gov. For additional tips related to submitting grant applications, please refer to the Grants.gov Submit

Application FAQs found on the Grants.gov
http://www.grants.gov/help/submit_application_faqs.jsp.

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

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

Attaching Files – Additional Tips
Please note the following tips related to attaching files to your application:

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

Grants.gov Registration Instructions for Organizations

The Grants.gov registration process involves three basic steps:

1. Register your organization
   - Obtain a D-U-N-S Number (see below for instructions)
   - Register with the Central Contractor Registry (see below for instructions)
2. Register yourself as an Authorized Organization Representative (AOR)
   - Obtain a username and password from the Grants.gov credential provider (https://apply.grants.gov/OrcRegister)
   - Register with Grants.gov (https://apply.grants.gov/GrantsgovRegister)
3. Get authorized as an AOR by your organization
   - Receive approval from your organization's E-Business POC (see CCR instructions below for details)
   - If you are both the E-Business POC and an AOR, you should authorize your own AOR request

For more information, go to http://www.grants.gov/applicants/get_registered.jsp.

Note: If you are a grant applicant who is submitting a grant application on your own behalf and not on behalf of a company, institution, state, local or tribal government, or other type of organization, refer to http://www.grants.gov/assets/IndividualRegCheck.pdf. If you apply as an individual to a grant application package designated for organizations, your application will be rejected.

D-U-N-S NUMBER INSTRUCTIONS

To successfully submit an application using Grants.gov, you must provide your organization's D-U-N-S Number. A D-U-N-S Number is a unique nine-digit number issued by D&B, a global information services provider, that identifies your organization and is used by the Federal government to track how Federal money is distributed. Most large organizations, libraries, colleges, and research universities already have D-U-N-S numbers. Ask your grant administrator or chief financial officer to provide your organization's D-U-N-S number.

If your organization does not have a D-U-N-S Number, you can obtain one at no charge by calling 1-866-705-5711 or by completing a D-U-N-S Number Request Form (http://www.dnb.com/US/duns_update/index.html). You will need to provide the following information:

- Legal name
- Tradestyle, doing business as (DBA), or other name by which your organization is commonly recognized
- Physical address, city, state and zip code
- Mailing address (if separate)
- Telephone number
- Contact name
- SIC code (Line of Business)
- Number of employees at your location
- Headquarters name and address (if there is a reporting relationship to a parent corporate entity)
- Is this a home-based business?

Obtaining a DUNS number places your organization on D&B's marketing list, which is sold to other companies. You can request not to be added to this list during your application.

Live help from D&B is available Monday-Friday, 8 a.m. – 5 p.m. (EST) at 1-888-814-1435.

CENTRAL CONTRACTOR REGISTRATION (CCR) INSTRUCTIONS

The Central Contractor Registration (CCR) is a web-enabled government-wide application that collects, validates, stores, and disseminates business information about the Federal government's trading partners in support of the contract award, grants, and electronic payment processes.
Check to see if your organization is already registered at the CCR website (http://www.bpn.gov/ccrinq/scripts/search.asp).

If your organization is already registered, take note of who is listed as your E-Business Point of Contact (E-Business POC). This person will be responsible for authorizing who within your organization is able to submit applications using Grants.gov.

If your organization is not already registered, you can register using the CCR website (https://www.bpn.gov/ccr/scripts/indexnew.asp) or by phone (1-888-227-2423). When your organization registers with CCR, you will need to designate an E-Business Point of Contact (POC). This designee authorizes individuals to submit grant applications on behalf of the organization. A special Marketing Partner ID Number (MPIN) is established as a password to verify the E-Business POC.

The E-Business POC will be notified by e-mail when individuals from their organization register with Grants.gov. This registration is a request to be designated as an Authorized Organization Representative (AOR). To assign AOR rights, E-Business POCs need to log into Grants.gov (http://www.grants.gov/applicants/e_biz.jsp) using the organization's D-U-N-S Number and MPIN. Grants.gov will send the AOR a confirmation e-mail when this process has been completed.

Please note that your CCR registration must be renewed once a year. You can check your registration status using the CCR search page (http://www.bpn.gov/ccrinq/scripts/search.asp).

If you have further questions about creating, updating or renewing your CCR registration, please visit the CCR Frequently Asked Questions page (http://www.ccr.gov/FAQ.asp) or contact the CCR Help Desk at 888-227-2423.

APPLICATION TRANSMITTAL INSTRUCTION

ATTENTION ELECTRONIC APPLICANTS: Please note that you must follow the Application Procedures as described in the <u>Federal Register</u> notice announcing the grant competition.

This program requires the electronic submission of applications; specific requirements and waiver instructions can be found in the <u>Federal Register</u> notice.

According to the instructions found in the <u>Federal Register</u> notice, those requesting and qualifying for an exception to the electronic submission requirement may submit an application via mail, commercial carrier or by hand delivery.

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

Applications Submitted Electronically

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

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

For more information on using Grants.gov, please refer to the "Notice Inviting Applications" that was published in the <u>Federal Register</u>, or visit http://www.grants.gov.

Applications Delivered by Mail

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

> **U.S. Department of Education**
> **Application Control Center**
> **Attention: (CFDA Number 84.153A)**
> **LBJ Basement , Level 1, 400 Maryland Avenue, S.W.**
> **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 U. S. Secretary of Education

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, or
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 Hand

If you qualify for an exception to the electronic submission requirement, you (or a courier service) may hand deliver the original and two copies of the application on or before the deadline date to the Department at the following address:

U.S. Department of Education
Application Control Center
Attention: CFDA Number - 84.337A
550 12th Street, S.W.
Potomac Center Plaza – Room 7041
Washington, D.C. 20202 - 4260

Application Control Center Hours of Operation
The Application Control Center accepts hand deliveries daily between 8:00 a.m. and 4:30:00 p.m. Washington, D.C. 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 in Item 11 of the SF 424 the CFDA Number and suffix (84.337A) of the competition under which you are applying; and
(2) The Application Control Center will mail you a notification of receipt of your grant application. If you do not receive this notification within 15 business days from the application deadline date, you should call the U.S. Department of Education Application Control Center at (202)245-6288.

Intergovernmental Review

Executive Order 12372 (Intergovernmental Review of Federal Programs)

This program falls under the rubric of Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR Part 79. One of the objectives of the Executive order is to strengthen federalism-- or the distribution of responsibility between localities, States, and the Federal government--by fostering intergovernmental partnerships. This idea includes supporting processes that State or local governments have devised for coordinating and reviewing proposed Federal financial grant applications.

The process for doing this requires grant applicants to contact State Single Points of Contact for information on how this works. Multi-state applicants should follow procedures specific to each state.

Further information about the State Single Point of Contact process and a list of names by State can be found at:
http://www.whitehouse.gov/omb/grants/spoc.pdf

Absent specific State review programs, applicants may submit comments directly to the Department. All recommendations and comments must be mailed or hand-delivered by the date indicated in the actual application notice to the following address: The Secretary, EO 12372--CFDA# [commenter must insert number--including suffix letter, if any], U.S. Department of Education, room 7E200, 400 Maryland Avenue, S.W., Washington, DC 20202.

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. (eastern time) on the closing date indicated in this notice.

Important note: The above address is not the same address as the one to which the applicant submits its completed applications. ***Do not send applications to the above address.***

General Education Provisions Act (GEPA)
Section 427

*ALL APPLICANTS <u>MUST</u> INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.

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

This section allows applicants discretion in developing the required description. The statute highlights six barriers that can impede equitable access or participation that you may address: *gender, race, national origin, color disability,* or *age.*

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

*Note: <u>Applicants are required to address this provision by attaching a statement to the ED GEPA 427 Form that must be downloaded from Grants.gov.</u>

Instructions for Standard Forms:

● **Application for Federal Assistance (SF 424)**

● **Department of Education Supplemental Form for the SF 424**

● **Department of Education Budget Summary Form (ED 524)**

● **Survey Instructions on Ensuring Equal Opportunity for Applicants**

● **Disclosure of Lobbying Activities (SF-LLL)**

INSTRUCTIONS FOR THE SF-424

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

Item	Entry:	Item	Entry:
1.	**Type of Submission:** (Required): Select one type of submission in accordance with agency instructions. • Preapplication • Application • Changed/Corrected Application – If requested by the agency, check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this to submit changes after the closing date.	10.	**Name Of Federal Agency**: (Required) Enter the name of the Federal agency from which assistance is being requested with this application.
		11.	**Catalog Of Federal Domestic Assistance Number/Title:** Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.
2.	Type of Application**: (Required) Select one type of application in accordance with agency instructions.** • **New – An application that is being submitted to an agency for the first time.** • **Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals.** • Revision - Any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided. A. Increase Award B. Decrease Award **C. Increase Duration D. Decrease Duration** **E. Other (specify)**	12.	**Funding Opportunity Number/Title:** (Required) Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement.
		13.	**Competition Identification Number/Title:** Enter the Competition Identification Number and title of the competition under which assistance is requested, if applicable.
		14.	**Areas Affected By Project:** List the areas or entities using the categories (e.g., cities, counties, states, etc.) specified in agency instructions. Use the continuation sheet to enter additional areas, if needed.
3.	**Date Received:** Leave this field blank. This date will be assigned by the Federal agency.	15.	**Descriptive Title of Applicant's Project:** (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For preapplications, attach a summary description of the project.
4.	**Applicant Identifier**: Enter the entity identifier assigned by the Federal agency, if any, or applicant's control number, if applicable.		
5a	**Federal Entity Identifier**: Enter the number assigned to your organization by the Federal Agency, if any.	16.	**Congressional Districts Of**: (Required) 16a. Enter the applicant's Congressional District, and 16b. Enter all District(s) affected by the program or project. Enter in the format: 2 characters State Abbreviation – 2-3 characters District Number, e.g., CA-12 for California 12th district, NC-103 for North Carolina's 103rd district.
5b.	**Federal Award Identifier**: For new applications leave blank. For a continuation or revision to an existing award, enter the previously assigned Federal award identifier number. If a changed/corrected application, enter the Federal Identifier in accordance with agency instructions.		• **If all congressional districts in a state are affected, enter "all" for the district number, e.g., MD-all for all congressional districts in Maryland.** • If nationwide, i.e. all districts within all states are affected, enter US-all. • If the program/project is outside the US, enter 00-000.
6.	**Date Received by State:** Leave this field blank. This date will be assigned by the State, if applicable.		
7.	**State Application Identifier:** Leave this field blank. This identifier will be assigned by the State, if applicable.		
8.	**Applicant Information**: Enter the following in accordance with agency instructions:		
	a. Legal Name: (Required): Enter the legal name of applicant that will undertake the assistance activity. This is the name that the organization has registered with the Central Contractor Registry. Information on registering with CCR may be obtained by visiting the Grants.gov website.	17.	**Proposed Project Start and End Dates**: (Required) Enter the proposed start date and end date of the project.
	b. Employer/Taxpayer Number (EIN/TIN): (Required): Enter the Employer or Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.	18.	**Estimated Funding:** (Required) Enter the amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.
	c. Organizational DUNS: (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting the Grants.gov website.		
	d. Address: Enter the complete address as follows: Street address (Line		

	1 required), City (Required), County, State (Required, if country is US), Province, Country (Required), Zip/Postal Code (Required, if country is US). **e. Organizational Unit:** Enter the name of the primary organizational unit (and department or division, if applicable**)** that will undertake the assistance activity, if applicable. **f. Name and contact information of person to be contacted on matters involving this application**: Enter the name (First and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.	19.	**Is Application Subject to Review by State Under Executive Order 12372 Process?** Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State
		20.	**Is the Applicant Delinquent on any Federal Debt?** (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes. If yes, include an explanation on the continuation sheet.
9.	**Type of Applicant: (Required)** **Select up to three applicant type(s) in accordance with agency instructions.** A. State Government B. County Government C. City or Township Government D. Special District Government E. Regional Organization F. U.S. Territory or Possession G. Independent School District H. Public/State Controlled Institution of Higher Education I. Indian/Native American Tribal Government (Federally Recognized) J. Indian/Native American Tribal Government (Other than Federally Recognized) K. Indian/Native American Tribally Designated Organization L. Public/Indian Housing Authority M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education) N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education) O. Private Institution of Higher Education P. Individual Q. For-Profit Organization (Other than Small Business) R. Small Business S. Hispanic-serving Institution T. Historically Black Colleges and Universities (HBCUs) U. Tribally Controlled Colleges and Universities (TCCUs) V. Alaska Native and Native Hawaiian Serving Institutions W. Non-domestic (non-US) Entity X. Other (specify)	21.	**Authorized Representative**: (Required) To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required) title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant. A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)

INSTRUCTIONS FOR
DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424

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

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

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

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

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

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

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

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

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

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

DEFINITIONS FOR
DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424
(Attachment to Instructions for Supplemental Information for SF 424)

Definitions:

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

- Has never received a grant or subgrant under the program from which it seeks funding;

- Has never been a member of a group application, submitted in accordance with 34 CFR 75.127-75.129, that received a grant under the program from which it seeks funding; and

- Has not had an active discretionary grant from the Federal government in the five years before the deadline date for applications under the program. For the purposes of this requirement, a grant is active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds.

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

PROTECTION OF HUMAN SUBJECTS IN RESEARCH

I. Definitions and Exemptions

A. Definitions.

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

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

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

B. Exemptions.

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

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

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing,

employability, or reputation. ***If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.*** [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

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

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

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

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

II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives

If the applicant marked "Yes" for Item 3 of Department of Education Supplemental Information for SF 424, the applicant must provide a human subjects "exempt research" or "nonexempt research" narrative. Insert the

narrative(s) in the space provided. If you have multiple projects and need to provide more than one narrative, be sure to label each set of responses as to the project they address.

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

B. Nonexempt Research Narrative.

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

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

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

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

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

(5) **Protection Against Risk**: Describe the procedures for protecting against or minimizing potential risks,

including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

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

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

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

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

Instructions for ED 524

<u>General Instructions</u>

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.

<u>Section A - Budget Summary</u>
<u>U.S. Department of Education Funds</u>

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.

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.

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

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 Web site 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 Office of Postsecondary Education/IEPS, U.S. Department of Education, 1990 K Street, N.W., Sixth Floor, Washington, D.C. 20006-8521.

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.

_____

Survey Instructions on Ensuring Equal Opportunity for Applicants

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

1. Self-explanatory.

2. Self-identify.

3. Self-identify.

4. 501(c)(3) status is a legal designation provided on application to the Internal Revenue Service by eligible organizations. Some grant programs may require nonprofit applicants to have 501(c)(3) status. Other grant programs do not.

5. Self-explanatory.

6. For example, two part-time employees who each work half-time equal one full-time equivalent employee. If the applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.

7. Annual budget means the amount of money your organization spends each year on all of its activities.

Paperwork Burden Statement