

**U.S. DEPARTMENT OF EDUCATION**

Office of Innovation and Improvement  
Washington, DC 20202-5970



**Fiscal Year 2009**

**APPLICATION FOR GRANTS  
UNDER THE  
DC SCHOOL CHOICE INCENTIVE**

**(CFDA NUMBER: 84.370A)**

Form Approved  
OMB No. 1855-0015  
Expiration Date: 02/28/2011

**CLOSING DATE: July 13, 2009**

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# Competition Highlights

**The DC School Choice Incentive applications submitted for FY 2009 must be submitted in paper format by mail or hand delivery. For additional information about how to submit your application, please refer to the Federal Register Notice, section IV. 6.**

1. The 2009 DC School Choice Incentive competition includes one absolute priority. The priority is as follows:

**Absolute Priority:** For FY 2009, this priority is an absolute priority. Under 34 CFR 75.105(c)(3) we consider only applications that meet this priority.

**This priority is: Scholarships for Currently Enrolled Participants During the 2009-2010 School Year.**

Scholarship funds must be used to provide scholarships during the 2009-2010 school year only to currently enrolled participants who are DC residents and meet the eligibility requirements related to family income. Funds awarded under this competition may not be used to provide scholarships for new applicants or for current scholarship recipients after the 2009-2010 school year.

This priority is explained in detail in the Notice Inviting Applications contained in this application package. Applicants are urged to fully review the Notice Inviting Applications carefully before preparing your application.

**Performance Measure:** The long-term performance indicator for this program is whether, at the end of the program, the student achievement gains of participants are greater than that of students in control or comparison groups. Data for the performance measure will be collected through the program evaluation.

## **Additional Requirements:**

- (a) An eligible entity receiving a grant under this program may award a scholarship, for the second or any succeeding years of a student's participation in the scholarship program, to a student who is a DC resident and comes from a household whose income does not exceed 200 percent (or, in the case of an eligible student whose first year of participation in the program was an academic year ending in June 2005 or June 2006 and whose second or succeeding year is an academic year ending on or before June 2009, 300 percent) of the poverty line.
- (b) An eligible entity must assure that it will comply with all requests regarding the evaluation carried out under section 309 of the Act. Additional information regarding this evaluation can be found in the application package for this program.
- (c) An eligible entity must be willing and able to work with other entities affiliated with the Federal and District governments, as well as with other organizations that might conduct activities integral to the success of the program, including, as appropriate, determining the household income of scholarship recipients and ensuring the ongoing eligibility of schools participating in the program. Additionally, an eligible entity must demonstrate how it will communicate and coordinate with the current grantee, as needed, to ensure a seamless and smooth transition between the 2008-2009 and 2009-2010 school years for families and schools participating in the scholarship program.

# Supplemental Information

## **General Information**

The following information supplements the information provided in the Notice.

### **A. Eligible Applicants**

Eligible Applicants:

- (a) An educational entity of the District of Columbia Government.
- (b) A nonprofit organization.
- (c) A consortium of nonprofit organizations.

Note: To receive an award under this program, an applicant must ensure that a majority of the members of its voting board or governing organization are residents of the District of Columbia.

### **B. Criteria for Funding**

All applications for grants under the DC School Choice Incentive competition will be evaluated using all statutory and application requirements and selection criteria and priorities as reflected in the relevant Federal Register notice for the FY2009 grant competition only in accordance with section 437(d)(2) of GEPA, 20 U.S.C. 1232(d)(2). See page 13.

### **C. Length of New Award**

Applicants may apply for a maximum grant performance period of **up to 12 months**. Applicants should submit a plan for the grant activities and the budget for the full period of time for which they apply.

### **D. Evaluation of Applications for Awards**

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

### **E. Applicant Funding**

The maximum award amount is \$12,600,000 for a 1-year project period. We may choose not to consider applications with budget requests for the 12-month budget period that exceed this amount, if we conclude, during our initial review of the

application, that the proposed goals and objectives cannot be obtained with the specified maximum amount.

**F. Priority**

The FY 2009 DC School Choice Incentive competition includes **one absolute priority**.

**G. Funding Restrictions: Use of Funds**

(a) Scholarships.

(1) A grantee must use grant funds to provide currently participating students who are D.C. residents and who meet the household income requirements of this program with scholarships to pay the tuition, fees, and transportation expenses, if any, to enable them to attend a participating District nonpublic elementary school or secondary school of their choice. A grantee must ensure that the amount of any tuition or fees charged by a school to a student participating in the program does not exceed the amount of tuition or fees that the school customarily charges to students who do not participate in the program. An entity that receives an award under this program will be responsible for ensuring compliance with this requirement by each participating school.

(2) A grantee may award scholarships in varying amounts (subject to paragraph (b) of this section), with larger amounts going to students with the greatest need.

(b) Annual Limit on Amount of Scholarship:

The amount of assistance provided to any eligible student by a grantee with funds received under this program may not exceed \$7,500 for any academic year.

(c) Administrative Expenses:

A grantee may use not more than 3 percent of the amount provided under the grant each year for the administrative expenses of carrying out its program. We reference additional regulations outlining funding restrictions in the Applicable Regulations section in the Federal Closing Date Notice.

**H. Page Limit**

The application narrative [Part III of the application] is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. You must limit the application narrative [Part III] to the equivalent of no more than 25 pages. The page limit does not apply to Part I, the cover sheet; Part II, the budget section, including the narrative budget justification; Part IV, the assurances and certifications; or the one-page abstract, the resumes, the bibliography, or the letters of support. However, the page limit does apply to all of the application narrative section [Part III].

**I. Notice to the Successful Applicant**

The Department's Office of Legislation and Congressional Affairs will inform Congress regarding applicants approved for the new DC School Choice grant. The successful applicant will receive an award notice by mail shortly after Congress is notified. No funding information will be released before Congress is notified.

**J. Notice to Unsuccessful Applicants**

Unsuccessful applicants will be notified in writing following the notice to successful applicants. All applicants (successful and unsuccessful) will receive copies of reviewers' scores and comments for reference purposes.

**K. Reporting**

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

If the grantee is unable to submit their report electronically, they may submit a hard copy of these reports to the assigned program officer by the required date. These performance reports will assist in determining whether or not the DC School Choice grantee is making substantial progress toward meeting the approved project objectives.

**L. Program Contact Person**

For further information, please contact:

Program Officer: Michelle Johnson Armstrong

Address: DC School Choice Incentive Program  
U.S. Department of Education  
400 Maryland Ave., SW, Room 4W217  
Washington, DC 20202-5970

Telephone: (202) 205-1729

Fax: (202) 205-5630

E-mail Address: [Michelle.Armstrong@ed.gov](mailto:Michelle.Armstrong@ed.gov)

Applicants may also check the program's website or e-mail questions to the program contact e-mail address.

Program Website: <http://www.ed.gov/programs/dcchoice/index.html>

4000-01-U

DEPARTMENT OF EDUCATION

Office of Innovation and Improvement

Overview Information

DC School Choice Incentive Program

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

Catalog of Federal Domestic Assistance (CFDA) Number: 84.370A.

Dates:

Applications Available: April 23, 2009.

Deadline for Notice of Intent to Apply: May 08, 2009

Deadline for Transmittal of Applications: May 26, 2009

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program: The DC School Choice Incentive Program, established under the DC School Choice Incentive Act of 2003 (Act), provides low-income parents residing in the District of Columbia (District) with expanded options for the education of their children.

Background: For FY 2009, the Department will be awarding one grant on a competitive basis to an eligible applicant to continue a scholarship program to provide students who currently have scholarships under this program with scholarships for the 2009-2010 school year. Students are eligible to receive scholarships under this program if they (1) are residents of the District, and (2) come from households whose income does not exceed 200 percent (or, in the

case of an eligible student whose first year of participation in the program was an academic year ending in June 2005 or June 2006 and whose second or succeeding year is an academic year ending on or before June 2009, 300 percent) of the poverty line. These scholarships may be used to pay tuition and fees and transportation expenses, if any, to enable students to attend a participating District nonpublic elementary or secondary school.

Under the absolute priority established in this notice, funds awarded under this competition may only be used to award scholarships to students currently participating in this program. Accordingly, in addition to the requirements described in the preceding paragraph, to be eligible for a scholarship for the 2009-2010 school year, a student must currently be receiving a scholarship through the DC School Choice Incentive Program.

We are establishing this absolute priority in light of the prohibition in Public Law 111-8, the Omnibus Appropriations Act, 2009, against using funds appropriated under that law, or any other law, for scholarships under this program after the conclusion of the 2009-2010 school year and the direction in the Joint Explanatory Statement for Public Law 111-8 to limit scholarships for 2009-2010 to students who are currently receiving scholarships under this program. Specifically, Public Law 111-8 provides, with respect to this program that "use of any funds in this Act or any other [law] for opportunity scholarships after school year 2009-2010 shall only be available upon enactment of reauthorization of that program by Congress and the adoption of legislation by the District of Columbia approving such reauthorization." In addition, the Joint Explanatory

Statement for Public Law 111-8 directs that “[f]unding provided for the private scholarship program shall be used for currently-enrolled participants rather than new applicants.” The Chancellor of the District of Columbia Public Schools is directed to “promptly take steps to minimize potential disruption and ensure smooth transition for any students seeking enrollment in the public school system as a result of any changes made to the private scholarship program affecting periods after school year 2009-2010.” See the Joint Explanatory Statement, Division D, Title VIII, Federal Payment for School Improvement, at <http://thomas.loc.gov/home/approp/app09.html>.

Priorities: We are establishing this priority for the FY 2009 grant competition only in accordance with section 437(d)(2) of the General Education Provisions Act (GEPA), 20 U.S.C. 1232(d)(2).

Absolute Priority: For FY 2009, this priority is an absolute priority. Under 34 CFR 75.105(c)(3) we consider only applications that meet this priority.

This priority is:

Scholarships for Currently Enrolled Participants During the 2009-2010 School Year.

Scholarship funds must be used to provide scholarships during the 2009-2010 school year only to currently enrolled participants who are DC residents and meet the eligibility requirements related to family income. Funds awarded under this competition may not be used to provide scholarships for new applicants or for current scholarship recipients after the 2009-2010 school year.

Waiver of Proposed Rulemaking: Under the Administrative Procedure Act (5 U.S.C. 553), the Department generally offers interested

parties the opportunity to comment on proposed priorities, selection criteria, and non-statutory requirements. Section 437(d)(2) of GEPA, however, allows the Secretary to exempt from rulemaking requirements, regulations where application of those requirements will cause extreme hardship to the intended beneficiaries of the program. Conducting notice-and-comment rulemaking for the absolute priority, selection criteria, and non-statutory requirement (in section III. 3. (c))

established in this notice would preclude timely implementation of this program for the 2009-2010 school year and, thereby, cause extreme hardship to the intended beneficiaries of this program, namely those students who are currently receiving scholarships under this program and are eligible to receive scholarships in the 2009-2010 school year. In order to ensure the timely award of scholarships and continued participation of these students in this program for the upcoming school year, the Secretary has decided to forgo comment on the absolute priority, selection criteria, and non-statutory requirement (in section III. 3. (c)) under section 437(d)(2) of GEPA. The absolute priority, selection criteria, and non-statutory requirement (in section III. 3. (c)) will apply to the FY 2009 grant competition only.

Program Authority: DC Code §§ 38-1851.01 - 38-1851.11; Omnibus Appropriations Act, 2009, Pub. L. No. 111-8.

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

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 grant.

Estimated Available Funds: \$12,600,000.

Estimated Number of Awards: 1.

Note: The Department plans to fund this project entirely from FY 2009 funds.

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

Project Period: Up to 12 months.

Budget Period: Up to 12 months.

## III. Eligibility Information

### 1. Eligible Applicants:

(a) An educational entity of the District of Columbia Government.

(b) A nonprofit organization.

(c) A consortium of nonprofit organizations.

Note: To receive an award under this program, an applicant must ensure that a majority of the members of its voting board or governing organization are residents of the District of Columbia.

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

3. Additional Requirements: (a) An eligible entity receiving a grant under this program may award a scholarship, for the second or any succeeding years of a student's participation in the scholarship

program, to a student who is a DC resident and comes from a household whose income does not exceed 200 percent (or, in the case of an eligible student whose first year of participation in the program was an academic year ending in June 2005 or June 2006 and whose second or succeeding year is an academic year ending on or before June 2009, 300 percent) of the poverty line.

(b) An eligible entity must assure that it will comply with all requests regarding the evaluation carried out under section 309 of the Act. Additional information regarding this evaluation can be found in the application package for this program.

(c) An eligible entity must be willing and able to work with other entities affiliated with the Federal and District governments, as well as with other organizations that might conduct activities integral to the success of the program, including, as appropriate, determining the household income of scholarship recipients and ensuring the ongoing eligibility of schools participating in the program. Additionally, an eligible entity must demonstrate how it will communicate and coordinate with the current grantee, as needed, to ensure a seamless and smooth transition between the 2008-2009 and 2009-2010 school years for families and schools participating in the scholarship program.

4. Other: Definitions: As used in this program:

(a) Elementary school means an institutional day or residential school, including a public elementary charter school, that provides elementary education, as determined under District of Columbia law.

(b) Parent includes a legal guardian or other person standing in loco parentis (such as a grandparent or stepparent with whom the child lives, or a person who is legally responsible for the child's welfare).

(c) Poverty line means the poverty line (as defined by the Office of Management and Budget and revised annually in accordance with section 673(2) of the Community Services Block Grant Act) applicable to a family of the size involved.

(d) Secondary school means an institutional day or residential school, including a public secondary charter school, that provides secondary education, as determined under District of Columbia law, except that the term does not include any education beyond grade 12.

#### IV. Application and Submission Information

1. Address to Request Application Package: Michelle Armstrong, U.S. Department of Education, 400 Maryland Avenue, SW., room 4W217, Washington, DC 20202-5970. Telephone: (202) 205-1729 or by e-mail: Michelle.Armstrong@ed.gov.

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

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

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

Notice of Intent to Apply: The Department will be able to develop a more efficient process for reviewing grant applications if it has a better understanding of the number of entities that intend to apply for funding under this competition. Therefore, the Secretary strongly encourages each potential applicant to notify the Department by sending a short e-mail message indicating the applicant's intent to submit an application for funding. The e-mail need not include information regarding the content of the proposed application, only the applicant's intent to submit it. This e-mail notification should be sent to Michelle.Armstrong@ed.gov.

Applicants that fail to provide this e-mail notification may still apply for funding.

Page Limit: The application narrative [Part III of the application] is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. You must limit the application narrative [Part III] to the equivalent of no more than 25 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, including titles, headings, footnotes, quotations, references, and captions, as well as all text in charts, tables, figures, and graphs.

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

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

(including Times Roman or Arial Narrow) will not be accepted.

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

3. Submission Dates and Times:

Applications Available: April 23, 2009

Deadline for Notice of Intent to Apply: May 08, 2009

Deadline for Transmittal of Applications: May 26, 2009

Applications for grants under this program must be submitted in paper format by mail or hand delivery. For information (including dates and times) about how to submit your application by mail or hand delivery, please refer to section IV. 6. Other Submission Requirements of this notice.

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

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

4. Intergovernmental Review: This competition is 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 competition.

5. Funding Restrictions: Use of Funds.

(a) Scholarships.

(1) A grantee must use grant funds to provide currently participating students who are D.C. residents and who meet the household income requirements of this program with scholarships to pay the tuition, fees, and transportation expenses, if any, to enable them to attend a participating District nonpublic elementary school or secondary school of their choice. A grantee must ensure that the amount of any tuition or fees charged by a school to a student participating in the program does not exceed the amount of tuition or fees that the school customarily charges to students who do not participate in the program. An entity that receives an award under this program will be responsible for ensuring compliance with this requirement by each participating school.

(2) A grantee may award scholarships in varying amounts (subject to paragraph (b) of this section), with larger amounts going to students with the greatest need.

(b) Annual Limit on Amount of Scholarship: The amount of assistance provided to any eligible student by a grantee with funds received under this program may not exceed \$7,500 for any academic year.

(c) Administrative Expenses: A grantee may use not more than 3 percent of the amount provided under the grant each year for the administrative expenses of carrying out its program.

We reference additional regulations outlining funding restrictions in the Applicable Regulations section in this notice.

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

a. Submission of Applications by Mail.

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

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.370A)  
LBJ Basement Level 1  
400 Maryland Avenue, SW.  
Washington, DC 20202-4260

We request that you submit two additional copies of your application, in addition to the original and the required two copies (for a total of one original and four copies).

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

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

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

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

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

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

(1) A private metered postmark.

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

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

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

b. Submission of Applications by Hand Delivery.

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

U.S. Department of Education

Application Control Center

Attention: (CFDA Number 84.370A)

550 12th Street, SW.

Room 7041, Potomac Center Plaza

Washington, DC 20202-4260

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

We request that you submit two additional copies of your application, in addition to the original and the required two copies (for a total of one original and four copies).

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

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

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

**V. *Application Review Information.***

1. Selection Criteria: We are establishing the following selection criteria for the FY 2009 grant competition only in accordance with section 437(d)(2) of GEPA, 20 U.S.C. 1232(d)(2). The maximum score for all of the selection criteria is 120 points. The maximum score for each criterion is indicated in parentheses with the criterion.

(a) Selection of students (up to 10 points). In determining the quality of the applicant's plan for the selection of students to receive scholarships, the Secretary considers the extent to which--

(i) The application provides a description of the lottery that would be used for selecting students to attend a participating school if more students apply to, and are accepted for enrollment by, that school than it can accommodate; and

(ii) The application provides assurances and appropriate documentation that the applicant, if funded, will cooperate with the evaluation contractor selected by the Department and the District of Columbia Government in planning and implementing the lottery for selecting program participants.

(b) Notification of parents (up to 10 points). In determining the quality of the applicant's plan to notify parents of currently participating students about schools they may attend, the Secretary considers the extent to which the application provides evidence that parents will receive sufficient information about their options to allow them to make informed decisions, including, but not limited to, information on each participating school about the qualifications of its teachers; the educational philosophy and available courses and programs of the school; the achievement of the school's students; student expectations (such as uniforms, discipline policy, honor code, and required classes); and the safety and school environment of the school.

(c) Amount of scholarship (up to 10 points). In determining the quality of the applicant's plan for establishing the amount of a

scholarship to an eligible student, the Secretary considers the extent to which the applicant's methods--

(i) Provide a mechanism to award scholarships for tuition and fees, and transportation expenses, if any, in larger amounts to those eligible students with the greatest need, provided they do not exceed the maximum annual scholarship amount; and

(ii) Ensure that the amount of tuition and fees charged by a participating school to a scholarship student under the program will not exceed the amount of tuition and fees that the school customarily charges to students who do not participate in the program.

(d) Participating schools (up to 10 points). In determining the quality of the applicant's plan for identifying participating nonpublic schools, the Secretary considers the extent to which the application--

(i) Describes the applicant's plan to seek out non-public elementary and secondary schools that operate lawfully in the District, to participate in the program during the 2009-2010 school year;

(ii) Describes how the applicant will ensure that participating schools will comply with the requirements of the Act and will provide the information needed for the applicant to meet the reporting requirements of the Act; and

(iii) Describes how the applicant will ensure that participating schools are financially responsible and will use the funds received under this program effectively.

(e) Renewal of scholarships (up to 20 points). In determining the quality of the applicant's plan for the renewal of scholarships, the Secretary considers the applicant's methods for determining the eligibility of participating students to continue in the program.

(f) Quality of project personnel (up to 20 points). In determining the quality of the personnel of the proposed project, the Secretary considers the qualifications, including relevant training and experience, of the project director, other key personnel, and any project consultants in such areas as--

- (i) Working with schools, parents, and government officials;
- (ii) Operating a scholarship program; and
- (iii) Establishing and maintaining record-keeping requirements.

(g) Organizational capability (up to 20 points). In determining the applicant's organizational capability, the Secretary considers--

(i) The amount and quality of experience the applicant has with the types of activities it proposes to undertake in its application, such as conducting outreach, administering funds, tracking scholarships, and ensuring that scholarship funds are used for the payment of tuition and fees and transportation expenses, if any, in accordance with the Act; and

- (ii) The applicant's financial soundness.

(h) Reports (up to 10 points). In determining the quality of the applicant's reporting plan, the Secretary considers the extent to which the applicant's plan for assembling the information and submitting activities reports, achievement reports, and reports to parents complies with the requirements under section 310 of the Act.

(i) Collection of data (up to 10 points). In determining the quality of the applicant's plan to collect data, the Secretary considers the extent to which the applicant documents how it will cooperate with the evaluation contractor to collect data, including, but not limited to, student and parent demographics and income, parent perception of a student's current school (including safety), parent awareness of their choice options, contact information for parents, and consent forms for ongoing data collection.

## VI. Award Administration Information

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

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

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

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

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

current performance and financial expenditure information as directed by the Secretary under 34 CFR 75.118. The Secretary may also require more frequent performance reports under 34 CFR 75.720(c). For specific requirements on reporting, please go to [www.ed.gov/fund/grant/apply/appforms/appforms.html](http://www.ed.gov/fund/grant/apply/appforms/appforms.html).

4. Performance Measures: The long-term performance indicator for this program is whether, at the end of the program, the student achievement gains of participants are greater than that of students in control or comparison groups. Data for the performance measure will be collected through the program evaluation.

#### VII. Agency Contact

For Further Information Contact: Michelle Armstrong, U.S. Department of Education, 400 Maryland Avenue, SW., room 4W217, Washington, DC 20202-5970. Telephone: (202) 205-1729 or by e-mail: [Michelle.Armstrong@ed.gov](mailto:Michelle.Armstrong@ed.gov). If you use a TDD, call the FRS, toll free, at 1-800-877-8339.

#### VIII. Other Information

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

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

\_\_\_\_\_

James H. Shelton III,  
Assistant Deputy Secretary for  
Innovation and Improvement.

DEPARTMENT OF EDUCATION

Office of Innovation and Improvement

Overview Information

DC School Choice Incentive Program

Notice reopening fiscal year (FY) 2009 competition for the DC School Choice Incentive Program.

Catalog of Federal Domestic Assistance (CFDA) Number: 84.370A.

SUMMARY: On April 23, 2009, we published in the Federal Register (74 FR 18567) a notice inviting applications for new awards for FY 2009 for the DC School Choice Incentive Program. The original notice for the FY 2009 DC School Choice Incentive Program competition established a May 26, 2009, deadline date for eligible applicants to apply for funding under this program. The notice in the Federal Register required applicants for this competition to submit their applications in paper format by mail or hand delivery. The application package and instructions on the Department's Web site, however, mistakenly instructed applicants to use the e-Grants.ed.gov Web site. Because of the differing instructions, we are reopening and establishing a new deadline for the submission of applications for the FY 2009 competition for the DC School Choice Incentive Program competition. Applicants must refer to the notice inviting applications for new awards that was published in the Federal Register on April 23, 2009 (74 FR 18567) for all other requirements concerning this reopened competition.

The new deadline date is:

Deadline for Transmittal of Applications: [INSERT DATE 7 DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER].

Applications for grants under this competition must be submitted in paper format by mail or hand delivery. For information (other than the deadline for submission) about how to submit your application, please refer to section IV. 6. Other Submission Requirements in the April 23, 2009 Federal Register notice (74 FR 18527).

Note: For all applicants who previously submitted an application in accordance with the April 23, 2009 Federal Register notice with the original application deadline of May 26, 2009; you must submit a new application. The current application package is posted on the program's Web site at:

<http://www.ed.gov/programs/dcchoice/applicant.html>.

FOR FURTHER INFORMATION CONTACT: Michelle Armstrong, U.S. Department of Education, 400 Maryland Avenue, SW., room 4W217, Washington, DC 20202-5970. Telephone: (202) 205-1729 or by e-mail at Michelle.Armstrong@ed.gov.

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

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

Electronic Access to This Document: You can view this document, as well as all other documents of this Department published in the

Federal Register, in text or Adobe Portable Document Format (PDF) on the Internet at the following site: [www.ed.gov/news/fedregister](http://www.ed.gov/news/fedregister).

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

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

Dated: June 30, 2009

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James H. Shelton, III,  
**Assistant Deputy Secretary for  
Innovation and Improvement.**

## Program Authority & Applicable Regulations

**Program Authority:** DC Code §§ 38-1851.01 – 38-1851.11; Omnibus Appropriations Act, 2009, Pub. L. No. 111-8.

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

**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.

# Instructions for Completing the DC School Choice Incentive Application Package

The DC School Choice Incentive application will use the following narrative forms.

- ED Abstract Narrative Form
- Project Narrative Form
- Other Narrative Form
- Budget Narrative Form

The ED Abstract Narrative Form should include a one-page project abstract.

The Project Narrative Form should first include the narrative response to the absolute priority. This document should be properly labeled and placed at the front of the Project Narrative form. Secondly, the applicant should include narrative responses that address the program Selection Criteria. Responses that address the selection criteria and the response to the absolute priority will be used to evaluate applications submitted for this competition.

Applicants should include a *Table of Contents* that includes all responses to the absolute priority and selection criteria.

The Other Narrative Form should include the application appendices. Examples may include *curricula vitas* of key personnel, letters of support, memorandums of understanding, etc.

The Budget Narrative Form should include **one budget summary** using Form 524 and **one detailed budget narrative**.

## D-U-N-S Number Instructions

**All applicants must have a D-U-N-S number in order to apply for federal funds.**

NOTE: Check with your fiscal office to see if your institution has an assigned D-U-N-S before contacting Dun & Bradstreet

Please provide the applicant's D-U-N-S Number. You can obtain your D-U-N-S Number at no charge by calling **1-800-333-0505** or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL:

[http://www.dnb.com/US/duns\\_update/index.html](http://www.dnb.com/US/duns_update/index.html)

The D-U-N-S Number is a unique nine-digit number that does not convey any information about the recipient. A built-in check digit helps assure the accuracy of the D-U-N-S Number. The ninth digit of each number is the check digit, which is mathematically related to the other digits. It lets computer systems determine if a D-U-N-S Number has been entered correctly.

Dun & Bradstreet, a global information services provider, has assigned D-U-N-S numbers to over 43 million companies worldwide. **Live help Monday-Friday 8am-6pm (EST) Dial 1.888.814.1435**

## Instructions for ED Abstract Narrative

Each applicant should submit a one-page abstract. This abstract should be attached to the **Abstract Narrative Form**.

The abstract should include the following items:

- The name and address of your organization;
- The name, phone number, and e-mail address of the contact person for this project; and
- The project title (if applicable).

The abstract narrative should not exceed one page and should use language that will be understood by a range of audiences.

# Instructions for Program Narrative

Before preparing the Program Narrative, applicants should review the Federal Register Notice, and program statute for specific guidance and requirements. Please note that “Project Narrative Form” is where applicants will attach their narrative responses to the selection criteria that will be used to evaluate applications submitted for this competition.

## Formatting

A “page” is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides. Page numbers and an identifier may be within the 1" margin. Double space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, footnotes, quotations, references, captions, as well as all text in charts, tables, and graphs. Use a font that is 12-point or larger. Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial. Other fonts submitted will not be accepted. Applicants are encouraged to limit the program narrative to the equivalent of no more than 25 pages. The 25-page limit only applies to the response to the selection criteria.

Please include a **Table of Contents**.

The Program Narrative should first include, in detail, the response that addresses the absolute priority. The response to this priority should be properly labeled, attached, and submitted at the front of the actual program narrative.

The Program Narrative should also include, in detail, the responses that address the program selection criteria. The maximum possible score for each category of selection criterion is indicated below and in parenthesis in section V. of the Notice.

|                              |           |
|------------------------------|-----------|
| Selection of Students        | 10 points |
| Notification of Parents      | 10 points |
| Amount of Scholarship        | 10 points |
| Participating Schools        | 10 points |
| Renewal of Scholarships      | 20 points |
| Quality of Project Personnel | 20 points |
| Organizational Capability    | 20 points |
| Reports                      | 10 points |
| Collection of Data           | 10 points |

## Instructions for Budget Narrative

Applicants should prepare and submit **one** 12-month budget summary using Form 524 and **one** 12-month budget narrative. This budget will be attached to the **Budget Narrative Form**.

The Budget Narrative presents an itemized breakdown of the applicant's financial plan for carrying out the project activities and services for the 12-months. Make sure all costs are adequately explained as your budget will be thoroughly reviewed. Please check all figures and combined totals and compare the line item budget figures to those used on the ED Form 524 for both Sections A and B.

The budget should only include costs that are allowable, reasonable, and necessary for carrying out the goals and objectives of the DC School Choice Incentive grant.

As indicated in the Notice, the maximum award amount is \$12,600,000 for a 12-month project period.

Successful applicants are strongly encouraged to draw down grant funds on a regular basis, consistent with Department regulations.

## Instructions for Other Narrative

Applicants will attach any appendices they may have to the **Other Narrative Form**.

Please provide a special **Table of Contents** for the appendices.

The Other Narrative Form may also include the resumes/curriculum vitae of key personnel, memoranda of understanding with partners, letters of support for the program, bibliographies, and any other material deemed necessary to strengthen the application may be included as well.

Applicants are required to submit a list of partner entities that will assist the applicant in coordinating or providing services. This list should be attached in the Other Narrative Form section.

Applicants are encouraged to limit the number of appendix entries to a reasonable number for a reviewer to read.

## Standard Forms & Instructions

- **Application for Federal Assistance (SF 424)**
- **Instructions for the SF-424**
- **Department of Education Supplemental Form for the SF 424**
- **Instructions & Definitions for Department of Education Supplemental Form for the SF 424**
- **Department of Education Budget Summary Form (ED 524)**
- **Instructions for ED 524**
- **General Education Provisions Act (GEPA) Enclosure**
- **Assurances-Non-Construction Programs**
- **Certification Regarding Lobbying (SF-80-0013)**
- **Disclosure of Lobbying Activities (SF-LLL)**
- **Instructions for Completion of SF-LLL**

|   |  |   |
|---|--|---|
| <b>Application for Federal Assistance SF-424</b>  |  | Version 02  |
| *1. Type of Submission:<br><input type="checkbox"/> Preapplication<br><input checked="" type="checkbox"/> Application<br><input type="checkbox"/> Changed/Corrected Application | *2. Type of Application<br><input checked="" type="checkbox"/> New<br><input type="checkbox"/> Continuation<br><input type="checkbox"/> Revision | * If Revision, select appropriate letter(s)<br><input type="text"/> <input type="text"/><br>*Other (Specify)<br>_____ |
| 3. Date Received:   |  | 4. Applicant Identifier:  |
| 5a. Federal Entity Identifier:  |  | *5b. Federal Award Identifier:<br>N/A   |
| <b>State Use Only:</b>  |  |   |
| 6. Date Received by State:  |  | 7. State Application Identifier:  |
| <b>8. APPLICANT INFORMATION:</b>  |  |   |
| *a. Legal Name: _____   |  |   |
| *b. Employer/Taxpayer Identification Number (EIN/TIN): _____  |  | *c. Organizational DUNS: _____  |
| <b>d. Address:</b>  |  |   |
| *Street 1: _____  |  |   |
| Street 2: _____   |  |   |
| *City: _____  |  |   |
| County: _____   |  |   |
| *State: _____   |  |   |
| Province: _____   |  |   |
| *Country: _____   |  |   |
| *Zip / Postal Code _____  |  |   |
| <b>e. Organizational Unit:</b>  |  |   |
| Department Name: _____  |  | Division Name: _____  |
| <b>f. Name and contact information of person to be contacted on matters involving this application:</b>   |  |   |
| Prefix: _____   |  | *First Name: _____  |
| Middle Name: _____  |  |   |
| *Last Name: _____   |  |   |
| Suffix: _____   |  |   |
| Title: _____  |  |   |
| Organizational Affiliation: _____   |  |   |
| *Telephone Number: _____  |  | Fax Number: _____   |
| *Email: _____   |  |   |

|   |            |
|---|------------|
| <b>Application for Federal Assistance SF-424</b>  | Version 02 |
| <p><b>*9. Type of Applicant 1: Select Applicant Type:</b><br/> <input type="text"/></p> <p>Type of Applicant 2: Select Applicant Type:<br/> <input type="text"/></p> <p>Type of Applicant 3: Select Applicant Type:<br/> <input type="text"/></p> <p>*Other (Specify)</p> |            |
| <p><b>*10 Name of Federal Agency:</b><br/>                 U.S. Department of Education</p>   |            |
| <p><b>11. Catalog of Federal Domestic Assistance Number:</b><br/>                 84.215 K _____</p> <p>CFDA Title:<br/>                 Funds for the Improvement of Education _____</p>   |            |
| <p><b>*12 Funding Opportunity Number:</b><br/>                 84.215K _____</p> <p>*Title:<br/>                 FIE Earmark _____</p>  |            |
| <p><b>13. Competition Identification Number:</b><br/>                 N/A _____</p> <p>Title:<br/>                 _____ N./A _____</p>   |            |
| <p><b>14. Areas Affected by Project (Cities, Counties, States, etc.):</b></p>   |            |
| <p><b>*15. Descriptive Title of Applicant's Project:</b></p>  |            |

|   |                      |
|---|----------------------|
| <b>Application for Federal Assistance SF-424</b>      | Version 02           |
| <b>16. Congressional Districts Of:</b> *a. Applicant: | *b. Program/Project: |
| <b>17. Proposed Project:</b> *a. Start Date:          | *b. End Date:        |

**18. Estimated Funding (\$):**

\*a. Federal \_\_\_\_\_

\*b. Applicant \_\_\_\_\_

\*c. State \_\_\_\_\_

\*d. Local \_\_\_\_\_

\*e. Other \_\_\_\_\_

\*f. Program Income \_\_\_\_\_

\*g. TOTAL \_\_\_\_\_

**\*19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

a. This application was made available to the State under the Executive Order 12372 Process for review on \_\_\_\_\_

b. Program is subject to E.O. 12372 but has not been selected by the State for review.

c. Program is not covered by E. O. 12372

**\*20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes", provide explanation.)**

Yes       No

21. \*By signing this application, I certify (1) to the statements contained in the list of certifications\*\* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances\*\* and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U. S. Code, Title 218, Section 1001)

\*\* I AGREE

\*\* The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions

**Authorized Representative:**

Prefix: \_\_\_\_\_ \*First Name: \_\_\_\_\_

Middle Name: \_\_\_\_\_

\*Last Name: \_\_\_\_\_

Suffix: \_\_\_\_\_

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

\*Telephone Number: \_\_\_\_\_ Fax Number: \_\_\_\_\_

\* Email: \_\_\_\_\_

\*Signature of Authorized Representative: \_\_\_\_\_ \*Date Signed: \_\_\_\_\_

**\*Applicant Federal Debt Delinquency Explanation**

The following should contain an explanation if the Applicant organization is delinquent of any Federal Debt.

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.<br><ul style="list-style-type: none"> <li>• Preapplication</li> <li>• Application</li> <li>• Changed/Corrected Application – If requested by the agency, check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this to submit changes after the closing date.</li> </ul>   | 10.  | <b>Name of Federal Agency:</b> (Required) Enter the name of the Federal Agency from which assistance is being requested with this application.  |
|      |   | 11.  | <b>Catalog Of Federal Domestic Assistance Number/Title:</b> Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.  |
| 2.   | <b>Type of Application:</b> (Required) Select one type of application in accordance with agency instructions.<br><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.<br/> A. Increase Award      B. Decrease Award<br/> C. Increase Duration    D. Decrease Duration<br/> E. Other (specify)</li> </ul> | 12.  | <b>Funding Opportunity Number/Title:</b> (Required) Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement.  |
|      |   | 13.  | <b>Competition Identification Number/Title:</b> Enter the Competition Identification Number and title of the competition under which assistance is requested, if applicable.  |
|      |   | 14.  | <b>Areas Affected By Project:</b> List the areas or entities using the categories (e.g., cities, counties, states, etc.) specified in agency instructions. Use the continuation sheet to enter additional areas, if needed.   |
| 3.   | <b>Date Received:</b> Leave this field blank. This date will be assigned by the Federal agency.   | 15.  | <b>Descriptive Title of Applicant’s Project:</b> (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For preapplications, attach a summary description of the project.   |
| 4.   | <b>Applicant Identifier:</b> Enter the entity Identifier assigned by the Federal agency, if any, or applicant’s control number, if applicable.  |      |   |
| 5a.  | <b>Federal Entity Identifier:</b> Enter the number assigned to your organization by the Federal Agency, if any.   | 16.  | <b>Congressional Districts Of:</b> (Required) 16a. Enter the applicant’s Congressional District, and 16b. Enter all District(s) affected by the program or project. Enter in the format: 2 characters State Abbreviation – 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.<br><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> |
| 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:<br><br>a. <b>Legal Name:</b> (Required): Enter 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   |

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

**SUPPLEMENTAL INFORMATION  
REQUIRED FOR  
DEPARTMENT OF EDUCATION**

**1. Project Director:**

Prefix:  \*First Name:  Middle Name:  \*Last Name:  Suffix:

Address:

\* Street1:

Street2:

\* City:

County:

\* State  \* Zip Code:  \* Country:

\* Phone Number (give area code)  Fax Number (give area code)

Email Address:

**2. Applicant Experience:**

Novice Applicant  Yes  No  Not applicable to this program

**3. Human Subjects Research:**

Are any research activities involving human subjects planned at any time during the proposed project Period?

Yes  No

Are ALL the research activities proposed designated to be exempt from the regulations?

Yes Provide Exemption(s) #:

No Provide Assurance #, if available:

**Please attach an explanation Narrative:**

**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 C.F.R. 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, D.C. 20202-4700. If you have comments or concerns regarding the status of your individual submission of this form write directly to: Joyce I. Mays, Application Control Center, U.S. Department of Education, Potomac Center Plaza, 550 12<sup>th</sup> Street, S.W. Room 7076, Washington, D.C. 20202-4260.*

**DEFINITIONS FOR  
DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR 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.

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**PROTECTION OF HUMAN SUBJECTS IN RESEARCH**

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**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 number(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 U.S. Department of Education, Protection of Human Subjects Coordinator, Office of the Chief Financial Officer, LBJ Building, 400 Maryland Avenue, SW, Washington, D.C. 20202-4250, telephone: (202) 260-3353, 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).



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

OMB Control Number: 1894-0008  
Expiration Date: 02/28/2011

Name of Institution/Organization

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

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

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

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

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

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

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| Name of Institution/Organization                        | Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form. |                       |                       |                       |                       |              |
|---|---|-----------------------|-----------------------|-----------------------|-----------------------|--------------|
| <b>SECTION B - BUDGET SUMMARY<br/>NON-FEDERAL FUNDS</b> |   |                       |                       |                       |                       |              |
| Budget Categories                                       | Project Year 1<br>(a)   | Project Year 2<br>(b) | Project Year 3<br>(c) | Project Year 4<br>(d) | Project Year 5<br>(e) | Total<br>(f) |
| 1. Personnel  |   |                       |                       |                       |                       |              |
| 2. Fringe Benefits                                      |   |                       |                       |                       |                       |              |
| 3. Travel   |   |                       |                       |                       |                       |              |
| 4. Equipment  |   |                       |                       |                       |                       |              |
| 5. Supplies   |   |                       |                       |                       |                       |              |
| 6. Contractual  |   |                       |                       |                       |                       |              |
| 7. Construction   |   |                       |                       |                       |                       |              |
| 8. Other  |   |                       |                       |                       |                       |              |
| 9. Total Direct Costs<br>(Lines 1-8)                    |   |                       |                       |                       |                       |              |

|  |  |  |  |  |  |  |
|--|--|--|--|--|--|--|
| 10. Indirect Costs                                     |  |  |  |  |  |  |
| 11. Training Stipends                                  |  |  |  |  |  |  |
| 12. Total Costs<br>(Lines 9-11)                        |  |  |  |  |  |  |
| <b>SECTION C – BUDGET NARRATIVE</b> (see instructions) |  |  |  |  |  |  |

ED 524

# Instructions for ED 524

## General Instructions

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

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

You must consult with your Business Office prior to submitting this form.

## Section A - Budget Summary

### U.S. Department of Education Funds

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

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

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

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

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

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

If you checked “no,” ED generally will authorize grantees to use a temporary rate of 10 percent of budgeted salaries and wages subject to the following limitations:

(a) The grantee must submit an indirect cost proposal to its cognizant agency within 90 days after ED issues a grant award notification; and

(b) If after the 90-day period, the grantee has not submitted an indirect cost proposal to its cognizant agency, the grantee may not charge its grant for indirect costs until it has negotiated an indirect cost rate agreement with its cognizant agency.

(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, another Federal agency (Other) or State agency issued the approved agreement. If you check “Other,” specify the name of the Federal or other agency that issued the approved agreement.

(3): If you are applying for a grant under a Restricted Rate Program (34 CFR 75.563 or 76.563), indicate whether you are using a

restricted indirect cost rate that is included on your approved Indirect Cost Rate Agreement or whether you are using a restricted indirect cost rate that complies with 34 CFR 76.564(c)(2). Note: State or Local government agencies may not use the provision for a restricted indirect cost rate specified in 34 CFR 76.564(c)(2). Check only one response. Leave blank, if this item is not applicable.

## Section B - Budget Summary

### Non-Federal Funds

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

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

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

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

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

## Section C - Budget Narrative [Attach separate sheet(s)]

Pay attention to applicable program specific instructions, if attached.

**1. Provide an itemized budget breakdown, and justification by project year, for each budget category listed in Sections A and B. For grant projects that will be divided into two or more separately budgeted major activities or sub-projects, show for each budget category of a project year the breakdown of the specific expenses attributable to each sub-project or activity.**

**2. For non-Federal funds or resources listed in Section B that are used to meet a cost-sharing or matching requirement or provided as a voluntary cost-sharing or matching commitment, you must include:**

- a. The specific costs or contributions by budget category;**
- b. The source of the costs or contributions; and**
- c. In the case of third-party in-kind contributions, a description of how the value was determined for the donated or contributed goods or services.**

**[Please review ED’s general cost sharing and matching regulations, which include specific limitations, in 34 CFR 74.23,**

**applicable to non-governmental entities, and 80.24, applicable to governments, and the applicable Office of Management and Budget (OMB) cost principles for your entity type regarding donations, capital assets, depreciation and use allowances. OMB cost principle circulars are available on OMB’s website at: <http://www.whitehouse.gov/omb/circulars/index.html>]**

- 3. If applicable to this program, provide the rate and base on which fringe benefits are calculated.**
- 4. If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. Specify the estimated amount of the base to which the indirect cost rate is applied and the total indirect expense. Depending on the grant program to which you are applying and/or your approved Indirect Cost Rate Agreement, some direct cost budget categories in your grant application budget may not be included in the base and multiplied by your indirect cost rate. For example, you must multiply the indirect cost rates of “Training grants” (34 CFR 75.562) and grants under programs with “Supplement not Supplant” requirements (“Restricted Rate” programs) by a “modified total direct cost” (MTDC) base (34 CFR 75.563 or 76.563). Please indicate which costs are included and which costs are excluded from the base to which the indirect cost rate is applied.**

When calculating indirect costs (line 10) for “Training grants” or grants under “Restricted Rate” programs, you must refer to the information and examples on ED’s website at: <http://www.ed.gov/fund/grant/apply/appforms/appforms.html>.

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

- 5. Provide other explanations or comments you deem necessary.**

Paperwork Burden Statement

**According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1894-0008. The time required to complete this information collection is estimated to vary from 13 to 22 hours per response, with an average of 17.5 hours per response, including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4537. If you have comments or concerns regarding the status of your individual submission of this form, write directly to (insert program office), U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202**

## NOTICE TO ALL APPLICANTS

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

### To Whom Does This Provision Apply?

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

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

### What Does This Provision Require?

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

plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

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

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

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

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

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

### Estimated Burden Statement for GEPA Requirements

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1894-0005**. The time required to complete this information collection is estimated to average 1.5 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202-4537.

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## ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503

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

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

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

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§ 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

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

|   |       |                |
|---|-------|----------------|
| SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL | TITLE |                |
| APPLICANT ORGANIZATION                      |       | DATE SUBMITTED |

**CERTIFICATION REGARDING LOBBYING**

Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, 'Disclosure of Lobbying Activities,' in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, 'Disclosure of Lobbying Activities,' in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

|   |  |   |
|---|--|---|
| * APPLICANT'S ORGANIZATION                              |  |   |
| <input style="width: 100%; height: 100%;" type="text"/> |  |   |
| * PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE   |  |   |
| Prefix: <input style="width: 50px;" type="text"/>       | First Name: <input style="width: 200px;" type="text"/> | Middle Name: <input style="width: 150px;" type="text"/> |
| * Last Name: <input style="width: 250px;" type="text"/> | Suffix: <input style="width: 100px;" type="text"/>     |   |
| * Title: <input style="width: 300px;" type="text"/>     |  |   |
| * SIGNATURE: <input style="width: 250px;" type="text"/> | * DATE: <input style="width: 150px;" type="text"/>     |   |

**Disclosure of Lobbying Activities**

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352  
(See reverse for public burden disclosure)

|   |  |   |
|---|--|---|
| <b>1. Type of Federal Action:</b><br>a. contract<br>____ b. grant<br>c. cooperative agreement<br>d. loan<br>e. loan guarantee<br>f. loan insurance  | <b>2. Status of Federal Action:</b><br>a.<br>bid/offer/application<br>____ b. initial award<br>c. post-award                               | <b>3. Report Type:</b><br>a. initial filing<br>____ b. material change<br><br><b>For material change only:</b><br>Year _____ quarter _____<br>Date of last report _____ |
| <b>4. Name and Address of Reporting Entity:</b><br>____ Prime      ____ Subawardee<br>Tier _____, if Known:<br><br><b>Congressional District, if known:</b>   | <b>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</b><br><br><br><b>Congressional District, if known:</b> |   |
| <b>6. Federal Department/Agency:</b>  | <b>7. Federal Program Name/Description:</b><br><br>CFDA Number, if applicable: _____   |   |
| <b>8. Federal Action Number, if known:</b>  | <b>9. Award Amount, if known:</b><br>\$  |   |
| <b>10. a. Name and Address of Lobbying Registrant</b><br><i>(if individual, last name, first name, MI):</i>   | <b>b. Individuals Performing Services</b> <i>(including address if different from No. 10a)</i><br><i>(last name, first name, MI):</i>      |   |
| <b>11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</b> | <b>Signature:</b> _____<br><b>Print Name:</b> _____<br><b>Title:</b> _____<br><br><b>Telephone No.:</b> _____ <b>Date:</b> _____           |   |
| <b>Federal Use Only</b>   | Authorized for Local Reproduction<br>Standard Form - LLL (Rev. 7-97)   |   |

## **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

## Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1894-0006 v.7. The time required to complete this information collection is estimated to average **36** hours per response, including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection.

If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to: DC School Choice Incentive competition, Office of Innovation and Improvement, U.S. Department of Education, 400 Maryland Avenue, S.W., Room 4W217, Washington, D.C. 20202-5970.