

# Archived Information

## U.S. DEPARTMENT OF EDUCATION

Office of Postsecondary Education  
Washington, DC 20006-8510



**Fiscal Year 2006**

**APPLICATION FOR GRANTS  
UNDER THE  
EDUCATIONAL OPPORTUNITY CENTERS  
PROGRAM  
(CFDA NUMBER: 84.066A)**

**Form Approved  
OMB No. 1840 - NEW, Exp. Date:**

**CLOSING DATE: February 15, 2006**

# Table of Contents

Page

- Dear Applicant Letter..... 3
- Grants.gov Submission Procedures and Tips..... 5
- Instructions for Transmitting Applications ..... 7
- Notice Inviting Applications for New Awards..... 9
- Authorizing Legislation and Regulations..... 31
- Educational Opportunity Centers Program Assurances..... 46
- 2005 Annual Low Income Levels..... 47
- Intergovernmental Review State Single Point of Contact..... 48
- General Education Provisions Act (GEPA)..... 54
- Government Performance and Results Act (GPRA)..... 55

## **INSTRUCTIONS:**

- Instructions for Completing the Application and Forms.....56
- Educational Opportunity Centers Program Profile.....75
- Application Checklist.....76

December 2005

Dear Applicant:

Thank you for your interest in applying for a grant under the Educational Opportunity Centers (EOC) Program. The EOC program is designed to provide information with respect to financial and academic assistance available to individuals desiring to pursue a program of postsecondary education. EOC projects also assist participants in applying for admission to postsecondary institutions.

This letter highlights a few items in the fiscal year (FY) 2006 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 EOC Program, is accessible at the U.S. Department of Education (Department) Web site at:

[www.ed.gov/about/offices/list/ope/trio/index.html](http://www.ed.gov/about/offices/list/ope/trio/index.html)

We are requiring that applications for FY 2006 grants under the EOC 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>

All applicants must complete the “Educational Opportunity Centers Program Profile” page. The profile contains four mandatory objectives. Applicants are required to propose the percentage at which each of the four mandatory objectives will be attained. The “Objectives” selection criteria will be assigned a maximum of eight points in the evaluation. All eight points will be assigned based upon the extent to which the proposed objectives are ambitious but attainable, taking into consideration 1) the need identified by the applicant; 2) the plan of operation; and 3) the project budget and other resources. Applicants are required to copy and paste the Educational Opportunity Centers Program Profile page into a separate document or recreate the form exactly as it appears, complete the form, and attach it to the “Other Narrative Attachment Form” as either a .doc, .rtf or .pdf document.

Please read the important document on the next page, which explains the submission procedures and provides tips you need to be aware of to ensure your application is received in a timely and acceptable manner. It is important to know that the Grants.gov site works differently than the Department’s e-Application system.

The application must be submitted on or before the deadline date. Electronic submission of applications is required; therefore, you must submit an electronic application unless you follow the procedures in the Federal Register notice and qualify for one of the exceptions to the electronic submission requirement. The requirements for obtaining an exception to the electronic submission have changed. If you think you may need an exception you are urged to review the requirements promptly. Applications submitted late will not be accepted. **We suggest that you submit your application several days before the deadline date of February 15, 2006.** 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. Please note that Grants.gov does not allow applicants to “un-submit” applications. 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, proposing to serve the same target schools, we will accept and process the application with the latest “date/time received” validation.

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

Sincerely,

/signed/

Linda L. Emery

Acting Deputy Assistant Secretary  
for Higher Education Programs

**IMPORTANT – PLEASE READ FIRST**  
**U.S. Department of Education**  
**Grants.gov Submission Procedures and Tips for Applicants**

Please note that the Grants.gov site works differently than the U.S. Department of Education’s (Department) e-Application system. 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.

- 1) **REGISTER EARLY** – Grants.gov registration is a one-time process that may take five or more 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 Get Started steps are complete. For detailed information on the Get Started Steps, please go to: <http://www.grants.gov/GetStarted>.
- 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 p.m. 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 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 Check Application Status link. For a successful submission, the date/time received should be earlier than 4:30 p.m. on the deadline date, AND the application status should be: Validated, Received by Agency, or Agency Tracking Number Assigned.

If the date/time received is later than 4:30 p.m. Washington, D.C. time, on the closing date, your application is late. If your application has a status of “Received” it is still awaiting validation by Grants.gov. Once validation is complete, the status will either change to “Validated” or “Rejected with Errors.” If the status is “Rejected with Errors,” your application has not been received successfully. Some of the reasons Grants.gov may reject an application can be found on the Grants.gov site: <http://www.grants.gov/assets/ApplicationErrorTips.doc>. If you discover your application is late or has been rejected, please see the instructions below. Note: You will receive a series of confirmations both online and via e-mail about the status of your application. Please do not rely solely on e-mail to confirm whether your application has been received timely and validated successfully.

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

If you have problems submitting to Grants.gov before the closing date, please contact Grants.gov Customer Support at 1-800-518-4726 or use the customer support available on the Web site: <http://www.grants.gov/CustomerSupport>.

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

If electronic submission is required, you must submit an electronic application before 4:30 p.m., 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. (This is different from e-Application, where you are working online and saving data to the Department's database.) **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/ForApplicants> for help with Grants.gov and click on the links in the lower right corner of the screen under Applicant Tips and Tools. For additional tips related to submitting grant applications, please refer to the Grants.gov Submit Application Tips found on the Grants.gov homepage <http://www.grants.gov>.

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

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

### **MAC Users**

If you do not have a Windows operating System, you will need to use a Windows Emulation program to submit an application using Grants.gov. For additional information, review the [PureEdge Support for Macintosh](#) white paper published by Pure Edge: [http://www.grants.gov/GrantsGov\\_UST\\_Grantee/!SSL!/WebHelp/MacSupportforPureEdge.pdf](http://www.grants.gov/GrantsGov_UST_Grantee/!SSL!/WebHelp/MacSupportforPureEdge.pdf), and/or contact Grants.gov Customer Support (<http://www.grants.gov/CustomerSupport>) for more information. **If you do not have a Windows emulation program and electronic submission is required, 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.)

## **INSTRUCTIONS FOR TRANSMITTING APPLICATIONS**

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

**This program requires the electronic submission of applications--specific requirements and instructions can be found in the Federal Register notice.**

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

### **Applications Submitted Electronically**

You must submit your grant application through the Internet using the software provided on the Grants.gov Web site (<http://www.grants.gov>) by 4:30 p.m. (Washington, D.C. time) on the application deadline date. If you submit your application through the Internet via the Grants.gov Web site, you will receive an automatic acknowledgment when we receive your application.

For more information on using Grants.gov, please refer to the Notice Inviting Applications that was published in the Federal Register, the Grants.gov Submission Procedures and Tips document found in the application package instructions, and visit <http://www.grants.gov>.

**According to the instructions found in the Federal Register 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.**

### **Applications Sent by Mail:**

You must mail the original and two copies of the application on or before the deadline date to. To help expedite our review of your application, we would appreciate your voluntarily including one additional copy of your application.

**Please mail applications to:**

**U.S. Department of Education  
Application Control Center  
Attention: CFDA# (84.066A)  
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 Secretary.

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

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

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

Applications Delivered by Commercial Carrier:

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

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

**U.S. Department of Education  
Application Control Center – Stop 4260  
Attention: CFDA# (84.066A)  
7100 Old Landover Road  
Landover, MD 20785 - 1506**

Applications Delivered by Hand:

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

**Please hand deliver applications to:**

**U.S. Department of Education  
Application Control Center  
Attention: CFDA# (84.066A)  
550 12<sup>th</sup> Street, S.W.  
PCP - Room 7041  
Washington, DC 20202 – 4260**

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

4000-01-U

DEPARTMENT OF EDUCATION

Office of Postsecondary Education

Overview Information

Educational Opportunity Centers (EOC) Program

Notice inviting applications for new awards for fiscal year  
(FY) 2006.

Catalog of Federal Domestic Assistance (CFDA) Number:

84.066A

Dates: Applications Available: December 23, 2005.

Deadline for Transmittal of Applications: February 15,  
2006.

Deadline for Intergovernmental Review: March 20, 2006.

Eligible Applicants: Institutions of higher education,  
public and private agencies and organizations; combinations  
of institutions, agencies, and organizations; and secondary  
schools under exceptional circumstances, such as if there  
is no institution, agency, or organization capable of  
carrying out an EOC project in the proposed target area.

Estimated Available Funds: The Administration has  
requested \$48,972,000 for new awards for this program for  
FY 2006. 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: \$220,000 - \$2,200,000.

Estimated Average Size of Awards: \$352,000.

Maximum Award: We will not fund any application at an amount exceeding the maximum amounts specified below for a single budget period of 12 months. We may choose not to further consider or review applications with budgets that exceed the maximum amounts specified below if we conclude, during our initial review of the application, that the proposed goals and objectives cannot be obtained with the specified maximum amount.

- For an applicant who is not currently receiving an EOC Program grant, the maximum award amount is \$220,000 for a project that will serve a minimum of 1,000 eligible participants.

- For an applicant who is currently receiving an EOC Program grant the maximum award is the greater of (a) \$220,000 or (b) an amount equal to 103 percent of the applicant's prior grant award amount for FY 2005.

Estimated Number of Awards: 140.

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

Project Period: Up to 60 months.

## Full Text of Announcement

### I. Funding Opportunity Description

Purpose of Program: The purpose of the EOC Program is to provide information with respect to financial and academic assistance available for individuals who desire to pursue a program of postsecondary education, and provide assistance to those individuals in applying for admission to institutions that offer programs of postsecondary education, including assistance in preparing necessary applications for use by admissions and financial aid officers.

Program Authority: 20 U.S.C. 1070a-11 and 1070a-16.

Applicable Regulations: (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 79, 80, 81, 82, 84, 85, 86, 97, 98 and 99.

(b) The regulations for this program in 34 CFR part 644.

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

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

### II. Award Information

Type of Award: Discretionary grants.

Estimated Available Funds: The Administration has requested \$48,972,000 for new awards for this program for

FY 2006. 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: \$220,000 - \$2,200,000.

Estimated Average Size of Awards: \$352,000.

Maximum Award: We will not fund any application at an amount exceeding the maximum amounts specified below for a single budget period of 12 months. We may choose not to further consider or review applications with budgets that exceed the maximum amounts specified below if we conclude, during our initial review of the application, that the proposed goals and objectives cannot be obtained with the specified maximum amount.

- For an applicant who is not currently receiving an EOC Program grant, the maximum award amount is \$220,000 for a project that will serve a minimum of 1,000 eligible participants.

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Estimated Number of Awards: 140.

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

Project Period: Up to 60 months.

### III. Eligibility Information

1. Eligible Applicants: Institutions of higher education, public and private agencies and organizations; combinations of institutions, agencies, and organizations; and, secondary schools in exceptional circumstances, such as if there is no institution, agency, or organization capable of carrying out an EOC project in the proposed target area.

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

3. Other: An applicant may submit more than one application, if each separate application describes a project that will serve different target schools and target populations. A secondary school applicant must submit a certification that there is no other eligible entity in the proposed target area that is capable of carrying out an EOC project.

### IV. Application and Submission Information

1. Address to Request Application Package: Margaret Wingfield or Rachael Couch, U.S. Department of Education,

1990 K Street, NW., suite 7000, Washington, DC 20006-8510.

Telephone: (202) 502-7600 or by e-mail: TRIO@ed.gov.

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

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

2. Content and Form of Application Submission:

Requirements concerning the content of an application, together with the forms you must submit, are in the application package for this program.

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 section of the narrative that addresses the selection criteria to the equivalent of no more than 50 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.
- 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 be rejected.

- Use 12-point font.

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); and 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, these items will be counted as part of the 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;

or

- You apply other standards and exceed the equivalent of the page limit.

### 3. Submission Dates and Times:

Applications Available: INSERT DATE OF PUBLICATION IN THE FEDERAL REGISTER.

Deadline for Transmittal of Applications: February 15, 2006.

Applications for grants under this program must be submitted electronically using the Grants.gov Apply site ([Grants.gov](http://Grants.gov)). For information (including dates and times) about how to submit your application electronically or 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 in this notice.

Deadline for Intergovernmental Review: MARCH 20, 2006.

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

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

6. Other Submission Requirements: Applications for grants under this program 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 EOC Program – CFDA Number 84.066A must be submitted electronically using the 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 EOC Program at: <http://www.grants.gov>. You must search for the downloadable application package for this

program by the CFDA number. Do not include the CFDA number's alpha suffix in your search.

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 time and date stamped. Your application must be fully uploaded and submitted, and must be date/time stamped by the Grants.gov system no later than 4:30 p.m., Washington, DC time, on the application deadline date. Except as otherwise noted in this section, we will not consider your application if it is date/time stamped by the Grants.gov system later than 4:30 p.m., Washington, DC time, on the application deadline date. When we retrieve your application from Grants.gov, we will notify you if we are rejecting your application because it was date/time stamped by the Grants.gov system after 4:30 p.m., Washington, DC time, on the application deadline date.

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

you do not wait until the application deadline date to begin the submission process through Grants.gov.

- You should review and follow the Education Submission Procedures for submitting an application through Grants.gov that are included in the application package for this program 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 the steps in the Grants.gov registration process (see <http://www.grants.gov/GetStarted>). These steps include (1) registering your organization, (2) registering yourself as an Authorized Organization Representative (AOR), and (3) getting authorized as an AOR by your organization. Details on these steps are outlined in the Grants.gov 3-Step Registration Guide (see <http://www.grants.gov/assets/GrantsgovCoBrandBrochure8X11.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 successfully submit an application via Grants.gov.

- 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 typically included on the Application for Federal Education Assistance (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 above 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 an automatic acknowledgment from Grants.gov that contains a Grants.gov tracking number. The Department will retrieve your application from Grants.gov

and send you a second confirmation by e-mail that will include 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 prevented from electronically submitting your application on the application deadline date because of technical problems with the Grants.gov system, we will grant you an extension until 4:30 p.m., Washington, DC time, the following business day to enable you to transmit your application electronically, or by hand delivery. You also may mail your application by following the mailing instructions as described elsewhere in this notice. If you submit an application after 4:30 p.m., Washington, DC time, on the deadline date, please contact either of the persons listed elsewhere in this notice under For Further Information Contact, and provide an explanation of the technical problem you experienced with Grants.gov, along with the Grants.gov Support Desk Case Number (if available). We will accept your application if we can confirm that a technical problem occurred with the Grants.gov system and that that problem affected your ability to submit your

application by 4:30 p.m., Washington, DC time, on the application deadline date. The Department will contact you after a determination is made on whether your application will be accepted.

Note: Extensions referred to 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 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: Geraldine Smith, U.S. Department of Education, 1990 K Street, NW., suite 7000, Washington, DC 20006-8510. FAX: (202) 502-7857.

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

b. Submission of Paper Applications by Mail.

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

By mail through the U.S. Postal Service:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.066A)  
400 Maryland Avenue, SW.  
Washington, DC 20202-4260

or

By mail through a commercial carrier:

U.S. Department of Education  
Application Control Center - Stop 4260  
Attention: (CFDA Number 84.066A)  
7100 Old Landover Road  
Landover, MD 20785-1506

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

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

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

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

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

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

c. Submission of Paper Applications by Hand Delivery.

If you 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 84.066A)  
550 12th Street, SW.  
Room 7041, Potomac Center Plaza  
Washington, DC 20202-4260

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

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

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

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

#### V. Application Review Information

1. Selection Criteria: The selection criteria for this program are from 34 CFR 644.21 and are listed in the application package.

Note: Under the "Objectives" selection criterion, 34 CFR 644.21(b), applicants must address both outcome and process objectives that are related to each of the purposes of the EOC Program as described in 34 CFR 644.1. The application package for this program specifies the following four objectives related to the purposes of the EOC program:  
Increasing enrollment in continuing education programs,  
increasing applications for student financial aid,  
increasing applications for postsecondary education

admissions, and increasing postsecondary education enrollment. The EOC Program Profile page in the application package details more specific information that applicants must submit regarding these four objectives. Applicants may, but are not required to, develop additional objectives for their project.

2. Review and Selection Process: The Secretary will select an application for funding in rank-order, based on the application's total score for the selection criteria and prior experience, pursuant to 34 CFR 644.20 through 644.22. If there are insufficient funds for two or more applications with the same total scores, the Secretary will choose among the tied applications so as to serve geographical areas and eligible populations that have been underserved by the EOC Program.

## VI. Award Administration Information

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

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

2. Administrative and National Policy Requirements:

We identify administrative and national policy requirements in the application package and reference these and other requirements in the Applicable Regulations section of this notice.

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

3. Reporting: 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 expenditures information as specified by the Secretary in 34 CFR 75.118.

4. Performance Measures: The success of the EOC Program is measured by the EOC Program participants' success in enrollment in continuing education programs, completion of applications for student financial aid, submission of applications for postsecondary admission, and postsecondary education enrollment. All EOC Program

grantees will be required to submit an annual performance report.

#### VII. Agency Contacts

For Further Information Contact: Margaret Wingfield or Rachael Couch, U.S. Department of Education, 1990 K Street, NW., suite 7000, Washington, DC 20006-8510. Telephone: (202) 502-7600 or by e-mail: [TRIO@ed.gov](mailto:TRIO@ed.gov)

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

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

#### VIII. Other Information

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

To use PDF you must have Adobe Acrobat Reader, which is available free at this site. If you have questions about using PDF, call the U.S. Government Printing Office

(GPO), toll free, at 1-888-293-6498; or in the Washington, DC area at (202) 512-1530.

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

Dated:

/signed/\_\_\_\_\_  
Sally L. Stroup,  
Assistant Secretary for  
Postsecondary Education.

# Authorizing Legislation and Regulations

## Authorizing Legislation:

### Title IV, Part A, Subpart 2 of the Higher Education Act of 1965, as amended:

#### CHAPTER 1—FEDERAL TRIO PROGRAMS SEC. 402A. 20 U.S.C. 1070a–11

#### PROGRAM AUTHORITY; AUTHORIZATION OF APPROPRIATIONS.

- (a) GRANTS AND CONTRACTS AUTHORIZED.—The Secretary shall, in accordance with the provisions of this chapter, carry out a program of making grants and contracts designed to identify qualified individuals from disadvantaged backgrounds, to prepare them for a program of postsecondary education, to provide support services for such students who are pursuing programs of postsecondary education, to motivate and prepare students for doctoral programs, and to train individuals serving or preparing for service in programs and projects so designed.
- (b) RECIPIENTS, DURATION, AND SIZE. —
- (1) RECIPIENTS.—For the purposes described in subsection (a), the Secretary is authorized, without regard to section 3709 of the Revised Statutes (41 U.S.C. 5), to make grants to, and contracts with, institutions of higher education, public and private agencies and organizations, combinations of such institutions, agencies and organizations, and in exceptional circumstances, secondary schools, for planning, developing, or carrying out one or more of the services assisted under this chapter.
- (2) DURATION.—Grants or contracts made under this chapter shall be awarded for a period of 4 years, except that—(A) the Secretary shall award such grants or contracts for 5 years to applicants whose peer review scores were in the highest 10 percent of scores of all applicants receiving grants or contracts in each program competition for the same award year;(B) grants made under section 402G shall be awarded for a period of 2 years; and(C) grants under section 402H shall be awarded for a period determined by the Secretary.
- (3) MINIMUM GRANTS.—Unless the institution or agency requests a smaller amount, individual grants under this chapter shall be no less than—
- (A) \$170,000 for programs authorized by sections 402D and 402G;

- (B) \$180,000 for programs authorized by sections 402B and 402F; and
- (C) \$190,000 for programs authorized by sections 402C and 402E

(c) PROCEDURES FOR AWARDING GRANTS AND CONTRACTS.—

- (1) APPLICATION REQUIREMENTS.—An eligible entity that desires to receive a grant or contract under this chapter shall submit an application to the Secretary in such manner and form, and containing such information and assurances, as the Secretary may reasonably require.
- (2) PRIOR EXPERIENCE.—In making grants under this chapter, the Secretary shall consider each applicant's prior experience of service delivery under the particular program for which funds are sought. The level of consideration given the factor of prior experience shall not vary from the level of consideration given such factor during fiscal years 1994 through 1997, except that grants made under section 402H shall not be given prior experience consideration.
- (3) ORDER OF AWARDS; PROGRAM FRAUD.—
  - (A) Except with respect to grants made under sections 402G and 402H and as provided in subparagraph the Secretary shall award grants and contracts under this chapter in the order of the scores received by the application for such grant or contract in the peer review process required under paragraph (4) and adjusted for prior experience in accordance with paragraph (2) of this subsection.
  - (B) The Secretary is not required to provide assistance to a program otherwise eligible for assistance under this chapter, if the Secretary has determined that such program has involved the fraudulent use of funds under this chapter.
- (4) PEER REVIEW PROCESS.—
  - (A) The Secretary shall ensure that, to the extent practicable, members of groups underrepresented in higher education, including African Americans, Hispanics, Native Americans, Alaska Natives, Asian Americans, and Native American Pacific Islanders (including Native Hawaiians), are represented as readers of applications submitted under this chapter. The Secretary shall also ensure that persons from urban and rural backgrounds are represented as readers.
  - (B) The Secretary shall ensure that each application submitted under this chapter is read by at least three readers who are not employees of the Federal Government (other than as readers of applications)

(5) NUMBER OF APPLICATIONS FOR GRANTS AND CONTRACTS.—The Secretary shall not limit the number of applications submitted by an entity under any program authorized under this chapter if the additional applications describe programs serving different populations or campuses.

(6) COORDINATION WITH OTHER PROGRAMS FOR DISADVANTAGED STUDENTS.—

The Secretary shall encourage coordination of programs assisted under this chapter with other programs for disadvantaged students operated by the sponsoring institution or agency, regardless of the funding source of such programs. The Secretary shall not limit an entity's eligibility to receive funds under this chapter because such entity sponsors a program similar to the program to be assisted under this chapter, regardless of the funding source of such program. The Secretary shall permit the Director of a program receiving funds under this

chapter to administer one or more additional programs for disadvantaged students operated by the sponsoring institution or agency, regardless of the funding sources of such programs.

(7) APPLICATION STATUS.—The Secretary shall inform each entity operating programs under this chapter regarding the status of their application for continued funding at least 8 months prior to the expiration of the grant or contract. The Secretary, in the case of an entity that is continuing to operate a successful program under this chapter, shall ensure that the startup date for a new grant or contract for such program immediately follows the termination of the preceding grant or contract so that no interruption of funding occurs for such successful reapplicants. The Secretary shall inform each entity requesting assistance under this chapter for a new program regarding the status of their application at least 8 months prior to the proposed startup date of such program.

(d) OUTREACH.—

(1) IN GENERAL.—The Secretary shall conduct outreach activities to ensure that entities eligible for assistance under this chapter submit applications proposing programs that serve geographic areas and eligible populations which have been underserved by the programs assisted under this chapter.

(2) NOTICE.—In carrying out the provisions of paragraph(1), the Secretary shall notify the entities described in subsection(b) of the availability of assistance under this subsection not less than 120 days prior to the deadline for submission of applications under this chapter and shall consult national, State, and regional organizations about candidates for notification.

(3) TECHNICAL ASSISTANCE.—The Secretary shall provide technical training to applicants for projects and programs authorized under this chapter. The Secretary shall give priority to serving programs and projects that serve geographic areas and eligible populations which have been underserved by the programs assisted under this chapter. Technical training activities shall include the provision of information on authorizing legislation, goals and objectives of the program, required activities, eligibility requirements, the application process and application deadlines, and assistance in the development of program proposals and the completion of program applications. Such training shall be furnished at conferences, seminars, and workshops to be conducted at not less than 10 sites throughout the United States to ensure that all areas of the United States with large concentrations of eligible participants are served.

(4) SPECIAL RULE.—The Secretary may contract with eligible entities to conduct the outreach activities described in this subsection.

(e) DOCUMENTATION OF STATUS AS A LOW-INCOME INDIVIDUAL.—

(1) Except in the case of an independent student, as defined in section 480(d), documentation of an individual's status pursuant to subsection (g)(2) shall be made by providing the Secretary with—

- (a) A signed statement from the individual's parent or legal guardian;
- (b) Verification from another governmental source;
- (c) A signed financial aid application; or
- (d) A signed United States or Puerto Rico income tax return.

(2) In the case of an independent student, as defined in section 480(d), documentation of an individual's status pursuant to subsection (g)(2) shall be made by providing the Secretary with—

- (a) A signed statement from the individual;
- (b) Verification from another governmental source;
- (c) A signed financial aid application; or
- (d) A signed United States or Puerto Rico income tax return.

(f) **AUTHORIZATION OF APPROPRIATIONS.**—For the purpose of making grants and contracts under this chapter, there are authorized to be appropriated \$700,000,000 for fiscal year 1999, and such sums as may be necessary for each of the 4 succeeding fiscal years. Of the amount appropriated under this chapter, the Secretary may use no more than 1/2 of 1 percent of such amount to obtain additional qualified readers and additional staff to review applications, to increase the level of oversight monitoring, to support impact studies, program assessments and reviews, and to provide technical assistance to potential applicants and current grantees. In expending these funds, the Secretary shall give priority to the additional administrative requirements provided in the Higher Education Amendments of 1992, to outreach activities, and to obtaining additional readers. The Secretary shall report to Congress by October 1, 1994, on the use of these funds.

(g) **DEFINITIONS.**—For the purpose of this chapter:

(1) **FIRST GENERATION COLLEGE STUDENT.**—The term “first-generation college student” means—

- (A) An individual both of whose parents did not complete a baccalaureate degree;
- or
- (B) In the case of any individual who regularly resided with and received support from only one parent, an individual whose only such parent did not complete a baccalaureate degree.

(2) **LOW-INCOME INDIVIDUAL.**—The term “low-income individual” means an individual from a family whose taxable income for the preceding year did not exceed 150 percent of an amount equal to the poverty level determined by using criteria of poverty established by the Bureau of the Census.

(3) **VETERAN ELIGIBILITY.**—No veteran shall be deemed ineligible to participate in any program under this chapter by reason of such individual’s age who—

- (A) served on active duty for a period of more than 180 days, any part of which occurred after January 31, 1955, and was discharged or released there from under conditions other than dishonorable; or
- (B) served on active duty after January 31, 1955, and was discharged or released there from because of a service connected disability.

(4) **WAIVER.**—The Secretary may waive the service requirements in subparagraph (A) or (B) of paragraph (3) if the Secretary determines the application of the service requirements to a veteran will defeat the purpose of a program under this chapter.

**Sec. 402F HIGHER EDUCATION ACT OF 1965 SEC. 402F. 20 U.S.C. 1070a–16  
EDUCATIONAL OPPORTUNITY CENTERS.**

(a) **PROGRAM AUTHORITY; SERVICES PROVIDED.**—The Secretary shall carry out a program to be known as educational opportunity centers which shall be designed—

- (1) To provide information with respect to financial and academic assistance available for individuals desiring to pursue a program of postsecondary education; and
- (2) To provide assistance to such persons in applying for admission to institutions at which a program of postsecondary education is offered, including preparing necessary

applications for use by admissions and financial aid officers.

(b) PERMISSIBLE SERVICES.—An educational opportunity center assisted under this section may provide services such as—

- (1) Public information campaigns designed to inform the community regarding opportunities for postsecondary education and training;
- (2) Academic advice and assistance in course selection;
- (3) Assistance in completing college admission and financial aid applications;
- (4) Assistance in preparing for college entrance examinations;
- (5) Guidance on secondary school reentry or entry to a general educational development (GED) program or other alternative education programs for secondary school dropouts;
- (6) Personal counseling;
- (7) Tutorial services;
- (8) Career workshops and counseling;
- (9) Mentoring programs involving elementary or secondary school teachers, faculty members at institutions of higher education, students, or any combination of such persons; and
- (10) programs and activities as described in paragraphs (1) through (9) which are specially designed for students of limited English proficiency.

(c) REQUIREMENTS FOR APPROVAL OF APPLICATIONS.—In approving applications for educational opportunity centers under this section for any fiscal year the Secretary shall—

- (1) Require an assurance that not less than two-thirds of the persons participating in the project proposed to be carried out under any application be low income individuals who are first generation college students;
- (2) Require that such participants be persons who are at least nineteen years of age, unless the imposition of such limitation with respect to any person would defeat the purposes of this section or the purposes of section 402B; and
- (3) Require an assurance that individuals participating in the project proposed in the application do not have access to services from another project funded under this section or under section 402B.

**TITLE 34--EDUCATION  
CHAPTER VI--OFFICE OF POSTSECONDARY EDUCATION,  
DEPARTMENT OF EDUCATION**

PART 644\_ EDUCATIONAL OPPORTUNITY CENTERS

Subpart A - General

Sec.

- 644.1 What is the Educational Opportunity Centers program?
- 644.2 Who is eligible for a grant?
- 644.3 Who is eligible to participate in a project?
- 644.4 What services may a project provide?
- 644.5 How long is a project period?
- 644.6 What regulations apply?
- 644.7 What definitions apply?

Subpart B - Assurances

- 644.10 What assurances must an applicant submit?

Subpart C - How Does the Secretary Make a Grant?

- 644.20 How does the Secretary decide which new grants to make?
- 644.21 What selection criteria does the Secretary use?
- 644.22 How does the Secretary evaluate prior experience?
- 644.23 How does the Secretary set the amount of a grant?

Subpart D - What Conditions Must Be Met by a Grantee?

- 644.30 What are allowable costs?
- 644.31 What are unallowable costs?
- 644.32 What other requirements must a grantee meet?

Authority: 20 U.S.C. 1070a-11 and 1070a-16, unless otherwise noted.

Source: 59 FR 2658, Jan. 18, 1994, unless otherwise noted.

Subpart A - General

- Sec. 644.1 What is the Educational Opportunity Centers program?

The Educational Opportunity Centers program provides grants for projects designed to provide--

- (a) Information regarding financial and academic assistance available for individuals who desire to pursue a program of postsecondary education; and
- (b) Assistance to individuals in applying for admission to institutions that offer programs of postsecondary education, including

assistance in preparing necessary applications for use by admissions and financial aid officers.

(Authority: 20 U.S.C. 1070a-16)

#### Sec. 644.2 Who is eligible for a grant?

The following are eligible for a grant to carry out an Educational Opportunity Centers project:

- (a) An institution of higher education.
- (b) A public or private agency or organization.
- (c) A combination of the types of institutions, agencies, and organizations described in paragraphs (a) and (b) of this section.
- (d) A secondary school, under exceptional circumstances such as if no institution, agency, or organization described in paragraphs (a) and (b) of this section is capable of carrying out an Educational Opportunity Centers project in the target area to be served by the proposed project.

(Authority: 20 U.S.C. 1070a-11)

#### Sec. 644.3 Who is eligible to participate in a project?

(a) An individual is eligible to participate in an Educational Opportunity Centers project if the individual meets all of the following requirements:

- (1)(i) Is a citizen or national of the United States;
  - (ii) Is a permanent resident of the United States;
  - (iii) Is in the United States for other than a temporary purpose and provides evidence from the Immigration and Naturalization Service of his or her intent to become a permanent resident;
  - (iv) Is a permanent resident of Guam, the Northern Mariana Islands, or the Trust Territory of the Pacific Islands (Palau); or
  - (v) Is a resident of the Freely Associated States--the Federated States of Micronesia or the Republic of the Marshall Islands.
- (2)(i) Is at least 19 years of age; or
- (ii) Is less than 19 years of age, and the individual cannot be appropriately served by a Talent Search project under 34 CFR part 643, and the individual's participation would not dilute the Educational Opportunity Centers project's services to individuals described in paragraph (a)(2)(i) of this section.
- (3) Expresses a desire to enroll, or is enrolled, in a program of postsecondary education, and requests information or assistance in applying for admission to, or financial aid for, such a program.
- (b) A veteran as defined in Sec. 644.7(b), regardless of age, is eligible to participate in an Educational Opportunity Centers project if he or she satisfies the eligibility requirements in paragraph (a) of this section other than the age requirement in paragraph (a)(2) of this section.

(Authority: 20 U.S.C. 1070a-11 and 1070a-16)

#### Sec. 644.4 What services may a project provide?

An Educational Opportunity Centers project may provide the following services:

- (a) Public information campaigns designed to inform the community about opportunities for postsecondary education and training.
- (b) Academic advice and assistance in course selection.
- (c) Assistance in completing college admission and financial aid applications.
- (d) Assistance in preparing for college entrance examinations.
- (e) Guidance on secondary school reentry or entry to a General Educational Development (GED) program or other alternative education program for secondary school dropouts.
- (f) Personal counseling.
- (g) Tutorial services.
- (h) Career workshops and counseling.
- (i) Mentoring programs involving elementary or secondary school teachers, faculty members at institutions of higher education, students, or any combination of these persons.
- (j) Activities described in paragraphs (a) through (i) of this section that are specifically designed for students of limited English proficiency.
- (k) Other activities designed to meet the purposes of the Educational Opportunity Centers program stated in Sec. 644.1.

(Authority: 20 U.S.C. 1070a-16)

#### Sec. 644.5 How long is a project period?

- (a) Except as provided in paragraph (b) of this section, a project period under the Educational Opportunity Centers program is four years.
- (b) The Secretary approves a project period of five years for applications that score in the highest ten percent of all applications approved for new grants under the criteria in Sec. 644.21.

(Authority: 20 U.S.C. 1070a-11)

#### Sec. 644.6 What regulations apply?

The following regulations apply to the Educational Opportunity Centers program:

- (a) The Education Department General Administrative Regulations (EDGAR) as follows:
  - (1) 34 CFR part 74 (Administration of Grants to Institutions of Higher Education, Hospitals, and Nonprofit Organizations).
  - (2) 34 CFR part 75 (Direct Grant Programs), except for Sec. 75.511.
  - (3) 34 CFR part 77 (Definitions that Apply to Department Regulations), except for the definition of "secondary school" in Sec. 77.1.
  - (4) 34 CFR part 79 (Intergovernmental Review of Department of Education Programs and Activities).
  - (5) 34 CFR part 82 (New Restrictions on Lobbying).
  - (6) 34 CFR part 85 (Governmentwide Debarment and Suspension

(Nonprocurement) and Governmentwide Requirements for Drug-Free Workplace (Grants)).

(7) 34 CFR part 86 (Drug-Free Schools and Campuses).

(b) The regulations in this part 644.

(Authority: 20 U.S.C. 1070a-11 and 1070a-16)

Sec. 644.7 What definitions apply?

(a) Definitions in EDGAR. The following terms used in this part are defined in 34 CFR 77.1:

Applicant  
Application  
Budget  
Budget period  
EDGAR  
Equipment  
Facilities  
Fiscal year  
Grant  
Grantee  
Private  
Project  
Project period  
Public  
Secretary  
Supplies

(b) Other definitions. The following definitions also apply to this part:

HEA means the Higher Education Act of 1965, as amended.

Institution of higher education means an educational institution as defined in sections 1201(a) and 481 of the HEA.

Low-income individual means an individual whose family's taxable income did not exceed 150 percent of the poverty level amount in the calendar year preceding the year in which the individual initially participated in the project. The poverty level amount is determined by using criteria of poverty established by the Bureau of the Census of the U.S. Department of Commerce.

Participant means an individual who--

(i) Is determined to be eligible to participate in the project under Sec. 644.3; and

(ii) Receives project services.

Postsecondary education means education beyond the secondary school level.

Potential first-generation college student means--

(i) An individual neither of whose parents received a baccalaureate degree; or

(ii) An individual who regularly resided with and received support from only one parent and whose supporting parent did not receive a baccalaureate degree.

Secondary school means a school that provides secondary education as

determined under State law, except that it does not include education beyond grade 12.

Target area means a geographic area served by an Educational Opportunity Centers project.

Veteran means a person who served on active duty as a member of the Armed Forces of the United States--

(i) For a period of more than 180 days, any part of which occurred after January 31, 1955, and who was discharged or released from active duty under conditions other than dishonorable; or

(ii) After January 31, 1955, and who was discharged or released from active duty because of a service-connected disability.

(Authority: 20 U.S.C. 1070a-11, 1070a-16, and 1141)

#### Subpart B - Assurances

Sec. 644.10 What assurances must an applicant submit?

An applicant shall submit, as part of its application, assurances that--

(a) At least two-thirds of the individuals it serves under its proposed Educational Opportunity Centers project will be low-income individuals who are potential first-generation college students;

(b) Individuals who are receiving services from another Educational Opportunity Centers project or a Talent Search project under 34 CFR part 643 will not receive services under the proposed project;

(c) The project will be located in a setting or settings accessible to the individuals proposed to be served by the project; and

(d) If the applicant is an institution of higher education, it will not use the project as a part of its recruitment program.

(Authority: 20 U.S.C. 1070a-16)

#### Subpart C - How Does the Secretary Make a Grant?

Sec. 644.20 How does the Secretary decide which new grants to make?

(a) The Secretary evaluates an application for a new grant as follows:

(1)(i) The Secretary evaluates the application on the basis of the selection criteria in Sec. 644.21.

(ii) The maximum score for all the criteria in Sec. 644.21 is 100 points. The maximum score for each criterion is indicated in parentheses with the criterion.

(2)(i) For an application for a new grant to continue to serve substantially the same populations or campuses that the applicant is serving under an expiring project, the Secretary evaluates the applicant's prior experience in delivering services under the expiring project on the basis of the criteria in Sec. 644.22.

(ii) The maximum score for all the criteria in Sec. 644.22 is 15 points. The maximum score for each criterion is indicated in parentheses with the criterion.

(3) The Secretary awards additional points equal to 10 percent of

the application's score under paragraphs (a) (1) and (2) of this section to an application for a project in Guam, the Virgin Islands, American Samoa, the Trust Territory of the Pacific Islands (Palau), or the Northern Mariana Islands if the applicant meets the requirements of subparts A, B, and D of this part.

(b) The Secretary makes new grants in rank order on the basis of the applications' total scores under paragraphs (a) (1) through (3) of this section.

(c) If the total scores of two or more applications are the same and there are insufficient funds for these applications after the approval of higher-ranked applications, the Secretary uses the remaining funds to serve geographic areas and eligible populations that have been underserved by the Educational Opportunity Centers program.

(d) The Secretary may decline to make a grant to an applicant that carried out a project that involved the fraudulent use of funds under section 402A(c)(2)(B) of the HEA.

(Authority: 20 U.S.C. 1070a-11, 1070a-16, and 1144a(a))

Sec. 644.21 What selection criteria does the Secretary use?

The Secretary uses the following criteria to evaluate an application for a new grant:

(a) Need for the project (24 points). The Secretary evaluates the need for an Educational Opportunity Centers project in the proposed target area on the basis of the extent to which the application contains clear evidence of--

(1) A high number or percentage, or both, of low-income families residing in the target area;

(2) A high number or percentage, or both, of individuals residing in the target area with education completion levels below the baccalaureate level;

(3) A high need on the part of residents of the target area for further education and training from programs of postsecondary education in order to meet changing employment trends; and

(4) Other indicators of need for an Educational Opportunity Centers project, including the presence of unaddressed educational or socioeconomic problems of adult residents in the target area.

(b) Objectives (8 points). The Secretary evaluates the quality of the applicant's proposed project objectives on the basis of the extent to which they--

(1) Include both process and outcome objectives relating to each of the purposes of the Educational Opportunity Centers program stated in Sec. 644.1;

(2) Address the needs of the target area;

(3) Are clearly described, specific, and measurable; and

(4) Are ambitious but attainable within each budget period and the project period given the project budget and other resources.

(c) Plan of operation (30 points). The Secretary evaluates the quality of the applicant's plan of operation on the basis of the following:

(1) (4 points) The plan to inform the residents, schools, and community organizations in the target area of the goals, objectives, and

services of the project and the eligibility requirements for participation in the project;

(2) (4 points) The plan to identify and select eligible participants and ensure their participation without regard to race, color, national origin, gender, or disability;

(3) (2 points) The plan to assess each participant's need for services provided by the project;

(4) (12 points) The plan to provide services that meet participants' needs and achieve the objectives of the project; and

(5) (8 points) The management plan to ensure the proper and efficient administration of the project including, but not limited to, the project's organizational structure, the time committed to the project by the project director and other personnel, and, where appropriate, its coordination with other projects for disadvantaged students.

(d) Applicant and community support (16 points). The Secretary evaluates the applicant and community support for the proposed project on the basis of the extent to which the applicant has made provision for resources to supplement the grant and enhance the project's services, including--

(1) (8 points) Facilities, equipment, supplies, personnel, and other resources committed by the applicant; and

(2) (8 points) Resources secured through written commitments from schools, community organizations, and others.

(e) Quality of personnel (9 points). (1) The Secretary evaluates the quality of the personnel the applicant plans to use in the project on the basis of the following:

(i) The qualifications required of the project director.

(ii) The qualifications required of each of the other personnel to be used in the project.

(iii) The plan to employ personnel who have succeeded in overcoming the disadvantages or circumstances like those of the population of the target area.

(2) In evaluating the qualifications of a person, the Secretary considers his or her experience and training in fields related to the objectives of the project.

(f) Budget (5 points). The Secretary evaluates the extent to which the project budget is reasonable, cost-effective, and adequate to support the project.

(g) Evaluation plan (8 points). The Secretary evaluates the quality of the evaluation plan for the project on the basis of the extent to which the applicant's methods of evaluation--

(1) Are appropriate to the project's objectives;

(2) Provide for the applicant to determine, using specific and quantifiable measures, the success of the project in--

(i) Making progress toward achieving its objectives (a formative evaluation); and

(ii) Achieving its objectives at the end of the project period (a summative evaluation); and

(3) Provide for the disclosure of unanticipated project outcomes, using quantifiable measures if appropriate.

(Approved by the Office of Management and Budget under control number

1840-0065)

(Authority: 20 U.S.C. 1070a-16)

Sec. 644.22 How does the Secretary evaluate prior experience?

(a) In the case of an application described in Sec. 644.20(a)(2)(i), the Secretary reviews information relating to an applicant's performance under its expiring Educational Opportunity Centers project. This information includes performance reports, audit reports, site visit reports, and project evaluation reports.

(b) The Secretary evaluates the applicant's prior experience in delivering services on the basis of the following criteria:

(1) (3 points) (i) Whether the applicant provided services to the required number of participants who resided in the target area; and

(ii) Whether two-thirds of all participants served were low-income individuals and potential first-generation college students.

(2) (6 points) The extent to which the applicant met or exceeded its objectives regarding the provision of assistance to individuals in applying for admission to, or financial aid for, programs of postsecondary education.

(3) (6 points) The extent to which the applicant met or exceeded its objectives regarding the admission or reentry of participants to programs of postsecondary education.

(Approved by the Office of Management and Budget under control number 1840-0065)

(Authority: 20 U.S.C. 1070a-16)

Sec. 644.23 How does the Secretary set the amount of a grant?

(a) The Secretary sets the amount of a grant on the basis of--

(1) 34 CFR 75.232 and 75.233, for new grants; and

(2) 34 CFR 75.253, for the second and subsequent years of a project period.

(b) If the circumstances described in section 402A(b)(3) of the HEA exist, the Secretary uses the available funds to set the amount of the grant beginning in fiscal year 1994 at the lesser of--

(1) \$180,000; or

(2) The amount requested by the applicant.

(Authority: 20 U.S.C. 1070a-11)

Subpart D - What Conditions Must Be Met by a Grantee?

Sec. 644.30 What are allowable costs?

The cost principles that apply to the Educational Opportunity Centers program are in 34 CFR part 74, subpart Q. Allowable costs include the following if they are reasonably related to the objectives of the project:

(a) Transportation, meals, and, with specific prior approval of the

Secretary, lodging for participants and staff for--

(1) Visits to postsecondary educational institutions to obtain information relating to the admission of participants to those institutions;

(2) Participation in "College Day" activities; and

(3) Field trips to observe and meet with people who are employed in various career fields in the target area and who can serve as role models for participants.

(b) Purchase of testing materials.

(c) Fees required for college admissions or entrance examinations if--

(1) A waiver is unavailable; and

(2) The fee is paid by the grantee to a third party on behalf of a participant.

(d) In-service training of project staff.

(e) Rental of space if--

(1) Space is not available at the site of the grantee; and

(2) The rented space is not owned by the grantee.

(f) Purchase of computer hardware, computer software, or other equipment for student development, project administration, and recordkeeping, if the applicant demonstrates to the Secretary's satisfaction that the equipment is required to meet the objectives of the project more economically or efficiently.

(Authority: 20 U.S.C. 1070a-11 and 1070a-16)

Sec. 644.31 What are unallowable costs?

Costs that are unallowable under the Educational Opportunity Centers program include, but are not limited to, the following:

(a) Tuition, fees, stipends, and other forms of direct financial support for participants.

(b) Research not directly related to the evaluation or improvement of the project.

(c) Construction, renovation, and remodeling of any facilities.

(Authority: 20 U.S.C. 1070a-11 and 1070a-16)

Sec. 644.32 What other requirements must a grantee meet?

(a) Eligibility of participants. (1) A grantee shall determine the eligibility of each participant in the project at the time that the individual is selected to participate.

(2) A grantee shall determine the status of a low-income individual on the basis of the documentation described in section 402A(e) of the HEA.

(b) Number of participants. In each budget period, a grantee shall serve a minimum of 1,000 participants who reside in the target area. However, the Secretary may reduce the minimum number of these participants if the amount of the grant for the budget period is less than \$180,000.

(c) Recordkeeping. For each participant, a grantee shall maintain a record of--

(1) The basis for the grantee's determination that the participant is eligible to participate in the project under Sec. 644.3;

(2) The services that are provided to the participant; and

(3) The specific educational benefits received by the participant.

(d) Project director. (1) A grantee shall employ a full-time project director unless paragraph (d)(3) of this section applies.

(2) The grantee shall give the project director sufficient authority to administer the project effectively.

(3) The Secretary waives the requirement in paragraph (d) (1) of this section if the applicant demonstrates that the requirement will hinder coordination--

(i) Among the Federal TRIO Programs (sections 402A through 402F of the HEA); or

(ii) Between the programs funded under sections 402A through 410 of the HEA and similar programs funded through other sources.

(Approved by the Office of Management and Budget under control number 1840-0065)

(Authority: 20 U.S.C. 1070a-11 and 1070a-16).

## **Educational Opportunity Centers Program ASSURANCES 644.10**

All applicants **must** comply with the following statutory requirements:

1. The applicant assures that at least two-thirds (2/3) of the individuals it serves under its proposed Educational Opportunity Centers Program project will be low-income individuals who are potential first-generation college students;
2. The applicant assures that individuals who are receiving services from another Educational Opportunity Centers project or a Talent Search Program project under 34 CFR Part 643 will not receive services under the proposed project;
3. The applicant assures that the project will be located in a setting or settings accessible to the individuals proposed to be served by the project; and
4. The applicant assures that if the applicant is an institution of higher education, it will not use the project as a part of its recruitment program.

**IMPORTANT NOTE: Please note that by submitting this application, you are agreeing with the Educational Opportunity Centers Program Assurances cited above. (See Item #2 on the “Educational Opportunity Centers Program Profile” on page 75 of the application instructions.)**

**Federal TRIO Programs  
2005 Annual Low Income Levels  
(Effective February 2005 Until Further Notice)**

<b>Size of Family Unit</b>	<b>48 Contiguous States, D.C., and Outlying Jurisdictions</b>	<b>Alaska</b>	<b>Hawaii</b>
<b>1</b>	\$14,355	\$17,925	\$16,515
<b>2</b>	\$19,245	\$24,045	\$22,140
<b>3</b>	\$24,135	\$30,165	\$27,765
<b>4</b>	\$29,025	\$36,285	\$33,390
<b>5</b>	\$33,915	\$42,405	\$39,015
<b>6</b>	\$38,805	\$48,525	\$44,640
<b>7</b>	\$43,695	\$54,645	\$50,265
<b>8</b>	\$48,585	\$60,765	\$55,890

For family units with more than 8 members, add the following amount for each additional family member: \$4,890 for the 48 contiguous states, the District of Columbia and outlying jurisdictions; \$6,120 for Alaska; and \$5,625 for Hawaii.

The term "low-income individual" means an individual whose family's taxable income for the preceding year did not exceed 150 percent of the poverty level amount.

The figures shown under family income represent amounts equal to 150 percent of the family income levels established by the Census Bureau for determining poverty status. The poverty guidelines were published by the U.S. Department of Health and Human Services in the [Federal Register](#), Vol. 70, No. 33, February 18, 2005, pp. 8373-8375.

## Executive Order 12372 -- Intergovernmental Review

### APPENDIX

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

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

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

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

Any State Process Recommendation and other comments submitted by a State Single Point of Contact and any comments from State, areawide, regional, and local entities must be mailed or hand-delivered by the date indicated in the actual application notice to the following address: The Secretary, EO 12372--CFDA# [commenter must insert number--including suffix letter, if any], U.S. Department of Education, room 7W301, 400 Maryland Avenue, SW., 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. (Washington, DC time) on the date indicated in the actual application notice.

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

STATE SINGLE POINTS OF CONTACT (SPOCs)

It is estimated that in 2004 the federal government will outlay \$400 billion in grants to state and local governments. Executive Order 12372, "Intergovernmental Review of Federal Programs," was issued with the desire to foster the intergovernmental partnership and strengthen federalism by relying on state and local processes for the coordination and review of proposed federal financial assistance and direct federal development. The Order allows each state to designate an entity to perform this function. Below is the official list of those entities. For those states that have a home page for their designated entity, a direct link has been provided on the official version:  
<http://www.whitehouse.gov/omb/grants/spoc.html>

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

Contact information for federal agencies that award grants can be found in [The Catalog of Federal Domestic Assistance Catalog Contents Page](#). You can access Appendix IV by Agency [[http://12.46.245.173/CFDA/appx4\\_web.pdf](http://12.46.245.173/CFDA/appx4_web.pdf)] or by State [[http://12.46.245.173/CFDA/appx4\\_web\\_state.pdf](http://12.46.245.173/CFDA/appx4_web_state.pdf)].

<p><b>ARKANSAS</b>                  Tracy L. Copeland                  Manager, State Clearinghouse                  Office of Intergovernmental Services                  Department of Finance and Admin.                  1515 W. 7th St., Room 412                  Little Rock, Arkansas 72203                  Telephone: (501) 682-1074                  Fax: (501) 682-5206  <a href="mailto:tlcopeland@dfa.state.ar.us">tlcopeland@dfa.state.ar.us</a></p>	<p><b>CALIFORNIA</b>                  Grants Coordination                  State Clearinghouse                  Office of Planning and Research                  P.O. Box 3044, Room 222                  Sacramento, California 95812-3044                  Telephone: (916) 445-0613                  Fax: (916) 323-3018  <a href="mailto:state.clearinghouse@opr.ca.gov">state.clearinghouse@opr.ca.gov</a></p>
<p><b>DELAWARE</b>                  Sandra R. Stump                  Executive Department                  Office of the Budget                  540 S. Dupont Highway, 3rd Floor                  Dover, Delaware 19901                  Telephone: (302) 739-3323                  Fax: (302) 739-5661  <a href="mailto:sandy.stump@state.de.us">sandy.stump@state.de.us</a></p>	<p><b>DISTRICT OF COLUMBIA</b>                  Marlene Jefferson                  DC Government Office of Partnerships                  And Grants Development                  441 4th Street, N.W.                  Washington, DC 20001                  Telephone: (202) 727-6518                  Fax: (202) 727-1652  <a href="mailto:marlene.Jefferson@dc.gov">marlene.Jefferson@dc.gov</a></p>
<p><b>FLORIDA</b>                  Lauren P. Milligan                  Florida State Clearinghouse                  Florida Dept. of Environmental Protection                  3900 Commonwealth Blvd., Mail Station 47                  Tallahassee, Florida 32399-3000                  Telephone: (850) 245-2161                  Fax: (850) 245-2190  <a href="mailto:Lauren.Milligan@dep.state.fl.us">Lauren.Milligan@dep.state.fl.us</a></p>	<p><b>GEORGIA</b>                  Barbara Jackson                  Georgia State Clearinghouse                  270 Washington Street, SW, 8<sup>th</sup> Floor                  Atlanta, Georgia 30334                  Telephone: (404) 656-3855                  Fax: (404) 656-7901  <a href="mailto:gach@mail.opb.state.ga.us">gach@mail.opb.state.ga.us</a></p>

**ILLINOIS**

Roukaya McCaffrey  
 Department of Commerce and  
 Economic Opportunities  
 620 East Adams, 6th Floor  
 Springfield, Illinois 62701  
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 Fax: (217) 558-0473  
[roukaya\\_mccaffrey@illinoisbiz.biz](mailto:roukaya_mccaffrey@illinoisbiz.biz)

**IOWA**

Kathy Mable  
 Iowa Department of Management  
 State Capitol Building Room G 12  
 1007 E Grand Avenue  
 Des Moines, Iowa 50319  
 Telephone: (515) 242-8834  
 Fax: (515) 242-5897  
[Kathy.Mable@iowa.gov](mailto:Kathy.Mable@iowa.gov)

**KENTUCKY**

Ron Cook  
 The Governor's Office for Local Development  
 1024 Capital Center Drive, Suite 340  
 Frankfort, Kentucky 40601  
 Telephone: (502) 573-2382/(800) 346-5606  
 Fax: (502) 573-2512  
[Ron.cook@Ky.Gov](mailto:Ron.cook@Ky.Gov)

**MAINE**

Joyce Benson  
 State Planning Office  
 184 State Street  
 38 State House Station  
 Augusta, Maine 04333  
 Telephone: (207) 287-3261  
 (direct): (207) 287-1461  
 Fax: (207) 287-6489  
[joyce.benson@state.me.us](mailto:joyce.benson@state.me.us)

**MARYLAND**

Linda C. Janey, J.D.  
 Director, Capital Planning and  
 Development Review  
 Maryland Department of Planning  
 301 West Preston Street, Room 1104  
 Baltimore, Maryland 21201-2305  
 Telephone: (410) 767-4490  
 Fax: (410) 767-4480  
[linda@mail.op.state.md.us](mailto:linda@mail.op.state.md.us)

**MICHIGAN**

Richard Pfaff  
 Southeast Michigan Council of Governments  
 535 Griswold, Suite 300  
 Detroit, Michigan 48226  
 Telephone: (313) 961-4266  
 Fax: (313) 961-4869  
[pfaff@semcog.org](mailto:pfaff@semcog.org)

**MISSISSIPPI**

Mildred Tharpe  
 Clearinghouse Officer  
 Department of Finance and Administration  
 1301 Woolfolk Building, Suite E  
 501 North West Street  
 Jackson, Mississippi 39201  
 Telephone: (601) 359-6762  
 Fax: (601) 359-6758

**MISSOURI**

Federal Assistance Clearinghouse  
 Office of Administration  
 P.O. Box 809  
 Truman Building, Room 840  
 Jefferson City, Missouri 65102  
 Telephone: (573) 751-4834  
 Fax: (573) 522-4395  
[igr@mail.oa.state.mo.us](mailto:igr@mail.oa.state.mo.us)

**NEVADA**

Michael Stafford  
 Department of Administration  
 State Clearinghouse  
 209 E. Musser Street, Room 200  
 Carson City, Nevada 89701  
 Telephone: (775) 684-0209  
 Fax: (775) 684-0260  
[mstafford@budget.state.nv.us](mailto:mstafford@budget.state.nv.us)

**NEW HAMPSHIRE**

MaryAnn Manoogian  
 Director, New Hampshire Office of  
 Energy and Planning  
 Attn: Intergovernmental Review Process  
 Benjamin Frost  
 57 Regional Drive  
 Concord, New Hampshire 03301-8519  
 Telephone: (603) 271-2155  
 Fax: (603) 271-2615  
[irp@nh.gov](mailto:irp@nh.gov)

**NEW YORK**

Linda Shkreli  
 Office of Public Security  
 Homeland Security Grants Coordination  
 633 3rd Avenue  
 New York, New York 10017  
 Telephone: (212) 867-1289  
 Fax: (212) 867-1725

**NORTH DAKOTA**

Jim Boyd  
 ND Department of Commerce  
 1600 East Century Avenue, Suite 2  
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 Bismarck, North Dakota 58505-2057  
 Telephone: (701) 328-2676  
 Fax: (701) 328-2308  
[jboyd@state.nd.us](mailto:jboyd@state.nd.us)

<p><b>RHODE ISLAND</b>  Joyce Karger  Department of Administration  Statewide Planning Program  One Capitol Hill  Providence, Rhode Island 02908-5870  Telephone: (401) 222-6181  Fax: (401) 222-2083  <a href="mailto:jkarger@doa.state.ri.us">jkarger@doa.state.ri.us</a></p>	<p><b>SOUTH CAROLINA</b>  SC Clearinghouse  Budget and Control Board  Office of State Budget  1201 Main Street, Suite 950  Columbia, South Carolina 29201  Telephone: (803) 734-0494  Fax: (803) 734-0645  <a href="mailto:clearinghouse@budget.state.sc.us">clearinghouse@budget.state.sc.us</a></p>
<p><b>TEXAS</b>  Denise S. Francis  Director, State Grants Team  Governor's Office of Budget and Planning  P.O. Box 12428  Austin, Texas 78711  Telephone: (512) 305-9415  Fax: (512) 936-2681  <a href="mailto:dfrancis@governor.state.tx.us">dfrancis@governor.state.tx.us</a></p>	<p><b>UTAH</b>  Sophia DiCaro  Utah State Clearinghouse  Governor's Office of Planning and Budget Utah  Capitol Complex  Suite E210, P.O. Box 142210  Salt Lake City, Utah 84114-2210  Telephone: (801) 538-1027  Fax: (801) 538-1547  <a href="mailto:ddicar@utah.gov">ddicar@utah.gov</a></p>
<p><b>WEST VIRGINIA</b>  Fred Cutlip, Director  Community Development Division  West Virginia Development Office  Building #6, Room 553  Charleston, West Virginia 25305  Telephone: (304) 558-4010  Fax: (304) 558-3248  <a href="mailto:fcutlip@wvdo.org">fcutlip@wvdo.org</a></p>	<p><b>WISCONSIN</b>  Jeff Smith  Section Chief, Federal/State Relations  Wisconsin Department of Administration  101 East Wilson Street, 6th Floor  P.O. Box 7868  Madison, Wisconsin 53707  Telephone: (608) 266-0267  Fax: (608) 267-6931  <a href="mailto:jeffrey.smith@doa.state.wi.us">jeffrey.smith@doa.state.wi.us</a></p>
<p><b>AMERICAN SAMOA</b>  Pat M. Galea'i  Federal Grants/Programs Coordinator  Office of Federal Programs/Office of the Governor  Department of Commerce  American Samoa Government  Pago Pago, American Samoa 96799  Telephone: (684) 633-5155  Fax: (684) 633-4195  <a href="mailto:pmgaleai@samoatelco.com">pmgaleai@samoatelco.com</a></p>	<p><b>GUAM</b>  Director  Bureau of Budget and Mgmt. Research  Office of the Governor  P.O. Box 2950  Agana, Guam 96910  Telephone: 011-671-472-2285  Fax: 011-671-472-2825  <a href="mailto:jer@ns.gov.gu">jer@ns.gov.gu</a></p>
<p><b>NORTH MARIANA ISLANDS</b>  Ms. Jacoba T. Seman  Federal Programs Coordinator  Office of Management and Budget  Office of the Governor  Saipan, MP 96950  Telephone: (670) 664-2289  Fax: (670) 664-2272  <a href="mailto:omb.jseman@saipan.com">omb.jseman@saipan.com</a></p>	<p><b>PUERTO RICO</b>  Jose Caballero / Mayra Silva  Puerto Rico Planning Board  Federal Proposals Review Office  Minillas Government Center  P.O. Box 41119  San Juan, Puerto Rico 00940-1119  Telephone: (787) 723-6190  Fax: (787) 722-6783</p>

**VIRGIN ISLANDS**

Ira Mills  
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Second Floor  
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[irmills@usvi.org](mailto:irmills@usvi.org)

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

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

**Please note:** Inquiries about obtaining a federal grant should not be sent to the OMB e-mail or postal address shown above. The best source for this information is the Catalog of Federal Domestic Assistance or CFDA <http://www.cfda.gov> and the Grants.gov Web site (<http://www.grants.gov>).

## **General Education Provisions Act (GEPA)**

**ALL APPLICANTS MUST 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: Applicants must address this provision by attaching a statement to the GEPA "Notice to All Applicants" form that is included in the EOC application package that must be downloaded from Grants.gov.**

# 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 2002-2007. 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: Create a Culture of Achievement*
- Goal 2: Improve Student Achievement*
- Goal 3: Develop Safe Schools and Strong Character*
- Goal 4: Transform Education into an Evidence-based Field*
- Goal 5: Enhance the Quality of and Access to Postsecondary and Adult Education*
- Goal 6: Establish Management Excellence*

The performance indicators for the Federal TRIO Programs are part of the Department's plan for meeting Goal 5: Ensure access to postsecondary education and lifelong learning. One of the Department's objectives for Goal 5 is to "reduce the gaps in college access and completion among student populations differing by race/ethnicity, socioeconomic status, and disability while increasing educational attainment of all."

## What is the Performance Indicator for the EOC Program?

The Federal TRIO Program's overarching goal is: to increase the percentage of low-income, first generation college students who successfully pursue postsecondary education opportunities.

The specific performance measures for the EOC program are the percentage of EOC participants applying for financial aid and the percentage of EOC participants enrolling in college.

The success of the EOC Program is measured by the EOC participants' success in achieving these measures and other indicators of success including enrollment in continuing education programs, postsecondary education admissions, student financial aid, and postsecondary education enrollment. All EOC Program grantees will be required to submit an annual performance report that includes these data. The Department will aggregate the data provided in the annual performance reports from all grantees to measure the overall effectiveness of the EOC Program.

On the following pages, you  
will find:

Instructions for Completing  
the Application

# Instructions for Completing the Application and Forms

The EOC application consists of the following four parts:

- Part I: Application for Federal Assistance (SF 424) and  
Department of Education Supplemental Information for SF 424
- Part II: Department of Education Budget Information Non-Construction  
Programs (ED 524)
- Part III: Program Narrative --  
“Project Narrative Attachment Form”  
“Other Attachments Form”

**NOTE:** In Grants.gov, applicants will find a list of “Mandatory Documents” which includes all of the required forms, assurances, the “Project Narrative Attachment Form” and the “Other Attachments Form.”

The “Project Narrative Attachment Form” (found in the Grants.gov application package) is where applicants will attach their narrative responses to the selection criteria that will be used to evaluate applications submitted for this competition – this section has a strict page limit of 50 pages.

The “Other Attachments Form” (found in the Grants.gov application package) is where applicants will attach the “Educational Opportunity Centers Program Profile” page (which you must copy from page 75 of these instructions).

- Part IV: Assurances and Certifications, and Survey Form -- Applicants must complete the following forms included in the application package:
  - ◇ Assurances for Non-Construction Programs (SF 424B)
  - ◇ Grants.gov Lobbying Form (formerly Certification Regarding Lobbying ED 80-0013)
  - ◇ Disclosure of Lobbying Activities (SF-LLL)
  - ◇ Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion— Lower Tier Covered Transactions (ED 80-0014)
  - ◇ ED GEPA 427 Form
  - ◇ Survey on Ensuring Equal Opportunity for Applicants

# On the following pages, you will find:

## 1. Instructions for the following Standard Forms:

- APPLICATION FOR FEDERAL ASSISTANCE (SF 424)
- DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424
- DEPARTMENT OF EDUCATION BUDGET INFORMATION NON—CONSTRUCTION PROGRAMS (ED 524)
- DISCLOSURE OF LOBBYING ACTIVITIES (SF-LLL)

## 2. Other Information and Guidance:

- SUPPLEMENTAL INFORMATION AND INSTRUCTIONS FOR PREPARING THE APPLICATION
- PROGRAM NARRATIVE INSTRUCTIONS
- FIRST-YEAR BUDGET AND ADDITIONAL BUDGET INFORMATION INSTRUCTIONS (ED FORM 524)

INSTRUCTIONS FOR THE SF-424

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

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

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

Item	Entry:	Item	Entry:
1.	<b>Type of Submission:</b> (Required): Select one type of submission in accordance with agency instructions. <ul style="list-style-type: none"> <li>• Preapplication</li> <li>• Application</li> <li>• Changed/Corrected Application – If requested by the agency, check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this to submit changes after the closing date.</li> </ul>	10.	<b>Name Of Federal Agency:</b> (Required) Enter the name of the Federal agency from which assistance is being requested with this application.
		11.	<b>Catalog Of Federal Domestic Assistance Number/Title:</b> Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.
2.	<b>Type of Application: (Required) Select one type of application in accordance with agency instructions.</b> <ul style="list-style-type: none"> <li>• New – An application that is being submitted to an agency for the first time.</li> <li>• Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals.</li> <li>• Revision - Any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided. <ul style="list-style-type: none"> <li>A. Increase Award      B. Decrease Award</li> <li>C. Increase Duration      D. Decrease Duration</li> <li>E. Other (specify)</li> </ul> </li> </ul>	12.	<b>Funding Opportunity Number/Title:</b> (Required) Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement.
		13.	<b>Competition Identification Number/Title:</b> Enter the Competition Identification Number and title of the competition under which assistance is requested, if applicable.
		14.	<b>Areas Affected By Project:</b> List the areas or entities using the categories (e.g., cities, counties, states, etc.) specified in agency instructions. Use the continuation sheet to enter additional areas, if needed.
3.	<b>Date Received:</b> Leave this field blank. This date will be assigned by the Federal agency.	15.	<b>Descriptive Title of Applicant's Project:</b> (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For preapplications, attach a summary description of the project.
4.	<b>Applicant Identifier:</b> Enter the entity identifier assigned by the Federal agency, if any, or applicant's control number, if applicable.	16.	<b>Congressional Districts Of:</b> (Required) 16a. Enter the applicant's Congressional District, and 16b. Enter all District(s) affected by the program or project. Enter in the format: 2 characters State Abbreviation – 3 characters District Number, e.g., CA-005 for California 5 <sup>th</sup> district, CA-012 for California 12 <sup>th</sup> district, NC-103 for North Carolina's 103 <sup>rd</sup> district. <ul style="list-style-type: none"> <li>• If all congressional districts in a state are affected, enter "all" for the district number, e.g., MD-all for all congressional districts in Maryland.</li> <li>• If nationwide, i.e. all districts within all states are affected, enter US-all.</li> <li>• If the program/project is outside the US, enter 00-000.</li> </ul>
5a	<b>Federal Entity Identifier:</b> Enter the number assigned to your organization by the Federal Agency, if any.		
5b.	<b>Federal Award Identifier:</b> For new applications leave blank. For a continuation or revision to an existing award, enter the previously assigned Federal award identifier number. If a changed/corrected application, enter the Federal Identifier in accordance with agency instructions.		
6.	<b>Date Received by State:</b> Leave this field blank. This date will be assigned by the State, if applicable.		
7.	<b>State Application Identifier:</b> Leave this field blank. This identifier will be assigned by the State, if applicable.		
8.	<b>Applicant Information:</b> Enter the following in accordance with agency instructions:		
	<b>a. Legal Name:</b> (Required): Enter the legal name of applicant that will undertake the assistance activity. This is the name that the organization has registered with the Central Contractor Registry. Information on registering with CCR may be obtained by visiting the Grants.gov website.	17.	<b>Proposed Project Start and End Dates:</b> (Required) Enter the proposed start date and end date of the project.
	<b>b. Employer/Taxpayer Number (EIN/TIN):</b> (Required): Enter the Employer or Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.	18.	<b>Estimated Funding:</b> (Required) Enter the amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.
	<b>c. Organizational DUNS:</b> (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting the Grants.gov website.		
	<b>d. Address:</b> Enter the complete address as follows: Street address (Line		

	<p>1 required), City (Required), County, State (Required, if country is US), Province, Country (Required), Zip/Postal Code (Required, if country is US).</p> <p><b>e. Organizational Unit:</b> Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the assistance activity, if applicable.</p> <p><b>f. Name and contact information of person to be contacted on matters involving this application:</b> Enter the name (First and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.</p>	19.	<p><b>Is Application Subject to Review by State Under Executive Order 12372 Process?</b> Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State</p>		
		20.	<p><b>Is the Applicant Delinquent on any Federal Debt?</b> (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.</p> <p>If yes, include an explanation on the continuation sheet.</p>		
9.	<p><b>Type of Applicant: (Required)</b>  <b>Select up to three applicant type(s) in accordance with agency instructions.</b></p> <table border="0" style="width: 100%;"> <tr> <td style="vertical-align: top; width: 50%;"> <p>A. State Government</p> <p>B. County Government</p> <p>C. City or Township Government</p> <p>D. Special District Government</p> <p>E. Regional Organization</p> <p>F. U.S. Territory or Possession</p> <p>G. Independent School District</p> <p>H. Public/State Controlled Institution of Higher Education</p> <p>I. Indian/Native American Tribal Government (Federally Recognized)</p> <p>J. Indian/Native American Tribal Government (Other than Federally Recognized)</p> <p>K. Indian/Native American Tribally Designated Organization</p> <p>L. Public/Indian Housing Authority</p> </td> <td style="vertical-align: top; width: 50%;"> <p>M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)</p> <p>N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)</p> <p>O. Private Institution of Higher Education</p> <p>P. Individual</p> <p>Q. For-Profit Organization (Other than Small Business)</p> <p>R. Small Business</p> <p>S. Hispanic-serving Institution</p> <p>T. Historically Black Colleges and Universities (HBCUs)</p> <p>U. Tribally Controlled Colleges and Universities (TCCUs)</p> <p>V. Alaska Native and Native Hawaiian Serving Institutions</p> <p>W. Non-domestic (non-US) Entity</p> <p>X. Other (specify)</p> </td> </tr> </table>	<p>A. State Government</p> <p>B. County Government</p> <p>C. City or Township Government</p> <p>D. Special District Government</p> <p>E. Regional Organization</p> <p>F. U.S. Territory or Possession</p> <p>G. Independent School District</p> <p>H. Public/State Controlled Institution of Higher Education</p> <p>I. Indian/Native American Tribal Government (Federally Recognized)</p> <p>J. Indian/Native American Tribal Government (Other than Federally Recognized)</p> <p>K. Indian/Native American Tribally Designated Organization</p> <p>L. Public/Indian Housing Authority</p>	<p>M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)</p> <p>N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)</p> <p>O. Private Institution of Higher Education</p> <p>P. Individual</p> <p>Q. For-Profit Organization (Other than Small Business)</p> <p>R. Small Business</p> <p>S. Hispanic-serving Institution</p> <p>T. Historically Black Colleges and Universities (HBCUs)</p> <p>U. Tribally Controlled Colleges and Universities (TCCUs)</p> <p>V. Alaska Native and Native Hawaiian Serving Institutions</p> <p>W. Non-domestic (non-US) Entity</p> <p>X. Other (specify)</p>	21.	<p><b>Authorized Representative:</b> (Required) To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required) title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant.</p> <p>A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)</p>
<p>A. State Government</p> <p>B. County Government</p> <p>C. City or Township Government</p> <p>D. Special District Government</p> <p>E. Regional Organization</p> <p>F. U.S. Territory or Possession</p> <p>G. Independent School District</p> <p>H. Public/State Controlled Institution of Higher Education</p> <p>I. Indian/Native American Tribal Government (Federally Recognized)</p> <p>J. Indian/Native American Tribal Government (Other than Federally Recognized)</p> <p>K. Indian/Native American Tribally Designated Organization</p> <p>L. Public/Indian Housing Authority</p>	<p>M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)</p> <p>N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)</p> <p>O. Private Institution of Higher Education</p> <p>P. Individual</p> <p>Q. For-Profit Organization (Other than Small Business)</p> <p>R. Small Business</p> <p>S. Hispanic-serving Institution</p> <p>T. Historically Black Colleges and Universities (HBCUs)</p> <p>U. Tribally Controlled Colleges and Universities (TCCUs)</p> <p>V. Alaska Native and Native Hawaiian Serving Institutions</p> <p>W. Non-domestic (non-US) Entity</p> <p>X. Other (specify)</p>				

## 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.

*Paperwork Burden Statement. According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0017. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, DC 20202-4700. If you have comments or concerns regarding the status of your individual submission of this form write directly to: Joyce I. Mays, Application Control Center, U.S. Department of Education, Potomac Center Plaza, 550 12<sup>th</sup> Street, S.W. Room 7076, Washington, DC 20202-4260.*

## DEFINITIONS FOR 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, DC 20202-4250, telephone: (202) 245-6120, and on the U.S. Department of Education’s Protection of*

***Human Subjects in Research Web Site:***

***<http://www.ed.gov/about/offices/list/OCFO/humansub.html>***

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

## Instructions for ED 524

### General Instructions

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

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

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

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

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

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

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

#### Indirect Cost Information:

If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office.

(1): Indicate whether or not your organization has an Indirect Cost Rate Agreement that was approved by the federal government. (2): If you checked "yes" in (1), indicate in (2) the beginning and ending dates covered by the Indirect Cost Rate Agreement. In addition, indicate whether ED or another federal agency (Other) issued the approved agreement. If you check "Other," specify the name of the federal agency that issued the approved agreement. (3): If you are applying for a grant under a Restricted Rate Program (34 CFR 75.563 or 76.563), indicate whether you are using a restricted indirect cost rate that is included on your approved Indirect Cost Rate Agreement or whether you are using a restricted indirect cost rate that complies with 34 CFR

76.564(c)(2). Note: State or local government agencies may not use the provision for a restricted indirect cost rate specified in 34 CFR 76.564(c)(2). Check only one response. Leave blank, if this item is not applicable.

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

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

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

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

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

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

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

1. Provide an itemized budget breakdown, and justification by project year, for each budget category listed in Sections A and B. For grant projects that will be divided into two or more separately budgeted major activities or sub-projects, show for each budget category of a project year the breakdown of the specific expenses attributable to each sub-project or activity.
2. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
3. If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. Specify the estimated amount of the

base to which the indirect cost rate is applied and the total indirect expense. Depending on the grant program to which you are applying and/or your approved Indirect Cost Rate Agreement, some direct cost budget categories in your grant application budget may not be included in the base and multiplied by your indirect cost rate. For example, you must multiply the indirect cost rates of "Training grants" (34 CFR 75.562) and grants under programs with "Supplement

not Supplant" requirements ("Restricted Rate" programs) by a "modified total direct cost" (MTDC) base (34 CFR 75.563 or 76.563). Please indicate which costs are included and which costs are excluded from the base to which the indirect cost rate is applied.

When calculating indirect costs (line 10) for "Training grants" or grants under "Restricted Rate" programs, you must refer to the information and examples on ED's website at:

<http://www.ed.gov/fund/grant/apply/appforms/appforms.html>.

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

4. Provide other explanations or comments you deem necessary.

### **Paperwork Burden Statement**

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

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

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

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

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

**Supplemental Information and Instructions:** The following information supplements the information provided in the “Dear Applicant” letter and the Notice.

**A. Criteria for Funding**

All applications for grants under the EOC Program will be evaluated as new submissions according to the selection criteria listed in the program regulations (34 CFR 644.21). Applicants funded in the 2002-2006 grant cycle are eligible to receive up to 15 points for prior experience (34 CFR 644.22).

If certain conditions are met, applicants from Guam, U.S. Virgin Islands, American Samoa, the Trust Territory of the Pacific Islands (Palau), or the Northern Mariana Islands will receive additional points equal to 10 percent of the applicant’s total score [34 CFR 644.20 (a)(3)]. There is no limit to the number of applications an entity can submit, if each additional application describes programs serving different populations, different target areas or different target schools.

**B. EOC Program Assurances**

All applicants must comply with the EOC statutory requirements (34 CFR 644.10). The assurances are included in the application. By inserting a check mark in the box, item #2, on the “EOC Program Profile,” (see page 75 of the instructions) an applicant certifies that it has read the assurances and will fully comply with the requirements.

**C. Target Schools (if applicable)**

If the EOC project is proposing to serve youths, you must provide the name of each proposed target school. In addition, the application must include the estimated number of participants to be served at each target school. This information must be provided on the “Educational Opportunity Centers Program Profile” page. You are urged to give careful consideration to the identity and number of the target schools you propose to serve. The identity of the proposed target schools should be determined based upon need. The number of proposed target schools should be determined based upon the ability of the project to efficiently and effectively deliver services with the proposed project budget.

**D. Educational Opportunity Centers Program Profile**

All applicants must complete the information requested on this page. The profile contains four mandatory objectives. Applicants are required to propose the percentage at which each of the four mandatory objectives will be attained. **Do not modify, amend or delete any of these objectives.**

Applicants must copy and paste this page into a separate document, or recreate the page exactly as it appears. Then, complete the page, save it to your computer and attach it to the “Other Attachments Form” as either a .doc, .rtf or .pdf document. Do

not modify or amend the contents of the form in any way. The profile page can be found on page 75 of these instructions.

**E. Formatting**

Double-space all text in the application narrative **except** titles, headings, footnotes, captions, quotations, references, and all text in charts, tables and graphs, which may be single-spaced. Applicants may **only** 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. Applicants must use size 12 fonts, **only**.

Include a Table of Contents.

Applicants are strongly encouraged to include an identifying header or footer (using the 1" margin at either the top or bottom of each page) that contains the applicant's name and the page numbers.

Number the pages in consecutive order.

Appendices and attachments should **not** be included, as these items will be counted as part of the 50-page limit.

The "Project Narrative Attachment Form" is limited to 50 pages. This section will include the discussion of the selection criteria. The page limit does not apply to the following:

- Table of Contents
- Application for Federal Assistance Form (SF 424)
- Department of Education Supplemental Information for SF 424
- Department of Education Budget Information Form (ED 524)
- Assurances and Certifications
- ED GEPA 427 Form
- Educational Opportunity Centers Program Profile (include this page in the "Other Attachments Form" found in the Grants.gov application package)

**F. Length of New Award**

Applicants may apply for a maximum of five years of funding. However, only applicants that score in the highest ten percent of all applications will be awarded five-year grants; all other selected applicants will be funded for four years (34 CFR 644.5).

**G. Evaluation of Applications for Awards**

A three-member panel of non-federal reviewers will read 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 prior experience (34 CFR 644.20 – 644.22). If there are insufficient funds to fund two or more applications with the same total score, the Secretary will choose among the tied applications so as to serve geographical areas and eligible populations that have been underserved by the EOC Program (34 CFR 644.20).

**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 maximum amounts specified in the Notice.

**J. Notice to Successful Applicants**

The Department's Office of Legislation and Congressional Affairs will inform the Congress regarding applicants approved for new EOC Program 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.

**K. Notice to Unsuccessful Applicants**

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

**Program Narrative Instructions: The program narrative is to be attached to the “Project Narrative Attachment Form” of the application package in Grants.gov.**

Before preparing the Program Narrative, applicants should review the Dear Applicant Letter, the Notice, program statute, and program regulations for specific guidance and requirements. 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 broad criteria in 34 CFR 644.21 of the EOC Program regulations as identified in this application (see “Authorizing Legislation and Regulations”). 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 EOC selection criteria contain weighted sub-criteria. Applicants **MUST** specifically address each sub-criterion.

Please limit the Program Narrative to 50 pages, double-spaced using one of the acceptable 12-point font types, and number the pages consecutively. The narrative should be written concisely. Only the required information should be submitted. If appendices or other supplemental materials are included, they will count as part of the 50-page limit. Please refer to the Notice (see “Content and Form of Application Submission”) 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. | <u>Need</u> (34 CFR 644.21(a))                            | (24 points) |
| 2. | <u>Objectives</u> (34 CFR 644.21(b))                      | ( 8 points) |
| 3. | <u>Plan of Operation</u> (34 CFR 644.21(c))               | (30 points) |
| 4. | <u>Applicant and Community Support</u> (34 CFR 644.21(d)) | (16 points) |
| 5. | <u>Quality of Personnel</u> (34 CFR 644.21(e))            | ( 9 points) |
| 6. | <u>Evaluation Plan</u> (34 CFR 644.21(g))                 | ( 8 points) |
| 7. | <u>Budget</u> (34 CFR 644.21(f))                          | ( 5 points) |

**Total Maximum Score for Selection Criteria**

**100 points**

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

**Need:** There are four sub-criteria in this section. In responding to this criterion, all four sub-criteria must be addressed. Data for each sub-criterion must be addressed for each of the target schools or target areas identified in the application.

**Objectives:** All applicants must include the four “mandatory” objectives cited on the “Educational Opportunity Centers Program Profile.” Applicants need only fill-in the blank indicating the percentage level of achievement for each of these objectives. The “mandatory” objectives cannot be rewritten, restated or reworded. Applicants may add additional objectives, but are not required. Applicants will not receive additional points or penalties for proposing additional objectives. Applicants must explain how the objectives are ambitious and attainable. Applicants should use

comparative data to show why the proposed percentage is ambitious and attainable based on information provided in the “NEED” section (see criterion #1, above).

**Plan of Operation:** This criterion contains five sub-criteria, and applicants must address all five sub-criteria. This part of the application should provide information on who, what, when and how the project will provide services to meet the goals and objectives. If the applicant proposes to serve youths, the application must include information for the fifth sub-criterion that addresses how the project will serve students at all of the proposed target schools. Applicants must also provide information on how it will ensure that sufficient resources are available to effectively and efficiently serve the proposed number of target schools.

**Applicant & Community Support:** There are two sub-criteria that must be addressed. Applicants should not submit floor plans or letters of support or commitment in the application—this information can be described or summarized as narrative, or in a list, or in a chart. If submitted, these items will count towards the 50-page limit.

**Quality of Personnel:** Applicants must address all of the sub-criteria in this section. Applicants should provide the minimum qualifications for all project personnel positions. The minimum educational qualifications should include the type of degree required and the acceptable field(s) of study. The type and minimum amount of work-related experience should also be described for each position. Applicants are not required to submit resumes or job descriptions in the application—this information can be described or summarized. The “plan to employ personnel who have succeeded in overcoming barriers similar to the target population to be served” should be specific. The inclusion of an equal employment opportunity statement and/or a non-discriminatory employment practices policy alone is not an adequate response to this criterion.

**Evaluation Plan:** There are three sub-criteria in this section. A strong evaluation plan should be included and should be used, as appropriate, to shape the development of the project from the beginning of the grant period. The evaluation plan should include benchmarks to monitor progress toward meeting specific project objectives and should include program measures to assess the impact on teaching and learning or other important outcomes for project participants. More specifically, the plan should identify the individual and/or organization that has agreed to serve as evaluator for the project and describe the qualifications of the evaluator. The plan should describe the evaluation design, indicating: (1) what types of data will be collected; (2) when various types of data will be collected; (3) what methods will be used; (4) what instruments will be developed and when; (5) how the data will be analyzed; (6) when reports and outcomes will be available; and (7) how the applicant will use the information collected through evaluation to monitor progress of the funded project and to provide accountability information both about success at the initial site and effective strategies for replication in other settings. Applicants are encouraged to devote an appropriate level of resources to project evaluation. The use of an outside evaluator is not required.

**Budget:** There are no sub-criteria for this section. Currently funded projects will receive a maximum of \$220,000 or an amount up to 3 percent more than the current funding level (whichever is greater) for the first year. “NEW” projects will receive a maximum of \$220,000 for the first year. In response to this criterion, applicants must provide a detailed, itemized budget AND a detailed budget narrative (budget notes) for the first-year (12-months) budget period, only. Additional budget instructions are cited below:

## **First Year Budget and Budget Summary Form (ED Form 524) Instructions:**

**NOTE:** Applicants must submit (1) a budget summary form to categorize requested funds (ED Form 524), **AND** (2) a detailed itemized budget for the first 12-month budget period, **AND** (3) a budget narrative to explain or justify costs.

**The budget summary** is to be included on the “Budget Information – Non-Construction Programs” (ED Form 524).

**Both the detailed itemized budget and budget narrative for the first 12-month budget period only**, are to be included as part of the **BUDGET selection criterion** in the 50-page program narrative which you must attach to the “Project Narrative Attachment Form” in the application package in Grants.gov.

This section requests information on the applicant’s financial plan for carrying out the project. Both the federal and non-federal shares are to be included on both the summary form (ED Form 524) and the itemized budget.

For this competition, applicants may receive funding for up to five years. The Department is requesting that you complete the Budget Summary Form (ED Form 524) for the 2006-2007 year and provide **both an itemized budget and a detailed budget narrative for the first 12-month budget period, only**. It is not necessary to provide a budget summary for the total grant period requested, up to five years. The funding level for the first year is stipulated in the “Maximum Award” section of the Notice. The Department will determine the funding levels for each additional year of the grant award. The budget period dates should begin on September 1 and end on August 31.

The EOC Program selection criteria provide for an applicant to receive up to five points for its proposed budget. {See 34 CFR 644.21(f)} The budget must include all costs that are allowable, reasonable and necessary for carrying out the objectives of the EOC Program. Among the costs that may be supported with grant funds are:

1. **Personnel:** On line 1 (ED Form 524), enter only the total cost for project personnel salaries and wages. [Fees and expenses for consultants should be included on line 8.] The itemized budget should include the total commitment of time and the total salary to be charged to the project for each 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 staff member; the salary for each staff member; and the total salary costs to be charged to the grant.
2. **Fringe Benefits:** On line 2 (ED Form 524), enter the total amount of fringe benefits. The institution/agency’s normal fringe benefit contribution may be charged to the grant. Leave this blank if fringe benefits applicable to direct salaries and wages are treated as part of the indirect costs. In the budget narrative, include an explanation and appropriate justification if the institution/agency’s normal fringe benefit contribution exceeds 20 percent of salaries.
3. **Travel:** On line 3 (ED Form 524), provide the total cost of travel expenses for project personnel and student participants. [Consultants’ travel should be included on line 8.] On the itemized 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/agency rate

should be used. Reimbursement is allowed for taxicab, bus, train, or limousine transportation. Per diem at the established institution/agency 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). No foreign travel will be authorized under the grant.

The Federal TRIO Programs has developed the following guidelines for recommending approval of travel. All travel must be related to the project's overall purpose and proposed activities.

- Project Director's Travel – Per Year

- A. One National Conference;  
One Regional Meeting;  
One State Meeting; **and**
- B. Travel for participation in one staff development training opportunity under the Training Program for Federal TRIO Programs.

- Full-time Professional Staff Travel – Per Year

- A. One National, Regional, **or** State Meeting; **and**
- B. Travel for participation in one staff development training opportunity under the Training Program for Federal TRIO Programs.

4. Equipment: On line 4 (ED Form 524), indicate the total cost of equipment – which is defined as 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.] On the budget, include a list of all equipment in the following format: item, quantity, cost per unit, and total cost. In the budget narrative, explain why the requested equipment is necessary to carry out project activities.
5. Supplies: On line 5 (ED Form 524), include the total cost of all other tangible personal property that was not included as "equipment" on line 4. On 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 total 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, and communication costs, rental of space, utilities, custodial services, and printing costs. On the budget, provide a breakdown of all direct costs not clearly covered by other budget categories.

Consultants: If the project proposes to use 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/agency 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 total amount of indirect costs that you propose to charge against the grant.

All of the grants awarded under the EOC Program (84.066A) are designated training grants. The Education Department Administrative Regulations (EDGAR) of the Department of Education (ED) limit reimbursement to grantees for indirect costs they incur under training grants to the grantee's actual indirect costs as determined by the grantee's negotiated indirect costs agreement or a maximum of 8% of a modified total direct costs base, **whichever is less**. (**NOTE:** This limitation does not apply to State agencies, local governments, or federally recognized Indian tribal governments. [§75.562(c)(2)])

Grantees charging indirect costs to an ED grant are required to have a negotiated rate with their *cognizant agency* (i.e., either the Federal agency from which it has received the most direct funding that is subject to indirect costs support, or a particular agency specifically assigned cognizance by the Office of Management and Budget). Although applicants are not required to submit with their application a copy of their indirect costs agreement to claim the 8% rate for funding received in this program, they are required to have documentation available for audit that shows that their negotiated indirect costs rate is at least 8% [§75.563(d)]. In the event that they receive an award under this program, applicants without a negotiated indirect costs rate with its cognizant agency should seek to identify that agency and contact it to obtain an approved rate as soon as possible after award notification.

Applicants should be aware that amounts representing the difference between the 8% rate and a greater indirect costs rate negotiated with a cognizant agency may **not** be charged to direct costs categories, used to satisfy matching or cost-sharing requirements, or charged to another Federal award. [§75.563(c)(3)]

11. Training Stipends: Not applicable. Leave blank.
12. Total Costs: On line 12 (ED Form 524), provide the total amount that you are requesting – the sum of lines 9 and 10. Note: This amount should also be the same as that shown as 14a on the “Application for Federal Assistance” (SF 424).

# Educational Opportunity Centers Program Profile

**INSTRUCTIONS:** *ALL applicants must complete this page. The completed page must be attached to the “Other Attachments Form” in the application package in Grants.gov {as either a .doc, .rft or. pdf document} in the application. DO NOT MODIFY OR AMEND THE CONTENTS OF THIS PAGE.*

1. Institution/Agency/Organization (Legal Name): \_\_\_\_\_

2.  By checking this box, an applicant certifies that it will comply with the statutory requirements or program assurances cited in the EOC program regulations (644.10). The assurances are stated on Page 46 of the application instructions.

3. Applicants must indicate the address where the project will be located:  
 Project Address: \_\_\_\_\_ City: \_\_\_\_\_  
 State: \_\_\_\_\_ Zip: \_\_\_\_\_

4. Applicants currently funded under the EOC Program must provide their current award number. **(New applicants should leave this item blank).** P066A \_\_\_\_\_

5. Proposed total number of participants to be served each year by this project: \_\_\_\_\_

6. Multiple applications submitted: No: \_\_\_\_\_ Yes: \_\_\_\_\_ How many? \_\_\_\_\_

7. List the target schools and estimated number of participants to be served at each target school **(if applicable)**:

Target School Name	Participant #	Target School Name	Participant #
(1) _____	_____	(6) _____	_____
(2) _____	_____	(7) _____	_____
(3) _____	_____	(8) _____	_____
(4) _____	_____	(9) _____	_____
(5) _____	_____	(10) _____	_____

Note: The project must be located in a setting accessible to the individuals the project proposes to serve. Add additional sheet, if needed.

8. “Mandatory” Program Objectives: (Please fill in the proposed percent (%) for each objective).

(a) Enrollment in a continuing education program:  
 \_\_\_\_\_% of participants not already enrolled in a continuing education program who has not obtained a high school diploma or high school equivalency certificate, will enroll in a continuing education program during each budget period.

(b) Student financial aid:  
 \_\_\_\_\_% of participants not already enrolled in a postsecondary school who: 1) is a high school senior; 2) is a high school graduate; or 3) has obtained a high school equivalency certificate, will apply for financial aid during each budget period.

(c) Postsecondary education admissions:  
 \_\_\_\_\_% of participants not already enrolled in a postsecondary school who: 1) is a high school senior; 2) is a high school graduate; or 3) has obtained a high school equivalency certificate, will apply for postsecondary school admission during each budget period.

(d) Postsecondary education enrollment:  
 \_\_\_\_\_% of participants not already enrolled in a postsecondary school who: 1) is a high school senior; 2) is a high school graduate; or 3) has obtained a high school equivalency certificate, will enroll in a program of postsecondary education during each budget period (or during the next fall term).

Please note the following definition:

**enrolled:** a participant who has completed the registration process, except for the payment of tuition and fees

## Application Checklist

Use This Checklist While Preparing Your Application. All items listed on this checklist are required.

- Application for Federal Assistance - (SF 424)
- Department of Education Supplemental Information Form for the SF 424
- Department of Education Budget Summary Form - (ED 524) – Sections A & B
- Program Narrative (50-page limit addressing the selection criteria) – Attach this document to the “Project Narrative Attachment Form” in the Grants.gov application package.
- Educational Opportunity Centers Program Profile Page – Attach this document to the “Other Attachments Form” in the Grants.gov application package.
- GEPA Section 427 Requirement – Attach the response to the GEPA Form in the Grants.gov application package.
- Assurances and Certifications (These documents are included as “Mandatory Documents” in the “Application Package” in Grants.gov.)
  - Assurances – Non-Construction Programs (ED 424B)
  - Grants.gov Lobbying Form (Formerly ED Form 80-0013)
  - Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Covered Transactions (ED 80-0014)
  - Disclosure of Lobbying Activities (SF LLL)
  - Survey on Ensuring Equal Opportunity for Applicants