

**U.S. Department of Education
Office of Elementary and Secondary Education
High School Equivalency Program
Washington, D.C. 20202-6200**

Fiscal Year 2012

**Application for New Grants Under
the High School Equivalency Program**

CFDA 84.141A



Dated Material - Open Immediately

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Paperwork Burden Statement

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If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Tara Ramsey, High School Equivalency Program, U.S. Department of Education, 400 Maryland Avenue, SW, 3E309, Washington D.C. 20202-6200.

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United States Department of Education
OFFICE OF ELEMENTARY AND SECONDARY EDUCATION
OFFICE OF MIGRANT EDUCATION

Dear Colleague:

Thank you for your interest in the High School Equivalency program (HEP), administered by the Office of Elementary and Secondary Education of the U.S. Department of Education (Department).

This program is authorized under Title IV, Section 418A of the Higher Education Act of 1965 as amended by section 408 of the Higher Education Opportunity Act P.L. 110-315 (H.R. 4137).

The purposes of HEP are to help migrant and seasonal farmworkers and members of their immediate family: (1) obtain a general education diploma (GED) that meets the guidelines for high school equivalency established by the State in which the HEP project is conducted, and (2) to gain employment or be placed in an institution of higher education (IHE) or other postsecondary education or training.

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

All applicants are eligible to receive up to 100 points based on the published selection criteria. In addition, there are two competitive preference priorities in this competition: 1) applicants that are administering an expiring HEP project are eligible to receive up to 15 additional points for “prior experience of service delivery,” and 2) applicants that meet the “novice applicant” definition are eligible to receive an additional five points.

Furthermore, there are two invitational priorities for this competition (no additional points are awarded for invitational priorities), and these are: 1) applicants are invited to address the Secretary’s Priority designated areas of “science, technology, engineering and mathematics (STEM) education, and 2) applicants are invited to describe how they will engage faith-based and community organizations in the delivery of services under this program.

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

Also be aware that applications submitted to Grants.gov for the Department of Education will now be posted using Adobe forms. Therefore, applicants will need to download the latest version of Adobe reader (at least Adobe Reader 8.1.2). Please review the **Submitting**

Applications with Adobe Reader Software and Education Submission Procedures and Tips for Applicants forms found within this package for further information and guidance related to this requirement.

Using FY 2012 funds, the Department expects to award \$1,560,683 for new grants under this competition. We will award discretionary grants on a competitive basis for a project period of up to 60 months. Grants are expected to be awarded in June 2012.

Please visit our program website at www.ed.gov/programs/hep for further information. If you have any questions about the program after reviewing the application package, please contact Tara Ramsey by telephone at (202) 260-2063 or via e-mail at tara.ramsey@ed.gov.

Lisa Ramírez, Ed. D.
Director

Program Background Information

Program Overview

The purposes of the High School Equivalency Program (HEP) are to help migrant and seasonal farmworkers and members of their immediate family: (1) obtain the equivalent of a secondary school diploma, and (2) subsequently to gain employment or be placed in an institution of higher education (IHE) or other postsecondary education or training.

Eligible Applicants

Eligible applicants include:

- Institutions of higher education
- Private nonprofit organizations

Complete Selection Criteria can be found beginning on page 33.

Competitive Preference Priorities

The FY 2012 competition includes two competitive preference priorities. An applicant that meets the competitive preference priorities may receive five additional points under “novice applicant” requirements, and up to 15 additional points under Section 418A (e) of the HEA for prior experience of service delivery on its application.

For more information, see page 37.

Invitational Priorities

The FY 2012 competition includes two invitational priorities. Under this competition, we are particularly interested in applications that address the Secretary’s Priority for promoting “science, technology, engineering and mathematics (STEM) education,” and applications that propose to engage faith-based and community organizations in the delivery of services under this program.

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

Program Contact

Please contact Tara Ramsey at (202) 260-2063, (e-mail: tara.ramsey@ed.gov) after reviewing the application package if you have any questions about the program.

Application Deadline

The deadline for submitting an application is January 18, 2012.

Review the instructions in this application package for meeting this deadline.

Frequently Asked Questions

Application Content

Q1: What are the performance reporting requirements for the grant?

A1: Grantees are required to submit the OMB-approved HEP Annual Performance Report (APR) Form, a sample of which is included for reference in this application package. This form is due on or around November 15 following the most recently ending budget period.

Q2: What is the relationship between the requirement in Section 75.590 of EDGAR for an annual performance report and the selection criterion for evaluation, which comes from section 75.210(h) of EDGAR?

A2: Section 75.590 of EDGAR requires each grant recipient to submit an annual performance report (APR) or, for the last year of a project, a final report in addition to an APR, that evaluates at least annually (1) the recipient's progress in achieving the objectives in its approved application, (2) the effectiveness of the project in meeting the purposes of the program, and (3) the effect of the project on served participants. Excluding the final report, the APR that the program uses identifies the minimum information the Department needs from recipients to satisfy this provision. However section 75.590 does not identify how a grantee is to collect this information.

In evaluating project applications, the Secretary considers, as one of the selection criteria, the quality of the applicant's proposed project evaluation. The elements of this selection criterion comes from section 75.210(h) of EDGAR, and is designed to have applicants address how they will conduct their project evaluation. Whether what an applicant describes in its application is an end-of-project evaluation or an evaluation to be conducted for each project year, the evaluation design that an applicant would discuss in response to this selection criterion will dictate the data that the applicant would collect each year and how it would collect them. Thus the applicant's response to the selection criterion governing evaluation would guide the collection of the evaluative information it will report in the APR if the applicant receives a grant award.

Q3: What information specific to project objectives must applicants address in their application?

A3: According to Section 75.112 of EDGAR, applicants must include in their application a narrative that describes how and when, in each budget period of the project, the applicant plans to meet each objective of the project. The objectives of the project include the performance measures that the Department has established under the Government Performance and Results Act (GPRA) as well as any other objectives grantees have established that are specific to the project. Hence, in the course of implementing their projects, grantees will need to examine the goals and objectives of the particular project, as well as GPRA measures for the program (See GPRA objectives on page49 of this application package).

Q4. What are the projected national targets for the HEP GPRA 1 and GPRA 2 measures for the first year of this grant?

A4. The national target for measure 1 for FY 2012 is that 69 percent of HEP program exiters will receive a GED credential, and for measure 2 the target for FY 2012 is that 80 percent of

HEP GED recipients will enter postsecondary education or training programs, upgraded employment, or the military. Some of the targets for subsequent years will be determined after additional baseline data is collected on the APR.

Applicants must propose annual targets for these measures in their applications. Grantees will be held accountable for serving the number of students they propose to serve in their application. At minimum, applicants must include in their applications:

- the number of HEP participants the project expects to serve each year of the grant;
- the number of HEP participants expected to complete the GED each year of the grant (GPRA measure 1); and,
- the number of GED recipients expected to enter postsecondary education or training programs, upgraded employment or the military each year of the grant (GPRA measure 2).

Applicants must report annually in their APRs their success in meeting these GPRA measures as well as the individual measures they have established for their projects.

Q5: Are the GPRA targets considered to be the objectives for the program?

A5: They are the core objectives that apply to all HEP grantees, but projects may also establish their own goals and objectives, within the scope of the program's authorizing legislation and regulations.

Q6: If the GPRA targets are the core objectives of the project, what are the merits of going beyond these requirements to write other project goals/objectives?

A6: The GPRA targets may not address all the needs that you have identified for your project. Remember that you will be in competition with other grantees who may offer more services or unique approaches.

Q7: In addition to the GPRA targets, how many objectives are recommended?

A7: There is no minimum or maximum for the number of project objectives you propose. However, you need to be mindful you will be in competition with others, and that you will be held to everything you propose.

Q8: Should the page count of each section of the application be based on how many points are allotted to each selection criteria section?

A8: The applicant is held to the total page limit; how the applicant chooses to distribute narrative among the sections is his or her decision.

Q9: Can the applicant make reference in one section to a chart that is in another section but it supports the section where the reference is made?

A9: Readers will only consider information that is in that section. However, readers may refer to information in the budget narrative when scoring other sections.

Q10: What fonts must be used in the application?

A10: Times New Roman, Courier, Courier New, or Arial are the acceptable fonts. An application submitted in any other font (including Times Roman or Arial Narrow) will not be accepted.

Q11: Can sections that will take a considerable amount of space in the narrative be addressed in tables?

A11: Tables are appropriate to display quantitative data or a combination of quantitative and qualitative data (e.g., a table of project specific objectives with numerical targets); however, tables are not appropriate for a narrative. Moreover, narratives displayed in tables may be confusing to readers and result in a low score.

Q12: Do charts, tables, etc. need to be in 12 pt. Times New Roman, Courier, Courier New or Arial font also?

A12: Yes.

Q13: Does the Table of Contents count towards the 25-page limit for the project narrative?

A13: No

Q14: How long can the abstract be?

A14: The abstract is limited to one page per the description of a “page” within this application.

Q15: What information should be included in the abstract?

A15: The project abstract should not exceed one double spaced “page” and should include a concise description of the following information, preferably in the following order:

- Name of Applicant
- Location of Applicant by city and state
- Project objectives and activities
- Applicable priorities
- Proposed project outcomes
- Number of participants to be served annually, distinguished by commuter or residential
- Number and location of proposed sites
- Project targets for meeting each of the Government Performance Results Act (GPRA) measures each year

Q16: Can footnotes be in a bibliography format in the appendices, since they take up space (especially double-spaced) in the actual narrative?

A16: The applicant may choose to put a bibliography in the appendices; however, readers will not score information in the appendices.

Q17: Is it okay to include "cover pages" for the appendices (that would not count toward the number of pages)?

A17: No, all items in the appendices are limited to 20 pages.

Q18: Does the budget narrative have to be double spaced?

A18: Yes, the narrative text must be double-spaced but charts, tables and graphs can be single-spaced.

Q19: How do we determine if the costs are reasonable? Are there guidelines available to determine if costs are allowable, allocable and reasonable?

A19: See "Important Notes" under Part 5, Budget Narrative.

Q20: Does the annual requested amount include indirect cost?

A20: Yes.

Q21: What is meant by a maximum award limit that a HEP applicant may request?

A21: The Department has established a maximum HEP award of \$475,000 for any of the five single budget periods of 12-months. This limit applies only to the amount of U.S. Department of Education Federal funds requested in Section A of ED Form 524, and does not apply to the total of Federal HEP funds and other funds a grantee or its partners may contribute to the project.

Q22: May a project budget exceed the maximum award amount if it includes funding from other non-federal sources?

A22: Yes. The project budget may exceed this amount of \$475,000 for any of the five single budget periods of 12-months if volunteered non-federal funds are combined in the project budget. If other non-federal funds are contributed to the project, applicants must enter those amounts in Section B of Form 524 and provide a Section C budget detail that identifies and describes these non-federal funds.

Q23: If you are not proposing to use "project consultants" as mentioned in the selection criteria of the Project Personnel section, how should you respond to that selection criterion so as not to lose points?

A23: You should address that criterion and explain why you are or are not using consultants. There is no penalty for not using consultants, but an application that does not provide an answer or a required response to the sub criterion regarding use of consultants will not receive all the possible points.

Q24: Can the principal investigator, or "PI," be the project director as well?

A24: In cases where a nonprofit is very small or operating solely on the federal HEP grant, the organization's CEO could technically be both the certifying representative (person who signed and represents the application) as well as the project director. It would not be reasonable, however, to have one person be both the principal investigator (i.e., supervisor over the project director and staff) and the project director under two split positions.

Q25: Are external evaluators preferred, particularly those that may be directors or PIs of other projects?

A25: You should conduct your evaluation in the manner that you determine to be most effective for your project. OME cannot say that one manner of evaluation is "preferred" over another; many grantees do find an outside evaluator to be an effective practice.

Q26: Should we list all project personnel as key personnel?

A26: While it is up to the applicant to decide which personnel are "key personnel," the applicant should be aware that, according Section 74.25 of EDGAR, all key personnel changes must be approved by program officials.

Q27: Are the costs of instructional items, such as textbooks, to be included on the Training Stipend line of the budget form?

A27: Depending on how instructional items are used, they may either be included on the Other or Supply lines, or they may be included on the Training Stipends line. For example, if a project

has purchased a “lending library” of textbooks, to be collected at the end of each term and used again for new participants, the costs could be included on the Other or Supply line items; if the textbooks are given to the participant with the expectation that the participant will keep the textbooks after completion of the program it would be appropriate to include the costs on the Training Stipends line.

Q28: In regards to participant eligibility, what’s the definition of "immediate family?"

A28: The program’s definition of "immediate family" can be found in the ED regulations, CFR 34 Section 206.5(c)(5), and is defined as:

- (i) A spouse.
- (ii) A parent, step-parent, adoptive parent, foster parent, or anyone with guardianship.
- (iii) Any person who—
 - (A) Claims the individual as a dependent on a Federal income tax return for either of the previous two years, or
 - (B) Resides in the same household as the individual, supports that individual financially, and is a relative of that individual.

Q29: I understand this grant is focused on the attainment of a GED; however, can there be other proposed activities that may focus on other attainments such as learning English?

A29: You can propose other objectives for your project, provided that those objectives fit within the scope of the allowable services as stated in the regulations. The list of allowable HEP services can be found in the HEP/CAMP program regulations in 34 CFR Section 206.10(b). In the past, providing English language instruction has not been considered an essential component of the purpose of the program.

Competition Process and Procedures

Q30: Can program directors write the actual grant? I've heard you can't use program funding to get program funding.

A30: Current program staff that are directly funded by the federal grant and work on writing the grant will have to do so outside of their time serving in their capacity with the project. Current program staff may not write it while they are being paid directly by a federal grant.

Q31: Does the Department have the authority to adjust an award amount in a successful proposal?

A31: Yes, if there are not enough funds, or if an applicant proposes budget items and activities which the program staff, during the budget analysis, determines to be unallowable or unreasonable.

Q32: How many applications are you expecting and plan to fund?

A32: We expect approximately 45 HEP and 40 College Assistance Migrant Program (CAMP) applications, and we plan to fund 3 to 4 HEP grants and 8 to 9 CAMP grants.

Q33: If the applicant has a current TRIO program federal grant, and therefore isn't a "novice applicant," can the applicant receive prior experience points from TRIO program work?

A33: No. Prior experience of service delivery points will only be given to expiring HEP and CAMP projects.

Q34: Can you explain the definition of a novice applicant? For example, if we have never had a HEP or CAMP grant but have had a TRIO grant, are we a novice?

A34: A novice applicant is one who has not received a federal discretionary grant within the past 5 years from the date the application is due, as defined in 34 CFR 75.225 (a). If you have received a TRIO grant or had any active discretionary grant from the Federal Government within the past 5 years, you will not be considered a novice applicant.

Q35: To what extent does project performance of a prior project affect eligibility for a new grant?

A35: The Secretary awards up to 15 additional points to applicants whose projects are expiring this year (they are currently in their 5th Year). These points are largely awarded based on the grantee's prior performance as determined by related data already collected by the Department.

Moreover, in factors under EDGAR, Section 75.217(d)(3)(ii), the Secretary determines the order in which applications will be selected for funding considering, among other information, an applicant's performance under a previous award from any Department program. An application reviewed within these additional factors, although evaluated by a panel of readers and ranked by a score within the funding range, may be excluded by the Secretary from funding under this competition following our review of past performance results.

Q36: On the cover sheet, Application for Federal Assistance SF 424, what amounts should an applicant enter for the listed sources in the section "Estimated Funding?"

A36: Enter only the Year One amounts from each applicable source and the total of the Year One budget.

Q37: What will happen if an applicant requests more than the maximum award limit for federal (HEP) funds?

A37: The Department will reject any application that proposes a budget exceeding the maximum award limit for federal funds of \$475,000 for any of the five single budget periods of 12-months; the application will not be reviewed as a part of the competition. Your application must cover a period of five years. (See EDGAR Section 206.20 (b)(1).)

Q38: What will happen if an applicant requests less than the minimum award limit federal (HEP) funds?

A38: The Department will reject any application that proposes a HEP award that is less than \$180,000 for any of the five single budget periods of 12 months; the application will not be reviewed as a part of the competition.

Q39: When completing form 524, should whole dollars be entered for budget costs?

A39: Yes, on your budget forms round your amounts to the nearest dollar without decimal or cents.

Q40: As the Department makes decisions for determining continuation awards, will it hold grantees accountable for meeting these national GPRA targets?

A40: Yes. Section 75.253(a)(2)(i) of EDGAR states that the Secretary may make a continuation award for a budget period after the first budget period of an approved multi-year project if the recipient has made substantial progress toward meeting the objectives in its approved application. In determining substantial progress for making continuation awards, the Department will use project performance data reported in the APR. While grantee GPRA performance data will not be the only factor the Department will use in determining whether a project has made substantial progress in meeting its goals and objectives, these data will be a significant factor.

Q41: Is the geographical distribution of existing projects and new applicants taken into account when awarding new programs?

A41: No, the location of a project is not one of the selection criteria and is not taken into account when determining new awards.

Q42: If I encounter a problem while uploading my application does obtaining a Support Desk Case Number from Grants.gov mean that my application will be accepted even though it may be submitted after the deadline?

A42: Obtaining a Support Desk Case Number from Grants.gov does not automatically guarantee that an application will be accepted when submitted late. The program office must confirm that a technical problem occurred with the Grants.gov system causing the application to be submitted late before the program office can determine if accepting the late application is appropriate.

Q43: How early should I submit my application?

A43: You should start the application as soon as possible. You are required to obtain several credentials before uploading your application to Grants.gov. Obtaining these credentials (DUNS Number, Tax Identification Number, Central Contractor Registry certification, etc.) can sometimes take weeks.

Technical Assistance Workshops for Prospective Applicants

Pre-application webinars are planned following the publication of the Notice Inviting Applications. The date and time of these webinars will be posted on the program website at: <http://www2.ed.gov/programs/hep/applicant.html>. Please check the site regularly for updates.

Application Submission Procedures

The deadline for submission of High School Equivalency Program applications through Grants.gov is January 18, 2012.

Application Transmittal Instructions

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

We will reject your application if you submit it in paper format unless, as described in the Federal Register notice for this competition, you qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions.

Applications Submitted Electronically

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

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

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

Please note the following:

- You must attach any narrative sections of your application as files in a **.pdf** (Portable Document) format. **If you upload a file type other than a .pdf file, or submit a password-protected file, we will not review that material.**
- Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission.
- When attaching files, applicants should limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We recommend your file names be less than 50 characters. The amount of time it can take to upload an application will vary depending on a variety of factors, including the size of the application and the speed of your Internet connection. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the submission process through Grants.gov.

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

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

Submission of Paper Applications by Mail:

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

U.S. Department of Education
 Application Control Center
 Attention: (CFDA Number 84.141A)
 LBJ Basement Level 1
 400 Maryland Avenue, SW.
 Washington, DC 20202-4260

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

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

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

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

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

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

Submission of Paper Applications by Hand Delivery:

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

U.S. Department of Education
 Application Control Center
 Attention: (CFDA Number 84.141A)
 550 12th Street, SW.
 Washington, DC 20202-4260

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

Note for Mail or Hand Delivery of Paper Applications:

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

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

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

Submitting Applications with Adobe Reader Software

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

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

Important issues to consider:

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

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

http://grantsgov.tmp.com/static2007/help/download_software.jsp#adobe811.

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

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

Grants.gov Submission Procedures and Tips for Applicants

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

ATTENTION – Adobe Forms and PDF Files Required

Applications submitted to Grants.gov for the Department of Education will be posted using Adobe forms. Therefore, applicants will need to download the latest version of Adobe reader (at least Adobe Reader 8.1.2). Information on computer and operating system compatibility with Adobe and links to download the latest version is available on Grants.gov. We strongly recommend that you review these details on www.Grants.gov before completing and submitting your application. In addition, applicants should submit their application a day or two in advance of the closing date as detailed below. Also, applicants are required to upload their attachments in .pdf format only. (See details below under “Attaching Files – Additional Tips.”) If you have any questions regarding this matter please email the Grants.gov Contact Center at support@grants.gov or call 1-800-518-4726.

Also, applicants should be aware that on October 11, 2010, Grants.gov implemented a new security build which requires each organization’s e-Biz POC (Point of Contact) update their Grants.gov registration. To complete this step, the e-Biz POC must have their DUNS number and CCR MPIN. We recommend this step be completed several days before application submission unless the e-Biz POC has already responded to this requirement. For more information on this topic, please visit this Grants.gov information link:

<http://www.grants.gov/securitycommebiz/>.

- 1) **REGISTER EARLY** – Grants.gov registration may take five or more business days to complete. You may begin working on your application while completing the registration process, but you cannot submit an application until all of the Registration steps are complete. For detailed information on the Registration Steps, please go to: http://www.grants.gov/applicants/get_registered.jsp. [Note: Your organization will need to update its Central Contractor Registry (CCR) registration annually.]
- 2) **SUBMIT EARLY** – **We strongly recommend that you do not wait until the last day to submit your application. Grants.gov will put a date/time stamp on your application and then process it after it is fully uploaded.** The time it takes to upload an application will vary depending on a number of factors including the size of the application and the speed of your Internet connection, and the time it takes Grants.gov to process the application will vary as well. If Grants.gov rejects your application (see step three below), you will need to resubmit successfully before 4:30:00 p.m. Washington, DC time on the deadline date.

Note: To submit successfully, you must provide the DUNS number on your application that was used when you registered as an Authorized Organization Representative (AOR) on Grants.gov. This DUNS number is typically the same number used when your organization registered with the CCR (Central Contractor Registry). If you do not enter the same DUNS number on your application as the DUNS you registered with, Grants.gov will reject your application.

- 3) **VERIFY SUBMISSION IS OK** – You will want to verify that Grants.gov and the Department of Education receive your Grants.gov submission timely and that it was validated successfully. To see the date/time your application was received, login to Grants.gov and click on the Track My Application

link. For a successful submission, the date/time received should be earlier than 4:30:00 p.m. Washington, DC time, on the deadline date, AND the application status should be: Validated, Received by Agency, or Agency Tracking Number Assigned.

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

Submission Problems – What should you do?

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

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

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

Helpful Hints When Working with Grants.gov

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

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

Dial-Up Internet Connections

When using a dial up connection to upload and submit your application, it can take significantly longer than when you are connected to the Internet with a high-speed connection, e.g. cable modem/DSL/T1. While times will vary depending upon the size of your application, it can take a few minutes to a few hours to complete your grant submission using a dial up connection. **If you do not have access to a high-speed connection and electronic submission is required, you may want to consider following the instructions in the Federal**

Register notice to obtain an exception to the electronic submission requirement no later than two weeks before the application deadline date. (See the Federal Register notice for detailed instructions.)

MAC Users

For MAC compatibility information, review the Operating System Platform Compatibility Table at the following Grants.gov link: http://www.grants.gov/help/download_software.jsp. **If electronic submission is required and you are concerned about your ability to submit electronically as a non-windows user, please follow instructions in the Federal Register notice to obtain an exception to the electronic submission requirement no later than two weeks before the application deadline date.** (See the Federal Register notice for detailed instructions.)

Attaching Files – Additional Tips

Please note the following tips related to attaching files to your application, especially the requirement that applicants **only include .pdf files** in their application:

1. Ensure that you attach **.PDF files only** for any attachments to your application. PDF files are the only Education approved file type accepted as detailed in the Federal Register application notice. Applicants must submit individual .PDF files only when attaching files to their application. Specifically, the Department will not accept any attachments that contain files within a file, such as PDF Portfolio files. Any attachments uploaded that are not .PDF files or are password protected files will not be read. If you need assistance converting your files to a .pdf format, please refer to this Grants.gov webpage with links to conversion programs: http://www.grants.gov/help/download_software.jsp#pdf_conversion_programs
2. Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission. Therefore, each file uploaded to your application package should have a unique file name.
3. When attaching files, applicants should follow the guidelines established by Grants.gov on the size and content of file names. Uploaded files must be less than 50 characters, contain no spaces, no special characters (example: -, &, *, %, /, #, \) including periods (.), blank spaces and accent marks. Applications submitted that do not comply with the Grants.gov guidelines will be rejected at Grants.gov and not forwarded to the Department.

Applicants should limit the size of their file attachments. Documents submitted that contain graphics and/or scanned material often greatly increase the size of the file attachments and can result in difficulties opening the files. For reference, the average discretionary grant application package totals 1 to 2 MB. Therefore, you may want to check the total size of your package before submission.

Application Instructions

Electronic Application Format

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

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

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

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

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

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

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

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

Electronic Application Submission Checklist

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

Part 1: Preliminary Documents

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

Part 2: Budget Information

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

Part 3: ED Abstract Form

- Project Abstract

Part 4: Project Narrative Attachment Form

- Application Narrative

Part 5: Budget Narrative Attachment Form

- Budget Narrative

Part 6: Other Attachments Form

- Individual Resumes for Project Directors & Key Personnel
- Job Descriptions of Duties and Required Minimum Qualifications for Hiring
- Letters of Support (if any; not mandatory)
- Copy of Current Indirect Cost Agreement

Part 7: Assurances and Certifications

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

Part 8: Intergovernmental Review (Executive Order 12372)

- State Single Point of Contact (SPOC) List

Part 1: Preliminary Documents

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

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

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

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

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

Instructions for the SF-424

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

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

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

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

	<p>c. Organizational DUNS: (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting the Grants.gov website.</p>		<p>each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.</p>																								
	<p>d. Address: Enter the complete address as follows: Street address (Line 1 required), City (Required), County, State (Required, if country is US), Province, Country (Required), Zip/Postal Code (Required, if country is US).</p>	19.	<p>Is Application Subject to Review by State Under Executive Order 12372 Process? Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State</p>																								
	<p>e. Organizational Unit: Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the assistance activity, if applicable.</p>																										
	<p>f. Name and contact information of person to be contacted on matters involving this application: Enter the name (First and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.</p>	20.	<p>Is the Applicant Delinquent on any Federal Debt? (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.</p> <p>If yes, include an explanation on the continuation sheet.</p>																								
9.	<p>Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.</p> <table border="0" data-bbox="154 819 844 1312"> <tr> <td data-bbox="154 819 503 850">A. State Government</td> <td data-bbox="511 819 844 850">M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)</td> </tr> <tr> <td data-bbox="154 850 503 882">B. County Government</td> <td data-bbox="511 850 844 882">N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)</td> </tr> <tr> <td data-bbox="154 882 503 913">C. City or Township Government</td> <td data-bbox="511 882 844 913">O. Private Institution of Higher Education</td> </tr> <tr> <td data-bbox="154 913 503 945">D. Special District Government</td> <td data-bbox="511 913 844 945">P. Individual</td> </tr> <tr> <td data-bbox="154 945 503 976">E. Regional Organization</td> <td data-bbox="511 945 844 976">Q. For-Profit Organization (Other than Small Business)</td> </tr> <tr> <td data-bbox="154 976 503 1008">F. U.S. Territory or Possession</td> <td data-bbox="511 976 844 1008">R. Small Business</td> </tr> <tr> <td data-bbox="154 1008 503 1039">G. Independent School District</td> <td data-bbox="511 1008 844 1039">S. Hispanic-serving Institution</td> </tr> <tr> <td data-bbox="154 1039 503 1071">H. Public/State Controlled Institution of Higher Education</td> <td data-bbox="511 1039 844 1071">T. Historically Black Colleges and Universities (HBCUs)</td> </tr> <tr> <td data-bbox="154 1071 503 1102">I. Indian/Native American Tribal Government (Federally Recognized)</td> <td data-bbox="511 1071 844 1102">U. Tribally Controlled Colleges and Universities (TCCUs)</td> </tr> <tr> <td data-bbox="154 1102 503 1134">J. Indian/Native American Tribal Government (Other than Federally Recognized)</td> <td data-bbox="511 1102 844 1134">V. Alaska Native and Native Hawaiian Serving Institutions</td> </tr> <tr> <td data-bbox="154 1134 503 1165">K. Indian/Native American Tribally Designated Organization</td> <td data-bbox="511 1134 844 1165">W. Non-domestic (non-US) Entity</td> </tr> <tr> <td data-bbox="154 1165 503 1197">L. Public/Indian Housing Authority</td> <td data-bbox="511 1165 844 1197">X. Other (specify)</td> </tr> </table>	A. State Government	M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)	B. County Government	N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)	C. City or Township Government	O. Private Institution of Higher Education	D. Special District Government	P. Individual	E. Regional Organization	Q. For-Profit Organization (Other than Small Business)	F. U.S. Territory or Possession	R. Small Business	G. Independent School District	S. Hispanic-serving Institution	H. Public/State Controlled Institution of Higher Education	T. Historically Black Colleges and Universities (HBCUs)	I. Indian/Native American Tribal Government (Federally Recognized)	U. Tribally Controlled Colleges and Universities (TCCUs)	J. Indian/Native American Tribal Government (Other than Federally Recognized)	V. Alaska Native and Native Hawaiian Serving Institutions	K. Indian/Native American Tribally Designated Organization	W. Non-domestic (non-US) Entity	L. Public/Indian Housing Authority	X. Other (specify)	21.	<p>Authorized Representative: (Required) To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required) title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant.</p> <p>A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)</p>
A. State Government	M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)																										
B. County Government	N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)																										
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L. Public/Indian Housing Authority	X. Other (specify)																										

[U.S Department of Education note: As of spring, 2010, the FON discussed in Block 12 of the instructions can be found via the following URL: http://www.grants.gov/applicants/find_grant_opportunities.jsp.]

Instructions for the ED Supplemental Information for SF 424

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

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

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

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

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

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

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

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

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

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

*Control Center, U.S. Department of Education, Potomac
Center Plaza, 550 12th Street, S.W. Room 7076,
Washington, DC 20202-4260.*

Definitions for ED Supplemental Information for SF 424

Definitions:

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

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

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

PROTECTION OF HUMAN SUBJECTS IN RESEARCH

I. Definitions and Exemptions

A. Definitions.

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

—Research

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as “a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge.” *If an activity follows a deliberate plan whose purpose is to*

develop or contribute to generalizable knowledge it is research. Activities, which meet this definition, constitute research whether or not they are conducted or supported under a program that is considered research for other purposes. For example, some demonstration and service programs may include research activities.

—Human Subject

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

B. Exemptions.

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

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

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. *If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.* [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

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

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

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

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

II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives

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

A. Exempt Research Narrative.

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

B. Nonexempt Research Narrative.

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

(1) Human Subjects Involvement and Characteristics:

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

institutionalized individuals, or others who are likely to be vulnerable

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

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

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

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

where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

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

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

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

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

Part 2: Budget Information

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

This part of your application contains information about the Federal funding you are requesting. Remember that you must provide all requested budget information for each year of the project (up to 60 months) and the total column in order to be considered for Federal funding. Specific instructions for completing the budget forms are provided within this application package.

Instructions for completing ED Form 524 Section A and (if applicable) Section B:

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

Personnel (line 1): Enter project personnel salaries and wages only. Include fees and expenses for consultants on line 6. Include a statement describing the total commitment of time, and salary to be charged to the project for the Project Director and/or Coordinator.

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

Travel (line 3): Indicate the travel costs of employees from HEP project staff only. Include travel of persons such as consultants on line 6 (contractual) and travel of HEP students in groups on line 8 (other). Individual expenses for participant transportation should be included on line 11 (training stipends). Projects funded under this competition are encouraged to budget for a two-day OME Annual Meeting for HEP Directors in the Washington, DC area during each year of the project period.

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

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

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

Construction (line 7): Not applicable.

Other (line 8): Indicate all direct costs not covered on lines 1-6. For example, include costs such

as space rental, required fees, honoraria and travel (where a contract is not in place for services), training, and communication and printing costs. *Do not include costs that are included in the indirect cost rate.*

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

Indirect Costs (line 10): Indicate the applicant's approved indirect cost rate, per sections 75.560 – 75.564 of EDGAR. If an applicant does not have an approved indirect cost rate agreement with a cognizant Federal agency, the applicant must apply to the Department for a temporary indirect cost rate if it wishes to charge indirect costs to the grant. For more information, go to the Department's website at: <http://www.ed.gov/about/offices/list/ocfo/fipao/icgindex.html>.

Training Stipends (line 11): Indicate the total of all training stipends for each year of the project. Refer to Part 5 Budget Narrative program-specific instructions, Number 11 Training Stipends for more information.

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

Note on Sections A and B:

This program does not require cost-sharing or matching funds. An applicant that voluntarily provides non-federal resources to the project should show these funds for each applicable budget category on lines 1-11 of Section B, and provide an itemized breakdown for each budget category listed in Sections A and B.

Program-suggested guidelines for completing Section C, the Budget Narrative, are included in Part 5: Budget Narrative.

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..

Part 3: ED Abstract Form

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

Ensure that you only attach the Education approved file types detailed in the Federal Register application notice (.pdf). Also, do not upload any password-protected files to your application.

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

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

□ Project Abstract

The project abstract should not exceed **one** double spaced page and should include a concise description of the following information, preferably in the following order:

- Name of Applicant
- Location of Applicant by city and state
- Project objectives and activities
- Applicable priorities
- Proposed project outcomes
- Number of participants to be served annually, distinguished by commuter or residential
- Number and location of proposed sites
- Project targets for meeting each of the Government Performance Results Act (GPRA) measures each year

Part 4: Project Narrative Attachment Form

*This section should be attached as a **single** document to the Project Narrative Attachment Form in accordance with the instructions found on [Grants.gov](https://www.grants.gov) and should be organized in the following manner and include the following parts in order to expedite the review process.*

Ensure that you only attach the Education approved file types detailed in the Federal Register application notice (.pdf). Also, do not upload any password-protected files to your application.

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

Table of Contents

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

Application Narrative

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

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

- 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 project narrative, including titles, headings, footnotes, quotations, references, and captions. However, you may single space all text in charts, tables, figures, and graphs. Charts, tables, figures, and graphs presented in the project narrative count toward the page limit.
- Use a font that is either 12 point or larger or no smaller than 10 pitch (characters per inch).
- 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 of no more than 25 pages applies to the project narrative; however, the page limit does not apply to the cover sheet, the budget section, including the narrative budget justification, the assurances and certifications, nor the one-page abstract.

Appendices must be limited to 20 pages and must include the following: resumes, job descriptions, letters of support, and bibliography

Reviewers will not read any pages of your application that exceed the page limit for the project narrative.

Selection Criteria for Project Narrative

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

The applicant must address all the following criteria from 34 CFR 75.210 (General Selection Criteria). The total maximum score is 100 points for the following selection criteria. The maximum score for each criterion is indicated after each criterion.

	Selection Criteria	Maximum Points
1.	Need for Project	15 points
2.	Quality of Management Plan	20 points
3.	Quality of Project Design	20 points
4.	Quality of Project Services	15 points
5.	Quality of Project Personnel	10 points
6.	Adequacy of Resources	10 points
7.	Quality of the Project Evaluation	10 points

TOTAL SCORE (100 points maximum)

Panel readers will award points only for an applicant's response to a given selection criterion that is contained within the section of the application designated to address that particular selection criterion. Readers will not review, or award points for responses to a given selection criterion that are in any other section of the application or appendices. However, readers will use the information contained within the Budget and Budget Narrative sections of the application to award points for relevant selection criteria responses.

In describing the proposed project, applicants should address the seven selection criteria in the order in which they are listed above.

1. Need for project (15 points). The Secretary considers the need for the proposed project. In determining the need for the proposed project, the Secretary considers one or more of the following factors:

- (i) The magnitude of the need for the services to be provided or the activities to be carried out by the proposed project. (5 points)
- (ii) The extent to which the proposed project will focus on serving or otherwise address the needs of disadvantaged individuals (i.e., eligible migrant and seasonal farmworkers and their families). (5 points)
- (iii) The extent to which specific gaps or weaknesses in services, infrastructure, or opportunities have been identified and will be addressed by the proposed project, including the nature and magnitude of those gaps or weaknesses. (5 points)

2. Quality of the Management Plan (20 points). The Secretary considers the quality of the management plan. In determining the quality of the management plan the Secretary considers the following:

- (i) The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks. (5 points)
- (ii) The adequacy of the procedures for ensuring feedback and continuous improvement in the operation of the project. (5 points)
- (iii) The extent to which the time commitments of the project director and principal investigator and other key project personnel are appropriate and adequate to meet the objectives of the proposed project. (5 points)
- (iv) How the applicant will ensure that a diversity of perspectives are brought to bear in the operation of the proposed project, including those of parents, teachers, the business community, a variety of disciplinary and professional fields, recipients or beneficiaries of services, or others, as appropriate. (5 points)

Note: Applicants may address this criterion in any way that is reasonable. However, as required in section 418A (d) of the statute, “Each project application shall include a management plan which contains assurances that the grant recipient will coordinate the project, to the extent feasible, with other local, State, and Federal programs to maximize the resources available for migrant students, and that staff shall have a demonstrated knowledge and be sensitive to the unique characteristics and needs of the migrant and seasonal farmworker population, and provisions for:

- (1) staff in-service training;
- (2) training and technical assistance;
- (3) staff travel;
- (4) student travel;
- (5) interagency coordination; and
- (6) an evaluation plan.”

In addition, Section 206.20 (d) of the regulations requires that the grantee provide the following assurances “(1) the grantee will develop and implement a plan for identifying, informing, and recruiting eligible participants who are most in need of the academic and supporting services and financial assistance provided by the project; (2) the grantee will develop and implement a plan for identifying and using the resources of the participating IHE and the community to supplement and enhance the services provided by the project.”

3. Quality of Project Design (20 points). The Secretary considers the quality of the design of the proposed project. In determining the quality of the design of the proposed project, the Secretary considers the following factors:

- (i) The extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable. (5 points)

- (ii) The extent to which the design of the proposed project is appropriate to and will successfully address the needs of the target population or other identified needs. (5 points)
- (iii) The extent to which the proposed project will be coordinated with similar or related efforts, and with other appropriate community, State, and Federal resources. (5 points)
- (iv) The extent to which the proposed project will establish linkages with other appropriate agencies and organizations providing services to the target population. (5 points)

Note: When addressing factor (iii) applicants may want to consider including information on how they are meeting the requirements for coordination in the amended Section 418A(d) of the reauthorized Higher Education Act, which requires that the grant recipient coordinate its project, to the extent feasible, with other local, State, and Federal programs to maximize the resources available for migrant students.

4. Quality of Project Services (15 points). The Secretary considers the quality of the services to be provided by the proposed project. In determining the quality of the services to be provided by the proposed project, the Secretary considers the quality and sufficiency of strategies for ensuring equal access and treatment for eligible project participants who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability. In addition, the Secretary considers the following factors:

- (i) The extent to which the training or professional development services to be provided by the proposed project are of sufficient quality, intensity, and duration to lead to improvements in practices among the recipients of those services. (5 points)
- (ii) The likelihood that the services to be provided by the proposed project will lead to improvements in the skills necessary to gain employment. (5 points)
- (iii) The extent to which the services to be provided by the proposed project are focused on those with greatest needs. (5 points)

5. Quality of Project Personnel (10 points). The Secretary considers the quality of the personnel that will carry out the proposed project. In determining the quality of project personnel, the Secretary considers the extent to which the applicant encourages applications for employment from persons who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability. In addition, the Secretary considers the following factors:

- (i) The qualifications, including relevant training and experience, of the project director or principal investigator. (3 points)
- (ii) The qualifications, including relevant training and experience of key project personnel. (4 points)
- (iii) The qualifications, including relevant training and experience, of project consultants or subcontractors. (3 points)

Note: Applicants may address this criterion in any way that is reasonable. Given the purpose of the HEP project, the applicant may want to consider the staff sensitivity and understanding of the unique characteristics and needs of the migrant and seasonal farmworker population.

6. Adequacy of Resources (10 points). The Secretary considers the adequacy of resources for the proposed project. In determining the adequacy of resources for the proposed project, the Secretary considers the following factors:

- (i) The adequacy of support, including facilities, equipment, supplies, and other resources, from the applicant organization or the lead applicant organization. (2 points)
- (ii) The relevance and demonstrated commitment of each partner in the proposed project to the implementation and success of the project. (2 points)
- (iii) The extent to which the budget is adequate to support the proposed project. (2 points)
- (iv) The extent to which the costs are reasonable in relation to the number of persons to be served and to the anticipated results and benefits. (2 points)
- (v) The potential for the incorporation of project purposes, activities, or benefits into the ongoing program of the agency or organization at the end of Federal funding. (2 points)

Note: When addressing this criterion, applicants may want to consider including the information in section 206.20 (d) (2) of the regulations which requires applicants to develop and implement a plan for identifying and using the resources of the participating IHE and the community to supplement and enhance the services provided by the project.

7. Quality of the Project Evaluation (10 points). The Secretary considers the quality of the evaluation to be conducted of the proposed project. In determining the quality of the evaluation, the Secretary considers the following factors:

- (i) The extent to which the methods of evaluation are appropriate to the context within which the project operates. (3 points)
- (ii) The extent to which the methods of evaluation provide for examining the effectiveness of project implementation strategies. (3 points)
- (iii) The extent to which the methods of evaluation will provide performance feedback and permit periodic assessment of progress toward achieving intended outcomes. (4 points)

Important note about the project evaluation: A strong evaluation plan should be included in the application narrative and should be used, as appropriate, to shape the development of the project from the beginning of the grant period. The plan should include benchmarks to monitor progress toward specific project objectives and also outcome measures to assess the impact on teaching and

learning or other important outcomes for project participants. More specifically, the plan should identify the individual and/or organization that have agreed to serve as evaluator for the project and describe the qualifications of that evaluator.

The plan should describe the evaluation design, indicating: (1) what types of data will be collected; (2) when various types of data will be collected; (3) what methods will be used; (4) what instruments will be developed and when; (5) how the data will be analyzed; (6) when reports of results and outcomes will be available; and (7) how the applicant will use the information collected through the evaluation to monitor progress of the funded project and to provide accountability information both about success at the initial site and effective strategies for replication in other settings. Applicants are encouraged to devote an appropriate level of resources to project evaluation.

Additional Factors

We remind potential applicants that in reviewing applications in any discretionary grant competition, the Secretary considers, under 34 CFR 75.217(d)(3), the past performance of the applicant in carrying out a previous award, such as the applicant's use of funds, and compliance with grant conditions. The Secretary may also consider whether the applicant failed to submit a timely performance report or submitted a report of unacceptable quality.

In addition, in making a competitive grant award, the Secretary also requires various assurances including those applicable to Federal civil rights laws that prohibit discrimination in programs or activities receiving Federal financial assistance from the Department of Education (34 CFR 100.4, 104.5, 106.4, 108.8, and 110.23).

Competitive Preference Priorities

Novice Applicant (maximum 5 points)— An applicant meeting the requirements for “novice applicant” as defined in 34 CFR 75.225(a) should identify itself as such per the instructions for the Application for Federal assistance form (SF-424) in order to receive five additional points.

A novice applicant as defined in 34 CFR 75.225(a) 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.

Prior Experience of Service Delivery (up to 15 points)— With respect to applicants with an expiring HEP project, the Secretary will consider the applicant's prior experience in implementing its

expiring HEP project based on information contained in documents previously provided to the Department, such as annual performance reports, project evaluation reports, site visit reports, and the previously approved HEP application.

Part 5: Budget Narrative

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

Ensure that you only attach the Education approved file types detailed in the Federal Register application notice (.pdf). Also, do not upload any password-protected files to your application.

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

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

This section requires an **itemized budget breakdown** for each project year and the **basis for estimating the costs** of personnel salaries, benefits, project staff travel, materials and supplies, consultants and subcontracts, indirect costs and any other projected expenditures. Be sure to complete an itemized budget breakdown and narrative for each year of the proposed project (up to 60 months).

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

Though not required, if an applicant chooses to include non-federal funds in the application, the applicant must include the non-federal funds in Section B of Form 524 and include a description of the use of funds in the budget narrative. As a reminder, if an applicant proposed non-federal matching funds and they are awarded a grant the grantee must provide those funds for each year the fund are proposed.

Important Notes

- Applicants are encouraged to review OMB Circular A-21, *Cost Principles for Educational Institutions*, OMB Circular A-87, *Cost Principles for State, Local, and Indian Tribal Governments* or OMB Circular A-122, *Cost Principles for Nonprofit Organizations* in preparing their budget and budget narrative. These circulars are now codified in CFR 2, Parts 220, 225 and 230, respectively.
- OMB Circular A-21 may be found at the following link:
http://www.whitehouse.gov/omb/circulars/a021/a21_2004.html
- OMB Circular A-87 may be found at the following link:
http://www.whitehouse.gov/omb/circulars/a087/a87_2004.html
- OMB Circular A-122 may be found at the following link:
http://www.whitehouse.gov/omb/circulars/a122/a122_2004.html

Suggested Guidelines for the Budget Narrative

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

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

1. Personnel

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

2. Fringe Benefits

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

3. Travel

- Explain the purpose of the travel, how it relates to project success, how it aligns with the project goals and objectives and which program participants or staff will participate.
- Submit an estimate for the number of trips, points of origin and destination, and purpose of travel.
- Submit an itemized estimate of transportation and/or subsistence costs for each trip.
- Provide the basis for cost estimates or computations.
- Identify travel costs only for project personnel paid from grant funds (*all student participants' travel costs are to be explained under Number 8, Other, below*).

4. Equipment

- Indicate the estimated unit cost for each item to be purchased. Remember, if you are using your organization's definition of equipment, and not the definition as defined in federal regulation, please explain the organization's definition and policy.
- Identify each type of equipment.
- Provide adequate justification of the need for items of equipment to be purchased.
- Explain the purpose of the equipment, and how it relates to project success.
- Provide the basis for cost estimates or computations.

5. Supplies

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

6. Contractual

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

7. Construction

- Not applicable.

8. Other

- List and identify items by major type or category (e.g., communications, printing, postage, equipment rental, etc.).
- Provide the cost per item (printing = \$500, postage = \$750).
- Provide the purpose for the expenditures and relation to project success.
- Provide the basis for cost estimates or computations.
- Include here costs for travel and fees directly related to scheduled program activities and events in which students collectively participate in program-organized groups.

9. Total Direct Costs

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

10. Indirect Costs

- Identify indirect cost rate (if the applicant will charge indirect costs to the grant). Your business office should complete the Indirect Cost Information fully on form ED 524.)
- *Note:* remember to provide a copy of the most recent approved indirect cost agreement in the Other Attachments form section of the application.

11. Training Stipends

- Name and identify all stipends (e.g., tuition; transportation; child care) and amounts for which student participants can qualify.
- Identify the number of student participants you propose to cover each year for each named stipend.
- Tuition and related fees must be identified under this training stipend category. “Related fees” of tuition include textbooks and course-required supplies, registration fees, room and board, and any allowable stipend payable on behalf of a program participant in order to assist students in successfully completing the program.
- Provide the purpose of the scholarship/stipend award.
- Identify who will benefit from a named scholarship or stipend.
- Explain the importance of the scholarship/stipend to the success of the project.

12. Total Costs

- Sum total of direct costs, indirect costs, and stipends.

- Please provide total costs for each year of the project as well as grand total cost for the entire project period (up to 60 months)

Important Information Regarding Indirect Cost Rates

Grants awarded under the High School Equivalency Program (CFDA 84.141A) have been designated training grants. The Education Department General Administrative Regulations (EDGAR) limit reimbursement of indirect costs under training grants to non-governmental grantees (subject to 34 CFR Part 74). These grantees may recover indirect costs under training grants up to the grantee's actual indirect costs as determined by the grantee's negotiated indirect cost agreement or a maximum of 8% of a modified total direct cost, whichever is less.

Note: This limitation does not apply to State agencies, local governments or Federally-recognized Indian tribal governments. [§75.562(c) (2)]

Grantees charging indirect costs to an ED training grant at the 8% rate should have a negotiated rate with their cognizant agency, i.e., either the Federal agency from which it has received the most direct funding subject to indirect cost support, the particular agency specifically assigned cognizance by the Office of Management and Budget or the State agency that provides the most subgrant funds to the grantee.

Although applicants are not required to submit with their application a copy of their indirect cost agreement to claim the 8% rate for funding received in this program, they are required to have documentation available for audit that shows that their negotiated indirect cost rate is at least 8% [§75.563(d)].

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

Part 6: Other Attachment Form

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

Ensure that you only attach the Education approved file types detailed in the Federal Register application notice (.pdf). Also, do not upload any password-protected files to your application.

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

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

- Individual Resumes for Project Directors and Key Personnel:** If the project director and key personnel have been selected and identified in the application, provide brief resumes that describe their unique qualifications for the responsibilities they will carry out under the project. If the project director and key personnel have not been selected, at least provide the Job Descriptions and minimum required qualifications for their positions (see below).
- Job Descriptions:** Regardless of whether or not the project director and key personnel have been selected, provide brief job descriptions that outline the minimum required qualifications, responsibilities and duties of these positions under the project. These will be the standards the Department will use for approval of key personnel changes.
- Letters of Support (if any):** Applicants may provide letters of support from organizations specifically referenced in the project narrative that will provide significant collaboration to the project.
- Copy of Indirect Cost Rate Agreement:** If an applicant decides to charge indirect costs to this program and there is an indirect cost rate in place, the applicant shall provide a copy of the most recent approved Indirect Cost Agreement in the Other Attachments Form section of the application.

If an applicant decides to charge indirect costs to this program and there is a no indirect cost rate in place, the applicant must follow the instructions found in the Important Information Regarding Indirect Cost Rates section found in this application package.

Part 7: Assurances and Certifications

Be certain to complete all required assurances and certifications in [Grants.gov](https://www.grants.gov), and include all required information in the appropriate place on each form. The assurances and certifications required for this application are:

- Assurances for Non-Construction Programs (SF 424B Form)
- Disclosure of Lobbying Activities (SF LLL Form)
- Certification Regarding Lobbying (ED 80-0013 Form)
- General Education Provisions Act (GEPA) Requirements – Section 427
- Survey on Ensuring Equal Opportunity for Applicants (form 1890-0014)

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

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

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

(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

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

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

All applicants for new awards **must** include information in their applications to address this new provision in order to receive funding under this program.

Section 427 **requires** each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs.

This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age.

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

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

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

Survey Instructions on Ensuring Equal Opportunity for Applicants

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

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

Paperwork Burden Statement

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

Part 8: Intergovernmental Review of Federal Programs (Executive Order 12372)

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

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

Further information about the State Single Point of Contact (SPOC) process and a list of names by State can be found at:

<http://www.whitehouse.gov/omb/grants/spoc.pdf>

Absent specific State review programs, applicants may submit comments directly to the Department. All recommendations and comments must be mailed or hand-delivered by the date indicated in the actual application notice to the following address: The Secretary, EO 12372--CFDA# 84.141A, U.S. Department of Education, room 7E200. 400 Maryland Avenue, SW., Washington, DC 20202.

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

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

Not all states have chosen to participate in the intergovernmental review process, and therefore do not have a SPOC. If you are located in a State that does not have a SPOC, you may send application materials directly to the Department as described in the *Federal Register* notice.

Reporting and Accountability

Successful applicants with multi-year grants must submit an **annual performance report** demonstrating their progress in meeting approved project objectives. Grantees must also provide the most current financial and performance measure data for each year of the project. Grantees are required to submit the HEP Annual Performance Report (APR) Form, which is included for reference in this application package. This form is generally due on November 15 for the most recently ending budget period.

At the end of the project period, applicants will also be required to submit a **final performance report**. A sample of the 2011 APR has been provided in the following section.

Government Performance and Results Act (GPRA) Indicators

Under the Government Performance and Results Act (GPRA), the following two performance indicators have been established to evaluate the overall effectiveness of the HEP. Grantees are required to report on the following GPRA performance measures:

1. The percentage of HEP program exiters receiving a General Educational Development (GED) diploma.
2. The percentage of HEP GED recipients who enter postsecondary education or training programs, upgraded employment, or the military.

With regard to the GPRA measures, grantees are required to report on the APR specific performance data, including:

- the number of HEP participants the project was funded to serve each year of the grant;
- the number of HEP participants that completed the GED for each year of the grant (GPRA target for measure 1); and,
- the number of GED recipients that entered postsecondary education or training programs, upgraded employment or the military (GPRA target for measure 2).

Grantees are required to report additional project performance data, as described in the APR package. Specific instructions for requirements on grantee reporting, as well as information on how the percentages for GPRA measures will be computed, are also included in the APR form. In addition to the specific data elements that are required for reporting on the APR form, grantees are required to report on any other project-specific objectives that are stated in their application.

Grantees will be held accountable for meeting the national targets for the HEP GPRA measures. While the exact GPRA targets for all five years of the grant have not been set (since some of the targets for subsequent years will be determined after additional baseline data is collected on the APR), the following are the national targets for FY 2012:

- For GPRA measure 1, the target is 69 percent for FY 2012.
- For GPRA measure 2, the target is 80 percent for FY 2012.

The program office will use project performance data reported in the APR in making determination decisions for continuation awards.

**High School Equivalency Program
U.S. Department of Education
Annual Performance Report Form and
Final Performance Report**

Sample University
S141A_____

Introduction

The High School Equivalency Program (HEP) is intended to assist migrant and seasonal farmworker students in obtaining the equivalent of a high school diploma and, subsequently, to begin postsecondary education, enter military service, or obtain employment. The legislation that authorizes the HEP program, the Higher Education Act of 1965, as amended by the Higher Education Opportunity Act of 2008, and the Education Department General Administrative Regulations (EDGAR), 34 CFR 75.590 require each of the funded projects to submit an annual performance report demonstrating that substantial progress has been made towards meeting the approved objectives of the project. In addition, grantees are required to report on their progress toward meeting the performance measures established for the ED grant program. This Annual Performance Report (APR) is the tool designated by the Department for reporting.

The HEP GPRA measures are listed below:

Objective 1 of 2: An increasing percentage of HEP participants will receive their General Educational Development (GED) diploma.

Measure 1.1 of 1: The percentage of HEP program exiters receiving a General Educational Development (GED) diploma. (Desired direction: increase¹)

Calculation: This measure is calculated by dividing the number of GED attainers (the number of HEP GED eligible students who received a GED certificate by the end of the budget period) by the total number funded, as per the approved application by the Office of Migrant Education (OME), or the number actually served (whichever is greater), MINUS the number of persisters.

For example:

- a. For grantees who actually serve **LESS** than the number funded to be served or serve **exactly** the total number funded to be served

$$\text{Project-level GPRA Measure 1} = \frac{\text{total number of GED attainers}}{[\text{total no. funded to be served minus total number of persisters}]}$$

- b. For grantees who actually serve **MORE** than the number funded to be served:

¹ Note: increasing percentages of HEP participants receiving GEDs and placement in postsecondary education, upgraded employment or military is the goal for the program office at the national level. Projects will be assessed individually, on an annual basis, as to their contribution to these measures.

Project-level *GPRA* Measure 1= total number of GED attainers
 [total no. actually served minus total number of persisters]

Example:

Grant Year	Incoming Students			Outgoing Students				GPRA 1.1 (Percent attaining a GED)
	Total Funded	New	Returning from Previous Year	Total Funded	GED Attainers	Withdrawals	Persisters (coming back in subsequent year)	
Year 1	100	100	0	100	65	30	5	68%
Year 2	100	95	5	100	70	25	5	74%

In this example, for grant year 1, the denominator equals 95 (100 total funded minus 5 persisters). The numerator equals 65 (GED attainers), for a “success rate” of 65/95 or 68 percent. For grant year 2, the denominator equals 95 (100 total funded minus 5 persisters). The numerator equals 70 (GED attainers), for a success rate of 70/95 or 74 percent.

Note: *The APR does not address the total number of participants recruited to be served. Each grantee may be serving fewer students than they recruit. Grantees are required to report the number funded to be served (not recruited).*

Objective 2 of 2: An increasing percentage of HEP recipients of the GED will enter postsecondary education or training programs, upgraded employment, or the military.
Measure 2.1 of 1: The percentage of HEP GED recipients who enter postsecondary education or training programs, upgraded employment, or the military. (Desired direction: increase)
Calculation: This measure is calculated by dividing the number of GED attainers who entered postsecondary education or training programs, upgraded employment, or the military by the total number of GED attainers.

Example:

Grant Year	Total GED Attainers	Entered Postsecondary Education or Training Programs or Upgraded Employment or Entered the Military	GPRA 2.1 (Percent achieving placement)
Year 1	65	60	92%
Year 2	70	50	71%

In this example, for grant year 1, data collected in the first quarter of grant year 2 indicates that, of the 65 GED attainers, 60 entered postsecondary education or upgraded their employment or entered the military (this is an unduplicated count). The numerator is 60, the number of GED attainers who entered postsecondary education or training programs, upgraded employment, or

the military. The denominator is 65, the number of GED attainers, for a placement of 60/65, or 92 percent. For grant year 2, in which there were 70 GED attainers, the numerator equals 50, for a success rate of 50/70 or 71 percent.

Note: The program office believes that “upgraded employment” is consistent with the intention of funding, which is to improve the employment prospects of individuals through attainment of the GED. For some individuals, attaining a GED may be a requirement of continued employment; this also is consistent with the intention of funding.

The program office also will calculate two efficiency measures for each project. Grantees do not calculate or report on these measures. Rather, data that grantees report will be used to calculate the measures, which are provided below.

Efficiency Measure 1 of 2: Project success efficiency ratios are calculated as, per budget period, the total budget awarded for that budget period divided by the number of GED attainers (*reported by grantees*).

Efficiency Measure 2 of 2: Project services efficiency ratios are calculated as, per budget period, the total budget awarded for that budget period divided by the number of students served in HEP GED instruction (*reported by grantees*).

Project Name: Sample University
PR Number: S141A_____

Grant Year: Y1___ Y2___ Y3___ Y4___ Y5___
Reporting Period: __/__/20__ - __/__/20__
Example of Reporting Period: 07/01/2010 – 06/30/2011

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 1810-0684. The time required to complete this information collection is estimated to average 40 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, Washington, D.C. 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Migrant HEP program, U.S. Department of Education, 400 Maryland Avenue, SW, Washington, D.C. 20202-4651.

Instructions for Migrant HEP Annual Performance Report Form

The annual performance report (APR) must be completed and submitted by November 1st of each project year (unless an extension has been granted by the program office). This same APR form also will be submitted as a Final Performance Report (FPR). In this case, the FPR encompasses the entire project period and must be submitted by November 1st of the final project year in addition to the APR of the fifth year (unless an extension has been granted by the program office).

If you have questions about how to complete this form, contact your assigned program officer.

This HEP performance report is divided into a **Cover Sheet** and the following six sections:

Section A – HEP Project Statistics and Reporting for GPRA

Section B – HEP Project Student Participant Information

Section C – HEP Project Services Information

Section D – HEP Project Goals and Objectives

Section E – HEP Project Budget Information

Section F – GPRA 1 Documentation and Additional Information

Data Utilization

Together, these sections will be used by the program office to answer the following evaluation questions decided upon by the program office:

1. To what extent have program goals been accomplished? (Section A; GPRA reporting)
2. What service models had the most positive outcomes? (Sections B and C)
3. What service models had the best efficiency ratios? (Sections C and E)
4. What percentage of project goals was achieved (i.e., met or exceeded)? (Section D)

Findings from aggregated grantee reports, as they pertain to the above stated evaluation questions, will be published for public record and for program and grantee use in better understanding effective service models and strategies.

5. Instructions for Cover Sheet

The following *Cover Sheet* information is included here in the APR “Instructions” for guidance purposes only. The actual Cover Sheet is not included in the APR form because it must be completed separately in the G5 system.

Complete the Cover Sheet with the appropriate information. Instructions for items 1 and 3 through 7 are included on the Cover Sheet. Instructions for items 2 and 8 through 11 are included in this instruction sheet.

Question 2. Grantee NCES ID Number/Item 2

-- Annual and Final Performance Reports:

Please Note: Item 2 only applies to grantees that are Institutions of Higher Education (IHE), SEAs, Local Educational Agencies (LEA), public libraries, and public, charter, and private elementary or secondary schools. Grantees that are State Educational Agencies (SEA) should locate and record their state's FIPS (Federal Information Processing Standards) code in lieu of the NCES ID number

To locate your NCES ID number or FIPS code, please go to the applicable website listed below. Depending on your organization type, this number will range from 2 to 12 numeric digits.

- IHEs (IPEDS ID); Public Libraries (Library ID); and Public, Charter and Private Schools (NCES School ID): <http://nces.ed.gov/globallocator>
- LEAs (NCES District ID): <http://nces.ed.gov/ccd/districtsearch/>
- SEAs (FIPS code): To obtain your state's FIPS code, please search on any public school district in your state at: <http://nces.ed.gov/ccd/districtsearch/>. The FIPS code is the first two digits of the NCES District ID number for any public school district in a state.

Question 5. Grantee Address

Instructions for Submitting Address Changes

-- Annual and Final Performance Reports:

If the certifying representative's address that is listed in Block 1 of your GAN has changed, submit the new name and contact information in section F, Additional Information.

Question 7. Reporting Period

-- Annual Performance Reports:

Due Date: Annual performance reports must be submitted by November 15th of each project year. If you receive a no-cost time extension from ED for the budget period, the APR is due 90

days after the revised project period end date. Please follow instructions from the program office regarding the specific due date of the APR for your project.

The reporting period is aligned with the current budget period. The start date for your current budget period may be found in Block 6 of the GAN. Complete data on all measures are due with this performance report.

-- Final Performance Reports:

Due Date: Final performance reports must be submitted by November 15th of the final project year. If you receive a no-cost time extension from ED for the fifth year of this grant, the final performance report is due 90 days after the revised project period end date. This final performance report **is separate from and in addition to** the APR for the fifth year of the project. Thus, in the fifth year of the project, grantees must submit both a) an APR containing data on the fifth project year and b) an FPR containing data on all five project years.

Please enter the start and end date for the entire performance period of your grant from Block 6 of the GAN. The reporting period for your final performance report covers the entire performance period (five years). Complete data on all performance measures are due with this final performance report.

Question 8. Budget Expenditures [Also See Section E]

The budget expenditure information requested in items 8a – 8b must be completed by your Business Office.

Note: For the purposes of this report, the term budget expenditures means allowable grant obligations incurred during the periods specified below. (See EDGAR, 34 CFR 74.2; 75.703; 75.707; and 80.3, as applicable.)

For budget expenditures made with Federal grant funds, you must provide an explanation in Section E (Budget Information), if you have not drawn down funds from the G5 System to pay for these budget expenditures.

--Annual Performance Reports:

- Report your actual budget expenditures for the current reporting budget period to date (i.e. through 30 days before the due date of this report) in item 8a. Some expenditures that were encumbered during the current reporting budget period may have cleared after the close of the budget period. Those expenditures should be included in 8a as well. Please separate expenditures into Federal grant funds and non-Federal funds (match/cost-share) expended for the project during the current budget period to date.

--Final Performance Reports:

- Report your actual budget expenditures for the entire final budget period in item 8a. Please separate expenditures into Federal grant funds and non-Federal funds (match/cost-share) expended for the project during the entire final budget period.
- Report your actual budget expenditures for the entire project period (performance period) in item 8b. Please separate expenditures into Federal grant funds and non-Federal funds (match/cost-share) expended for the project during the entire project period. Your project period (performance period) start and end dates are found in Block 6 of the GAN.

Question 9. Indirect Costs

The indirect cost information requested in Items 9a – 9d must be completed by your Business Office.

--Annual and Final Performance Reports:

- Item 9a -- Please check “yes” or “no” in item 9a to indicate whether or not you are claiming indirect costs under this grant.
- Item 9b -- If you checked “yes” in item 9a, please indicate in item 9b whether or not your organization has an Indirect Cost Rate Agreement that was approved by the Federal government.
- Item 9c -- If you checked “yes” in item 9b, please indicate in item 9c the beginning and ending dates covered by the Indirect Cost Rate Agreement. In addition, please indicate whether ED or another Federal agency (Other) issued the approved agreement. If you check “Other,” please specify the name of the Federal agency that issued the approved agreement. For final performance reports only, check the appropriate box to indicate
- Item 9d – For grants under Restricted Rate Programs (EDGAR, 34 CFR 75.563), please 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 EDGAR, 34 CFR 76.564(c)(2). Check only one response. Enter “N/A” if this item is not applicable.

Question 10. Annual Institutional Review Board (IRB) Certification

--Annual Performance Reports Only:

Annual certification is required if Attachment HS1, Continuing IRB Reviews, was attached to the GAN. If this is the case, grantees must attach the IRB certification.

Question 11. Certification

--Annual and Final Performance Reports:

Project Name: Sample University
PR Number: S141A_____

Grant Year: Y1___ Y2___ Y3___ Y4___ Y5___
Reporting Period: __/__/20__ - __/__/20__
Example of Reporting Period: 07/01/2010 – 06/30/2011

The grantee's authorized representative must sign the certification for this form. The authorized representative is the person who signed the grant application or has been officially designated to sign the performance report. The Office of Migrant Education should receive documentation indicating who the authorized representatives are and whether changes have occurred since signing of the grant application.

If the grantee has any known internal control weaknesses concerning data quality (as disclosed through audits or other reviews), this information must be disclosed under Section F (Additional Information), as well as the remedies taken to ensure the accuracy, reliability, and completeness of the data.

Instructions for Sections A, B, and C

- If the value to be reported is zero, then enter a “0” in the cell; do not leave the cell blank.
- If the data prompt to be reported is not applicable to your project, then enter “N/A” in the cell; do not leave the cell blank.

Instructions for Sections A and B

Sections and B contain columns for years one through five of the project and for the final performance report. Fill in the column that corresponds to the project year that is being reported. In year one, this would be column Y1. In year two, this would be Y2, etc. Note that successive annual performance reports will maintain prior year’s data; this data will be pre-populated by the program office for previous years. Also, the final performance report figures, entered into column F, should be cumulative counts of the prior five years.

Example:

In **year one** of a project funded to serve 100 total students per year, data entry would look like:

<i>Example</i>	Y1	Y2	Y3	Y4	Y5	F
a. Number funded to be served	100					

In **year two**, the APR should take the following format:

<i>Example</i>	Y1	Y2	Y3	Y4	Y5	F
a. Number funded to be served	100	100				

The **final performance report** should take the following format:

<i>Example</i>	Y1	Y2	Y3	Y4	Y5	F
a. Number funded to be served	100	100	100	100	100	500

Instructions for Section A – HEP Project Statistics and Reporting for GPRA

Section A collects data on the number of students served and the number of students achieving program and project objectives. Items from section A are used to calculate GPRA and efficiency measures.

Item A1

Item A1 requests information on the number of students served during the budget period. Item A1a requests data on the number of students that the project was funded to serve. Item A1b requests data on the number of students actually served in GED instruction, which is further disaggregated in items A1b 1 and 2 into the number of students served in GED instruction who were new participants and returning participants, respectively.

Definitions

- **Budget Period:** 12-month period of time beginning on the date found in Block 6 of the GAN.
- **Number funded to be served:** Number of participants officially funded by the HEP grant to be enrolled in GED instruction in your HEP project in this budget period.
- **Number served in HEP GED instruction:** The number of HEP GED eligible students who completed intake and were enrolled and attending HEP GED instruction for at least 12 hours of instructional services in this budget period.
- **New participant:** The number of HEP GED eligible students who completed intake and were enrolled and attending HEP GED instruction for at least 12 hours of instructional services in this budget period who were **new** to the project (i.e., not enrolled in HEP GED instruction in the immediately previous budget period).
Note: 1.) Students who participated in HEP services during budget periods other than the immediately previous budget period are considered “New Participants.”
2. This count would also include any students who participated in HEP services in the immediately previous budget period, but were not counted as persisters at the end of that budget period because they did not enroll in the HEP services during the current budget period until after the APR was submitted on November 1st.
- **Returning participant:** The number of HEP GED eligible students who met the following criteria:
 - completed intake in the budget period immediately previous to the one being reported,
 - did not attain a GED in the budget period immediately previous to the one being reported, but either
 - was enrolled and attending HEP GED instruction for at least 12 hours of instructional services in the reported budget period, or
 - was enrolled for the sole purpose of taking the GED assessment in the reported budget period.

Note: 1) This count should equal the number of persisters from the budget period **immediately previous to the one being reported**. In other words, this count includes

students who participated in project services in the budget year reported on but did not complete intake in the reported budget period.

2) Students from the immediately previous budget period who returned to the reported budget period after the November 15th due date for the APR, must be reported as “New Participants” in the reported budget period.

3) Similarly, students who return to HEP in the reported budget period from any other budget period other than the immediately previous budget period are to be reported as “New Participants” in the reported budget period.

4. Projects in Year 1 of the grant will have no returning participants.

Data quality check

- The number of students reported in items A1b1 and A1b2 should sum exactly to the number of students reported in item A1b.
- The number of returning students (item A1b2) should equal the number of persisters reported in Item A2c in the previous year’s APR.

Reporting Block, Item A1 (For illustration purposes only; do not report data here)

A1. Number of students served during budget period.	Y1	Y2	Y3	Y4	Y5	F
a. Number funded to be served		60	60	60	60	
b. Number served in HEP GED instruction (<i>note: A1b1 + A1b2 should sum to equal A1b</i>)		48	60	60		
1. Number served who were new participants (first year in HEP) (subset of A1b)		45	55	57		
2. Number served who were returning participants (N/A in Year 1 of grant) (subset of A1b)		3	5	3		

Item A2

Item A2 collects data on the status of student participants at the end of the reported budget period. Item A2a requests data on the total number of students who attained their GED during the reported budget period (GPRA 1) while item A2b requests data on the total number of students who withdrew from the project. Item A2c requests data on the number of persisters who will be returning for services in the subsequent year. Item A2d requests data on the number of persisters who completed project services (i.e., course completers), but did not withdraw or attain a GED and returned for additional project services. Note that students may be classified into one status group only (i.e., provide an unduplicated count of students).

All HEP projects are also required to submit to OME, as a supplement to their APR, a list of their students who have obtained a GED during that reporting period. This documentation supports the information reported in item A2a (GPRA I). The list should include:

- Students' names,
- Student ID numbers (where applicable),

- GED verification numbers/codes, certificate numbers/codes, or diploma numbers/codes, and
- Date of GED attainment

Please use the GPRA Documentation form provided to you as an appendix to the APR to complete your student list. A sample of a portion of the form is provided immediately below, but use the full form to complete your GPRA 1 documentation list. This list must be:

- 1.) completed as a Word document,
- 2.) *scanned into PDF format (to capture authorizing signatures), and then,*
- 3.) uploaded into the G5 system as a “Narrative.”

Please note that this process is unlike the uploading process for the APR. Instead of being *scanned* into a PDF, the APR must be *converted into a PDF using the Adobe feature* and then uploaded into G5 as a “Narrative.”

Sample:

	<i>Student Name</i>	<i>GED Certificate Number</i>	<i>The date of the last sub-test taken and passed that yielded the GED certificate (MO/DAY/YR)</i>	<i>Did the date of the last sub-test occur during the current reporting period? (Yes/No)</i>
1.	Rosa Flores	999-999-999	Yes	Yes
2.				
3.				

Definitions

- **GED attainers:** The number of HEP GED eligible students who received a GED certificate by the end of this budget period. To best capture this data, the grantee should maintain a database of the students enrolled in the project, identifying those students who attain a GED as well as the date of GED attainment. This procedure should apply to all counts for which **actual** (as opposed to projected) attainment or placement data is necessary.
- **Withdrawals:** The number of HEP GED eligible students who:
 - were enrolled and attending HEP GED instruction for at least 12 hours of instructional services in the reported budget period,
 - left the HEP GED program without completing coursework or attaining a GED, and
 - did not return for instruction in the subsequent budget period.

This count should include students who took the GED test battery without completing coursework, and without passing the test battery. Students who do not complete coursework, but do attain a GED, should be counted as “GED attainers.” Students that complete the coursework but do not pass the GED and do not re-enroll should be counted in “Course

Completers”. A withdrawal indicates that a student left project services completely. If a student who withdrew returns to project services, he/she should complete the intake process again and be counted as a “new” student in that budget period.

- **Persisters:** The number of HEP GED eligible students who:
 - completed intake and were enrolled and attending HEP GED instruction for at least 12 hours of instructional services in the reported budget period and did not attain a GED, but either
 - re-enrolled for continuing instructional services in support of a GED in the **subsequent** budget period prior to the Nov. 15th APR submission date, or
 - re-enrolled for the sole purpose of taking the GED assessment in the subsequent budget period prior to the Nov. 15th APR submission due date.

Note: Persisters can be counted in all years of the 5-year grant cycle (i.e., Y1-Y5).

- **Course Completers:** The number of HEP GED eligible students who:
 - completed intake and were enrolled and attending HEP GED instruction^f for at least 12 hours of instructional services in this budget period,
 - completed coursework during this budget period,
 - did not attain a GED during this budget period, and
 - did not reenroll in the subsequent budget period.

This count should include students who completed the course of study, but did not attempt the GED test battery or did not pass the GED test battery. These are students who did not reenroll the following budget period. If students reenroll, they are to be counted as "persisters," whether they complete the courses or not. More specifically, course completers refers to the number of HEP GED eligible students who were enrolled and attending project instruction for at least 12 hours of instructional services and completed coursework but did not attain a GED and did not re-enroll in the subsequent budget period prior to the November 15th APR submission due date. These students should not be counted as withdrawals.

- **Target number of GED attainers:** the target for total number of GED attainers served over the entire project period, which was established by each project in its approved application.

Data quality checks

- The sum of items A2a-d should equal the count reported in item A1b (no. served).
- The number of persisters reported here would be equal to the participants in the subsequent budget period’s APR.

Reporting Block, Item A2 (For illustration purposes only; do not report data here)

A2. Status at the end of budget period. (note: A2a-d should sum to equal the number reported in A1b(no. served)).	Y1	Y2	Y3	Y4	Y5	F
a. Number of GED attainers (Obj. 1 National Target: 69%) (GPRA 1)						
b. Number of withdrawals						
c. Number of persisters (came back to continue in the subsequent budget period; persisters were enrolled in instructional services in the budget period reported but did not yet complete their first academic year of college and have returned in the subsequent						

budget period to continue instructional services).						
d. Number of course completers						

Item A3 (GPRA 2)

Item A3 collects data on the post-GED placement of GED attainers. The counts reported in items for A3a are subsets of the total number of GED attainers who received follow-up (reported on in Item A4). This count is a subset or equal to the count reported in A2a (no. of GED attainers). As a subset, the count reported in item A3a should be equal to or less than the count reported in Item A4, which should be equal to or less than the count reported in Item A2a.

The counts reported in Items A3a1-3 are unduplicated subsets of Item A3a. That is, each GED attainer can only be classified into one placement group, **even if they achieved multiple placements**. Grantees should determine in which placement group to place attainers who achieve multiple placements².

Completion of Item A3 requires follow-up with GED attainers; data regarding follow-up is described in Item A4. If grantees used sampling to follow up with GED attainers, grantees must report unweighted values in Items A3 and A4 and describe the sampling procedures utilized in Section F.

Definitions

- **Placement of GED attainers:** Of those students who attained a GED in the reported budget period, report the number who entered postsecondary education or training programs, upgraded employment, or the military. In situations where students attained multiple placements, count each student **only once** for the total in question A3a to report an unduplicated count. Placement status should be captured any time after the GED is attained but before the performance report is due, and should be based on **actual placement** and not on anticipated placement.
- **Postsecondary Education or Training Programs:** For a student to be considered as placed in a postsecondary education or training program, they must enter **at least one** of the following programs:
 - A postsecondary education program at an IHE designed to ultimately attain an A.A., B.A., B.S. or other degree. OR
 - An industry-recognized postsecondary vocational or career and technical education program, designed to attain a credential, certificate, or degree that would assist one in obtaining upgraded employment.
 - Upgraded employment: For a student to have attained upgraded employment, at least one of the following criteria must be met:

² Grantees may report additional information such as the number of grantees who achieved multiple placements in Section F of the APR.

- Move to a job that is both full-time and salaried, compared to job immediately prior to and/or during instructional services. This may be a job change with the same employer or a job with a new employer. OR
- Move to a job with increased benefits, such as healthcare, worker's compensation, unemployment insurance, social security, and vacation and sick leave, compared to job immediately prior to and/or during instructional services. This may be a job change with the same employer or a job with a new employer. OR
- Position upgrade with same employer, such as a move to a supervisory position, compared to job at that employer immediately prior to and/or during instructional services. OR
- Move to a new job with predefined career ladder, regardless of wage change (e.g. management trainee, formal apprenticeship), compared to career ladder options at job immediately prior to and/or during instructional services. This may be a job change with the same employer or a job with a new employer. OR
- Move to a job with higher hourly wages compared to hourly wages at job immediately prior to and/or during instructional services. This may be a job change with the same employer or a job with a new employer. This category also accounts for students who obtain a job where they previously had been unemployed.
- **Target number of GED attainers who entered post-secondary education or training programs...**: the target for total number of GED attainers who entered post-secondary education or training programs, upgraded employment, or the military, for the entire program period, which was established by each program in its application.

Data quality checks

- Items A3a 1-3 should sum to the count reported in Item A3a.
- The count reported in Item A3a should be equal to or less than the count reported in Item A4.
- The count reported in Item A3a cannot be greater than the count reported in Item A2a.

Reporting Block, Item A3 (For illustration purposes only; do not report data here)

A3. Placement of GED attainers from question A2a above at the end of budget period.	Y1	Y2	Y3	Y4	Y5	F
a. Unduplicated number of GED attainers who entered postsecondary education or training programs, upgraded employment, or the military (count each participant only once for this row for an unduplicated count). (This amount should not be greater than the amount in A2a above, and should equal the sum of A3a1-3) (Obj. 2 National Target: 80%) (GPRA 2)						
1. Number of GED attainers who entered postsecondary education or training programs						
2. Number of GED attainers who obtained upgraded employment						
3. Number of GED attainers who entered the military						

Item A4

Item A4 collects data on the number of GED attainers for whom follow-up data was collected. The count reported in item A4 cannot be greater than the count reported in Item A2a. The count reported in Item A4 is the number of GED attainers with whom follow-up contact was successfully made. Follow-up must be attempted with every GED attainer. If grantees used sampling to follow up with GED attainers, grantees must report unweighted values in Items A3 and A4 and describe the sampling procedures utilized in Section F.

Item A4a requires the number of GED attainers for whom follow-up was attempted. Projects with 149 or fewer GED attainers in the reporting period should report the total number of GED attainers, as these projects must conduct follow-up with all GED attainers. Projects with 150 or more GED attainers that also choose to use sampling to determine follow-up will report the sample size generated by their sampling frame.

Data quality checks

- The count reported in Item A4a should be less than or equal to the count reported in Item A2a.
- The count reported in A4b should be less than or equal to the value reported in item A4a.

Reporting Block, Item A4 (For illustration purposes only; do not report data here)

A4. Follow-up on GED attainers at the end of the budget period.	Y1	Y2	Y3	Y4	Y5	F
a. Number of GED attainers for whom follow-up was attempted.						
b. Number of GED attainers you were able to track for follow-up data						

Item A5

Item A5 collects data on the amount of time necessary for GED attainment by successful project participants who attained a GED in the reported budget period. Items A5a-c request unduplicated counts of the number of GED attainers who attained their GED within one year, between one and two years, and after more than two years in the project, respectively. Each GED attainer will be classified into one group. Note that follow-up with GED attainers should not be necessary to report these counts. Rather, project documentation should contain the relevant records necessary to complete these items.

Data quality check

- The counts reported in Items A5a-c should sum to the count reported in Item A2a.

Reporting Block, Item A5 (For illustration purposes only; do not report data here)

A5. Time to completion for GED attainers from question A2a above. (note: A5a-c should sum to equal the number reported in A2a.)	Y1	Y2	Y3	Y4	Y5	F
a. Number of GED attainers who got their GED within one year in						

Project Name: Sample University
PR Number: S141A_-----

Grant Year: Y1___ Y2___ Y3___ Y4___ Y5___
Reporting Period: __/__/20__ - __/__/20__
Example of Reporting Period: 07/01/2010 – 06/30/2011

your project						
b. Number of GED attainers who got their GED after more than one, but within two years in your project						
c. Number of GED attainers who got their GED after more than two years in your project						

Instructions for Section B – HEP Project Student Participant Information

Item B1

Item B1 collects data on the nature and amount of instruction and services received by students enrolled in project services in the reported budget period. Items B1a-g request data on:

- Total instructional hours received by students,
- Total number of students receiving varied instructional and support services,
- Total number of students receiving referrals to other services (Report the no. of students you referred to services outside of HEP.), and
- Total number of referrals made to students (The no. of referrals may be greater than the no. served as reported in A1b if students received multiple referrals.)

Definitions

- **GED instruction hours:** Direct “treatment” services leading toward attainment of a GED. Calculate the number of hours of instruction each student received and add those numbers together to obtain the total hours of GED instruction received by all students (Item B1a) and all GED attainers (Item B1b).
- **Instructional support services:** services **provided by HEP staff** in support of attainment of a GED and/or placement in postsecondary education, upgraded employment or a career in the military. These include ancillary services provided in support of direct services, such that the full benefit of direct services might be realized. Examples include coaching, tutoring, etc. This item requires a count of the total number of students who received instructional support services but not the total number of instructional support services received.
- **Other support services:** other project or related non-instructional services, including essential supportive services, provided by HEP in support of attainment of a GED and/or placement in post-secondary education, upgraded employment or a career in the military. This item requires a count of the total number of students who received other support services but not the total number of other support services received.
- **Tutoring:** additional instructional services provided by HEP in support of a specific curriculum, course or course of study.
- **Mentoring or coaching:** advisory services provided by HEP in support of general academic career and post-GED placement.
- **Counseling or guidance services:** services provided by HEP in support of work-life balance and other psycho-social aspects of GED attainment and post-GED placement
- **Stipend:** an allocation of project financial resources made directly to students to offset living or educational expenses. Stipends are not to be used as incentives.

Data quality checks

- The count reported in Item B1b should be equal to or less than the count reported in Item B1a.
- The counts reported in Item B1c 1-6 and in B1c 7-12 may be duplicated, as some students may receive multiple Instructional or Other Support Services. However, the value of any individual count cannot exceed the count reported in Item A1b (total number served).
- The count reported in B1d must be equal to or less than the count reported in A1b (number served).

Reporting Block, Item B1 (For illustration purposes only; do not report data here)

B1. Instruction and services received by HEP GED enrolled students during the budget period.	Y1	Y2	Y3	Y4	Y5	F
a. Total GED instruction hours received by all HEP GED enrolled students. ³						
b. Total GED instruction hours received by GED attainers.						
c. Total number of students receiving the following types of services: ⁴						
Instructional Support Services Please indicate the number of students receiving instructional support services.						
1. Tutoring						
2. Mentoring or coaching						
3. College transition services						
4. Work training services						
5. Job placement services						
6. Counseling or guidance services						
Other Support Services Please indicate the number of students receiving other support services.						
7. Transportation services/ financial support for transportation						
8. Child care						
9. Financial support						
a. Tuition						
b. Books and materials						
c. Room and board						
d. Stipends						
e. Other financial support: _____						
10. Other support services: _____						
11. Other: _____						
d. Number of students receiving referrals to other support services						
e. Total number of referrals to other support services						

Item B2

Item B2 collects data on the characteristics of students who were enrolled in project services during the reported budget period. Items B2a-g request data on:

- Sex

³ The program office will take aggregated information and determine mean and median values for instructional hours within and across program models. These data will be used to determine the most positive outcomes of program models. Proficiency level will be established, if it is measured, through item C4a.

⁴ Item B1c requires grantees to report whether or not a **student** has received a service in any quantity. The total hours received or total number of visits received, etc. should not be reported here.

- Age
- Residential stability
- Number of commuting students
- Number of students with verifiable educational impairments
- Number of students who are English Learners

Definitions

- **Educational Impairments:** The number of students enrolled and served with at least 12 hours of instructional services during this budget period who had educational impairments, as verified through standardized assessments or documentation from verifiable and appropriate sources of special needs or learning disabilities.
- **English Language Learner (ELL):** The number of students enrolled and served with at least 12 hours of instructional services during this budget period who had need of English as a Second Language as determined by a language assessment test administered by the project or the project’s institution.

Data quality checks

- The sum of counts reported in Items B2a and b cannot must be equal to the total number of students served (Item A1b) for the reported budget period. Similarly, the sum of counts reported in Items B2 c and d cannot exceed the total number of students served (Item A1b) for the reported budget period.
- The counts reported in each of Items B2e, B2f, B2g, and B2h-1 cannot exceed the total number of students served (Item A1b) for the reported budget period.

Reporting Block, Item B2 (For illustration purposes only; do not report data here)

B2. Characteristics of the HEP GED enrolled students during this budget period. (note: [B2a + B2b should equal the number reported in A1b] and [B2c + B2d should equal the number reported in A1b]).	Y1	Y2	Y3	Y4	Y5	F
a. Number of students who are male						
b. Number of students who are female						
c. Number of students who are 25 years old or younger						
d. Number of students who are over 25 years old						
e. Number of students who moved their primary residence one or more times during the budget period						
f. Number of commuting students who commute 20 miles or more (one-way) to attend GED classes. Please count all commuting students who attend the program whose home or permanent address is 20 or more miles away.						
g. Number of students who enrolled during the budget period and had verifiable educational impairments.						
h. Does your project or institution screen students for English language proficiency? If “No”, skip to question C1. Mark Y for yes, or N for no.	<input type="checkbox"/> Y <input type="checkbox"/> N					
i. Number of students who enrolled during the budget period and had English as a second language needs as determined by a language assessment test (i.e., EL students).						

Instructions for Section C– HEP Project Services Information

Item C1

Item C1 collects data on the project model being reported on. Items C1 a-c request data on the commuter or residential status of the project, the enrollment structure, and the language in which project services are provided. Items C1 a-c contain check-boxes for the allowable responses. There should be no other written response to these items.

Definitions

- ***Open (rolling) enrollment:*** Projects that have open enrollment allow continuous entry into instructional services (i.e., there is no cut date for student enrollment in order to enter a course).
- ***Structured enrollment:*** Projects that have structured enrollment allow enrollment for a defined period of time prior to the start of instructional services. After that defined period of time has expired, students must wait until the next semester or series of instructional services begins to participate in services.

For example, in sites with structured enrollment, students may be allowed to enroll during the first few weeks of classes and for two or three weeks prior to the next semester of classes. In addition, courses begin on a specific date and end on a specific date. Sites with open enrollment allow students to enroll and join classes at any time.

Reporting Block, Item C1 (For illustration purposes only; do not check boxes here)

C1. Project Model Characteristics	
a. Is this project a commuter or residential project or a combination of both?	<input type="checkbox"/> Commuter <input type="checkbox"/> Residential <input type="checkbox"/> Combination of commuter and residential
b. Does this project provide open enrollment or structured enrollment?	<input type="checkbox"/> Open <input type="checkbox"/> Structured
c. In what languages are project services provided? (Check all that apply.)	<input type="checkbox"/> English <input type="checkbox"/> Spanish <input type="checkbox"/> Other

Item C2

Item C2 collects data on the personnel associated with project services. Items C2 a-d request data on the number of teaching staff and instructional support staff, both funded and not funded by the HEP grant.

Definitions:

- ***FTE (full-time equivalent) for teaching staff and instructional support staff:*** FTE is a measure equal to one staff person working a full-time work schedule for one year.
 - ***To calculate the total FTE:*** For each teaching staff person and instructional support person, divide the total number of hours that employee works on your HEP project each year by the number of hours your organization considers full time for one year.

When all calculations on individual teachers and support persons are complete, sum across all teaching staff persons for the total teaching staff FTE and sum across all instructional support staff persons for the total instructional support FTE.

- *For example*, if your organization considers 1,920 hours annually to be full time, and teaching staff member Jane Smith works 1,440 hours per year, her FTE is .75 (1,440 divided by 1,920). Sum Jane Smith’s FTE with the FTEs from all other teaching staff to calculate the total FTE for teaching staff
- **Number of FTE teaching staff:** Count FTE teaching staff who provide instruction to participants. Grantees should report the total number of **HEP-funded**, FTE teaching staff contributing to the project in Item C2a. Grantees should report the total number of **non-HEP-funded**, FTE teaching staff contributing to the project in Item C2b.
- **Number of FTE instructional support staff:** Count FTE support staff who provide ancillary, support services. Grantees should report the total number of **HEP-funded**, FTE instructional support staff contributing to the project in Item C2c. Grantees should report the total number of **non-HEP-funded**, FTE instructional support staff contributing to the project in Item C2d.

Reporting Block, Item C2 (For illustration purposes only; do not report data here)

C2. Project Personnel Characteristics	
a. Number of FTE teaching staff funded by the HEP grant to provide GED instruction	
b. Number of FTE teaching staff contributing to the project, not funded by the HEP grant	
c. Number of FTE instructional support staff (tutors, coaches, mentors) funded by the HEP grant to provide GED instruction	
d. Number of FTE instructional support staff contributing to the project, not funded by the HEP grant	

Item C3

Item C3 collects data on the instructional services offered through the project. Items C3 a-c request data on the frequency of instructional services and the average length of services per session and semester. Item C3a contains check-boxes for the allowable responses. There should be no other written response to these items.

Data quality check

- Item C3b requires data reported in hours while Item C3c requires data reported in days.

Reporting Block, Item C3 (For illustration purposes only; do not report data here)

C3. Project HEP GED Instructional Services Offered	
a. How frequently are GED instructional services provided? Check only one option; check the option that best describes the frequency of instructional services. If your program has both part time and full time options, please check the box that best describes the majority of your program’s students.	<input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Monthly
b. Average length of instructional service per individual instructional session, in hours. (Provide the average length of instructional service in which the majority of students participated).	_____ hours
c. Average length of instructional service per semester, in days. (Provide the average length of instructional service in which the majority of students participated).	_____ days

Item C4

Item C4 collects data on student assessments to determine enrollment and student gains. Item C4a requests data on student assessments prior to enrollment, while items for C4b request data on assessments of student gains. Not all grantees may use assessments to determine enrollment. Thus, data only should be reported in Items C4 if they are applicable to the project. If grantees do use assessments to determine enrollment, grantees should **only report the scores for students accepted into the project** (i.e., do not include scores for students who did not screen above proficiency thresholds or who otherwise were not accepted into the project) in Item C4a 3-6. Further, if there were two separate assessments for Spanish and English speaking students (Items C4a 3-6), the grantee should report these scores separately. The scores should not be combined.

Grantees also may use assessments to determine student gains (Items for C4b). If there were two separate assessments for Spanish and English speaking students (Items C4b 1 b-e), the grantee should report these scores separately. The scores should not be combined.

Items C4a, C4a-1, C4b, C4b-1, C4c and C4c-1a1 contain check-boxes for the allowable responses. There should be no other written response to item C4a, C4b, C4b-1, C4c or C4c-1a1. Items C4a-1 and C4c-1 allow a written response, if applicable.

Definitions

- ***Project proficiency threshold:*** The minimum scale/standard score proficiency in reading and/or reading comprehension at which new participants must perform in order to enroll and participate in instructional services.
- ***Student gains:*** The amount of progress a student makes in a defined length of time (such as the interval between pre- and post-testing).
- ***Scale/Standard scores:*** The expression of student abilities (i.e., scores) in terms of scale/standard score proficiency. If the assessment does not provide scale/standard scores, check “No” on item C4b-1 and proceed to question C4c.
- ***Scale/Standard score gains:*** The number difference of a student’s scale scores between a pre –and post-assessment.
 - For example, Grantee X decided to use the *English Language Proficiency* assessment to determine pre-project and post-project English reading skills. The pre-assessment of Student Y indicated that the student’s scale scored was 236. The post-assessment indicated that the student’s scale score was 336. Thus, Student Y achieved a 100 point difference between the pre-and post-assessment.

Data quality checks

- Items C4a-4 and C4a-6 and C4b-1c and C4b-1e require a minimum and maximum count to be reported. The smallest and highest scores should be reported, respectively.
- If the answer to Items C4a, C4b, and C4c are “no”, the grantee should not report Items C4a1-6, C4b1 a-f or C4c1-C4c1a)1) respectively. These cells should be left blank.

Reporting Block, Item C4 (For illustration purposes only; do not report data here)

C4. Project Student Assessment Information	
a. Does your project screen students prior to enrollment in HEP GED instructional services to establish whether they are above or below a proficiency threshold? (Check one.) ⁵ If “No,” skip to question C4b.	<input type="checkbox"/> Yes <input type="checkbox"/> No
1. If your project uses a screening or intake assessment to establish a proficiency threshold, what is your project proficiency threshold for accepting students into HEP GED instructional services? (Only check “no assessment” if proficiency is determined without the use of a formal assessment).	<input type="checkbox"/> No assessment Scale/Standard Score _____
2. What kind of screening or intake assessment is used? (If not a published assessment, please check “Other,” provide the title and the program office with a copy of the assessment used).	<input type="checkbox"/> TABE <input type="checkbox"/> Steck-Vaughn <input type="checkbox"/> Other: _____
3. What was the average screening or intake MATH scale/standard score for this budget period?	English speaking students: Spanish speaking students:
4. What was the range of screening or intake MATH scale/standard scores for this budget period?	English speaking students: Min: Max: Spanish speaking students: Min: Max:
5. What was the average screening or intake READING scale/standard score for this budget period?	English speaking students: Spanish speaking students:
6. What was the range of screening or intake READING scale/standard scores for this budget period?	English speaking students: Min: Max: Spanish speaking students: Min: Max:
b. Does your project assess student gains using a <i>formal</i> pre- and post-assessment? (check one) If “No,” skip to item C5.	<input type="checkbox"/> Yes <input type="checkbox"/> No
1. If yes, does this assessment provide scale/standard scores? (check one) If “No”, skip to question C4c.	<input type="checkbox"/> Yes <input type="checkbox"/> No
a) What kind of assessment is used to determine gains? (If not a published assessment, please check “Other,” provide the title and the program office with a copy of the assessment used).	<input type="checkbox"/> TABE <input type="checkbox"/> Steck-Vaughn <input type="checkbox"/> Other: _____
b) What was the average scale/standard score number difference in MATH gained by students in this budget period?	English speaking students: Spanish speaking students:

⁵ The program office is asking for data IF the project currently collects it; projects that do not collect intake data will not be required to do so.

c) What was the range in MATH scale/standard score gains by students in this budget period?	English speaking students: Min: Max: Spanish speaking students: Min: Max:
d) What was the average scale/standard score number difference in READING gained by students in this budget period?	English speaking students: Spanish speaking students:
e) What was the range in READING scale/standard score gains by students in this budget period?	English speaking students: Min: Max: Spanish speaking students: Min: Max:
f) What is the average number of weeks that elapsed between the pre- and post- assessments for the gains scale/standard scores?	
c. Are student gains determined with the use of an <i>informal</i> assessment? If “No,” skip to item C5.	<input type="checkbox"/> Yes <input type="checkbox"/> No
1. If yes, please describe the assessment that is being used.	
a) Does the assessment provide information on student progress in scale/standard scores? If “No”, skip to item C5.	<input type="checkbox"/> Yes <input type="checkbox"/> No
1)What is the average pre-post number difference in scale/standard scores demonstrated by students?	

Item C5

Item C5 collects data on the nature of project services. Grantees must provide a short description (no more than 300 words) of project services that includes:

- Curricular approach,
- Locus of services,
- Learning format,
- Major collaborators, and
- Other aspects of project design that were strong influences on service delivery and success.

Reporting Prompt, Item C5 (For illustration purposes only; do not provide information here)

C5. Please describe, in a paragraph not to exceed 300 words, the nature of project services with regard to a) curricular approach, b) locus of services (e.g., at a community college, at a community center, at a high school), c) learning format (e.g., traditional class format, seminar, workshop), d) major collaborators (e.g., partners whose collaboration is necessary to project implementation and success) and any other aspect of project design that is a strong influence on service delivery and success.

Instructions for Section D – HEP Project Goals and Objectives

In the approved grant application, grantees established project objectives that stated what the grantee hoped to achieve with the funded project. Generally, one or more performance measures also were established for each project objective. These performance measures serve to demonstrate whether grantees met or are making progress towards meeting each project objective.

Grantees must also report on the results to date of their project evaluation as required under EDGAR, 34 CFR 75.590. According to the instructions below, for each project objective included in the approved grant application, grantees must provide quantitative and/or qualitative data for each associated performance measure and a description of preliminary findings or outcomes that demonstrate whether you have met or are making progress towards meeting performance measure(s). You will also must explain how the data on your performance measure(s) demonstrates whether you have met or are making progress towards meeting each project objective.

Note: Complete data *must* be submitted for any project-specific performance measures that were included in the approved grant application.

Section 1) Project Objective:

Enter each project objective from the approved grant application. Only one project objective should be entered per row. Project objectives should be numbered sequentially (i.e., 1., 2., 3., etc.) Data on GPRA objectives should not be reported in this section (GPRA data only should be entered in section A of the form)

Performance Measure:

For each project objective, enter the associated performance measure(s). There may be multiple performance measures associated with each project objective. Enter only one performance measure per row. Each performance measure that is associated with a particular project objective should be labeled using an alpha indicator. *Example:* The first performance measure associated with project objective “1” should be labeled “1a,” the second performance measure for project objective “1” should be labeled “1b,” etc. For each performance measure use the row that corresponds to your project funding year (year 1, 2 3, 4 or 5 OR “F” for final performance report).

Quantitative Data:

Target and Actual Performance Data

Grantees must provide the target that was established for each performance measure in the approved grant application and provide actual performance data demonstrating progress towards meeting or exceeding this target. Only quantitative (numeric) data should be entered in the Target and Actual Performance Data boxes.

The Target and Actual Performance Data boxes are each divided into three columns: **Raw Number; Ratio; and Percentage (%)**.

For performance measures that are stated in terms of a single number (e.g., the number of workshops that will be conducted or the number of students that will be served), the target and actual performance data should be reported as a single number under the **Raw Number column** (e.g., **10** workshops or **80** students). Please leave the **Ratio and Percentage (%) columns** blank. For performance measures that are stated in terms of a percentage (e.g., percentage of students who attain proficiency), complete both the **Ratio column** and the **Percentage (%) column**. Please leave the **Raw Number column** blank.

In the **Ratio column** (e.g., **80/100**), the numerator represents the numerical target (e.g., the number of students who are expected to attain proficiency) or actual performance data (e.g., the number of students that attained proficiency), and the denominator represents the number of students funded to be served, or actually served (whichever is greater) under each objective. Please enter the corresponding percentage (e.g., **80%**) in the **Percentage (%) column**. *Note: the denominator may vary across objectives, depending upon the number of students funded to be served for each objective.*

If the collection of quantitative data is not appropriate for a particular performance measure, please leave the Target and Actual Performance Data boxes blank and provide an explanation and any relevant qualitative data for the performance measure in the section entitled, **Explanation of Progress (Section 2)**.

Note: If the grantee used a sample of participants to collect performance data, grantees must report unweighted values in Section D and describe the sampling procedures utilized in Section F.

Special instructions for grants in their first budget period: If baseline data for a performance measure were not included in your approved application and targets were not set for the first budget period, then enter either the number **999** under the **Raw Number column** or the ratio **999/999** under the **Ratio column** of the **Target box**. The **999** or **999/999** indicates that baseline data are being collected on the measure during the first budget period and targets have not yet been set. Unless otherwise instructed by the program office, report baseline data collected during the first budget period under either the **Raw Number column** or the **Ratio and Percentage (%) columns** of the **Actual Performance Data box**, as appropriate. After baseline data have been collected during the first budget period, grantees are expected to set targets for the second and any subsequent budget periods and report actual performance data in their annual performance reports.

Section D also requests that data from multiple project years be entered, according to the project year reported. These data will be pre-populated by the program office for previous years. Data entry should follow the process described above for sections A and B in that data for each project year are entered separately, in the appropriate reporting year. The final performance report should **AVERAGE** success rates across each of the project years.

Example:

In year one of a project funded to serve 100 students per year with a target of awarding financial aid to 100 percent of students and only 80% of the student actually receive financial aid, then your data entry would look like:

1a Performance Measure	Quantitative Data					
Award financial aid to 100 percent of students.	Target			Actual Performance Data		
	Raw Number	Ratio	%	Raw Number	Ratio	%
		/			/	
Year One		100/100	100%		80/100	80%
Year Two						
Year Three						
Year Four						
Year Five						
Final						

In year two, the APR should take the following form:

1a Performance Measure	Quantitative Data					
Award financial aid to 100 percent of students.	Target			Actual Performance Data		
	Raw Number	Ratio	%	Raw Number	Ratio	%
		/			/	
Year One		100/100	100%		80/100	80%
Year Two		100/100	100%		85/100	85%
Year Three						
Year Four						
Year Five						
Final						

The final performance report should take the following form:

1a Performance Measure	Quantitative Data
------------------------	-------------------

Award financial aid to 100 percent of students.	Target			Actual Performance Data		
	Raw Number	Ratio	%	Raw Number	Ratio	%
		/			/	
Year One		100/100	100%		80/100	80%
Year Two		100/100	100%		85/100	85%
Year Three		100/100	100%		90/100	90%
Year Four		100/100	100%		95/100	95%
Year Five		100/100	100%		100/100	100%
Final		500/500	100%		450/500	90%

Section 2) Explanation of Progress (Includes Qualitative Data and Data Collection Information) (maximum 2500 words):

1. For each project objective and associated performance measures, grantees must indicate what data (quantitative and/or qualitative) were collected and when they were collected, the evaluation methods that were used, and how the data were analyzed. Grantees must clearly identify and explain any deviations from their approved evaluation plan, including changes in design or methodology, or the individual or organization conducting the evaluation.
2. Based on the data, grantees must provide a description of preliminary findings or outcomes, including information to show whether grantees are making progress towards meeting each performance measure. Further, grantees must indicate how performance measure data show that they have met or are making progress towards meeting the stated project objective. In Explanation of Progress section grantees should provide a brief description of project activities and accomplishments for the reporting period that are related to each project objective.
3. Grantees must provide explanations for the following circumstances: a) targets were not attained, b) expected progress was not made toward meeting a performance measure or project objective, or c) a planned activity was not conducted as scheduled. Grantees also must provide a description of the steps and schedules for addressing the problem(s) or issue(s).
4. Grantees must indicate how the data and information from the evaluation was used to monitor the progress of the grant, and if needed, to make improvements to the original project plan (e.g., project activities and milestones). Any changes (e.g., improvements) should be consistent with approved project objectives and scope of work.

Note: Short anecdotes are welcome additions to the “Explanation of Progress” section. Also, grantees should use this section to provide information on any positive or negative impacts of this reporting framework.

Section 3) Final Performance Report ONLY: this information covers the entire project report period (five years).

Grantees must answer each of the three questions identified below (maximum 2500 words):

- 1. Utilizing the evaluation results, draw conclusions about the success of the project and/or its outcomes. Describe any unanticipated outcomes or benefits from the project and any barriers that may have encountered.**
- 2. What would you recommend as advice to other educators who are interested in your project? How did the original project ideas change as a result of conducting the project?**
- 3. If applicable, describe your plans for continuing the project (sustainability; capacity building) and/or disseminating the project results.**
- 4. Please list the cumulative totals for the following reporting requirements:**
 - **What is the cumulative total of the *number of students you served over the course of the five years of your grant?* _____**
 - **What is the cumulative total of the *GED Attainers (GPRA 1) over the course of the five years of your grant?* _____**
 - **What is the cumulative total of the *unduplicated number of GED Attainers who entered postsecondary education or training programs, upgraded employment, or the military (GPRA 2) over the course of the five years of your grant?* _____**

Instructions for Section E – HEP Project Budget Information

-- Annual and Final Performance Reports:

Cover Sheet - Report budget expenditure data in items 8a. – 8b. of the Cover Sheet, as applicable.

1. Section E – Report the following items 1.a. – 1.d. in Section E of this report.

- 1.a. For budget expenditures made with Federal grant funds, you must provide an explanation if funds have not been drawn down from G5 to pay for the budget expenditure amounts reported in items 8a. – 8b of the Cover Sheet.
- 1.b. Provide an explanation if you did not expend funds at the expected rate during the reporting period.
- 1.c. Describe any changes to your budget that affected your ability to achieve your approved project activities and/or project objectives.
- 1.d. Describe any significant changes to your budget resulting from modification of project activities.

2. For Annual Performance Reports Only – On the budget table, report in column (a) your previously submitted revised budget amounts for this reporting period, identifying any amounts that include carryover funds from the previous budget period with an asterisk. In column (b) report your project’s actual expenditures for this performance period. Additionally, briefly explain any difference in the total amounts of these two budget columns.

Instructions for Section F – GPRA 1 Documentation & Additional Information

-- Annual and Final Performance Reports:

1.) GPRA 1 Documentation

All HEP projects are **required** to submit to OME, as a supplement to their APR, a list of their students who have obtained a GED during that reporting period. This documentation supports the information reported in item A2a (GPRA I). The list should include:

- Students' names,
- Student ID numbers (where applicable),
- GED verification numbers/codes, certificate numbers/codes, or diploma numbers/codes, and
- Date of GED attainment

Please use the GPRA Documentation form provided to you as an appendix to the APR to complete your student list. A sample of a portion of the form is provided immediately below, but use the full form to complete your GPRA 1 documentation list. This list must be:

- 1.) completed as a Word document,
- 2.) scanned into PDF format (to capture authorizing signatures), and then,
- 3.) uploaded into the G5 system as a “Narrative.”

Please note that this process is unlike the uploading process for the APR. Instead of being scanned into a PDF, the APR must be converted into a PDF using the Adobe feature and then uploaded into G5 as a “Narrative.”

Sample:

	<i>Student Name</i>	<i>GED Certificate Number</i>	<i>The date of the last sub-test taken and passed that yielded the GED certificate (MO/DAY/YR)</i>	<i>Did the date of the last sub-test occur during the current reporting period? (Yes/No)</i>
1.	Rosa Flores	999-999-999	Yes	Yes
2.				
3.				

2.) Additional Information

- If applicable, please provide a list of current partners on your grant and indicate if any partners changed during the reporting period. Please indicate if you anticipate any change in partners during the next budget period. If any of your partners changed during the reporting period, please describe whether this impacted your ability to achieve your approved project objectives and/or project activities.
- If instructed by the program office, please report on any statutory reporting requirements for this grant program.
- Note: Do not submit requests in this report for supplemental funds or any changes that you wish to make in the grant's activities for the next budget period. Requests for these actions must be made separately to the program office for review and approval decisions.
- If you are requesting changes to the approved key personnel listed in Block 4 of your GAN for the next budget period, please indicate the name, title and percentage of time of the requested key personnel. Additionally, please attach a resume or curriculum vitae for the proposed key personnel when you submit your performance report.
- Note: Do not report on any key personnel changes made during the current or previous budget period(s). Departmental approval must be requested and received prior to making key personnel changes.
- Provide any other appropriate information about the status of your project including any unanticipated outcomes or benefits from your project.

**High School Equivalency Program
 U.S. Department of Education
 Annual Performance Report Form and
 Final Performance Report**

A. HEP Project Statistics and Reporting for GPRA

Reporting Block, Item A1

A1. Number of students served during budget period.	Y1	Y2	Y3	Y4	Y5	F
a. Number funded to be served						
b. Number served in HEP GED instruction (<i>note: A1b1 + A1b2 should sum to equal A1b</i>)						
1. Number served who were new participants (first year in HEP) (subset of A1b)						
2. Number served who were returning participants (N/A in Year 1 of grant) (subset of A1b)						

Reporting Block, Item A2

A2. Status at the end of budget period. (<i>note: A2a-d should sum to equal the number reported in A1b(no. served)</i>).	Y1	Y2	Y3	Y4	Y5	F
a. Number of GED attainers (Obj. 1 National Target: 69%) (GPRA 1) *Supporting documentation required. See instructions for Item A2.						
b. Number of withdrawals						
c. Number of persisters (coming back to continue in the subsequent budget period; persisters were enrolled in instructional services in the budget period reported but did not yet achieve a GED and have returned in the subsequent budget period to continue instructional services)						
d. Number of course completers						

Reporting Block, Item A3

A3. Placement of GED attainers from question A2a above at the end of budget period.	Y1	Y2	Y3	Y4	Y5	F
a. Unduplicated number of GED attainers who entered postsecondary education or training programs, upgraded employment, or the military (count each participant only once for this row for an unduplicated count). (This amount should not be greater than the amount in A2a above, and should equal the sum of A3a 1-3) (Obj. 2 National Target: 80%) (GPRA 2)						
1. Number of GED attainers who entered postsecondary education or training programs						
2. Number of GED attainers who obtained upgraded employment						
3. Number of GED attainers who entered the military						

Reporting Block, Item A4

	Y1	Y2	Y3	Y4	Y5	F
A4. Number of GED attainers for whom follow-up was attempted.						
a. Number of GED attainers you were able to track for follow-up data						

Reporting Block, Item A5

A5. Time to completion for GED attainers from question A2a above. (note: A5a-c should sum to equal the number reported in A2a.)	Y1	Y2	Y3	Y4	Y5	F
a. Number of GED attainers who got their GED within one year in your project						
b. Number of GED attainers who got their GED after more than one, but within two years in your project						
c. Number of GED attainers who got their GED after more than two years in your project						

B. HEP Project Student Participant Information

Reporting Block, Item B1

B1. Instruction and services received by HEP GED enrolled students during the budget period.	Y1	Y2	Y3	Y4	Y5	F
a. Total GED instruction hours received by all HEP GED enrolled students. ⁶						
b. Total GED instruction hours received by GED attainers.						
c. Total number of students receiving the following types of services: ⁷						
Instructional Support Services Please indicate the number of students receiving instructional support services.						
1. Tutoring						
2. Mentoring or coaching						
3. College transition services						
4. Work training services						
5. Job placement services						
6. Counseling or guidance services						
Other Support Services Please indicate the number of students receiving other support services.						
7. Transportation services/ financial support for transportation						

⁶ The program office will take aggregated information and determine mean and median values for instructional hours within and across program models. These data will be used to determine the most positive outcomes of program models. Proficiency level will be established, if it is measured, through item C4a.

⁷ Item B1c requires grantees to report whether or not a **student** has received a service in any quantity. The total hours received or total number of visits received, etc. should not be reported here.

B1. Instruction and services received by HEP GED enrolled students during the budget period.	Y1	Y2	Y3	Y4	Y5	F
8. Child care						
9. Financial support						
a. Tuition						
b. Books and materials						
c. Room and board						
d. Stipends						
e. Other financial support: _____						
10. Other support services: _____						
11. Other: _____						
d. Number of students receiving referrals to other support services						
e. Total number of referrals to other support services						

Reporting Block, Item B2

B2. Characteristics of the HEP GED enrolled students during this budget period. <i>(note: [B2a + B2b should equal the number reported in A1b] and [B2c + B2d should equal the number reported in A1b]).</i>	Y1	Y2	Y3	Y4	Y5	F
a. Number of students who are male						
b. Number of students who are female						
c. Number of students who are 25 years old or younger						
d. Number of students who are over 25 years old						
e. Number of students who moved their primary residence one or more times during the budget period						
f. Number of commuting students who travel 20 miles or more (one-way) to attend GED classes. Please count all commuting students who attend the program whose home or permanent address is 20 or more miles away.						
g. Number of students who enrolled during the budget period and had verifiable educational impairments.						
h. Does your project or institution screen students for English language proficiency? If “No”, skip to question C1. <i>Mark Y for yes, or N for no.</i>	<input type="checkbox"/> Y <input type="checkbox"/> N					
1. Number of students who enrolled during the budget period and had English as a second language needs as determined by a language assessment test.						

C. HEP Project Services Information

Reporting Block, Item C1

C1. Project Model Characteristics	
a. Is this project a commuter or residential project or a combination of both?	<input type="checkbox"/> Commuter <input type="checkbox"/> Residential <input type="checkbox"/> Combination of commuter and residential
b. Does this project provide open enrollment or structured enrollment?	<input type="checkbox"/> Open <input type="checkbox"/> Structured
c. In what languages are project instructional services provided? (Check all that apply.)	<input type="checkbox"/> English <input type="checkbox"/> Spanish <input type="checkbox"/> Other

Reporting Block, Item C2

C2. Project Personnel Characteristics	
a. Number of FTE teaching staff funded by the HEP grant to provide GED instruction	
b. Number of FTE teaching staff contributing to the project, not funded by the HEP grant	
c. Number of FTE instructional support staff (tutors, coaches, mentors) funded by the HEP grant to provide GED instruction	
d. Number of FTE instructional support staff contributing to the project, not funded by the HEP grant	

Reporting Block, Item C3

C3. Project HEP GED Instructional Services Offered	
a. How frequently are GED instructional services provided? Check only one option; check the option that best describes the frequency of instructional services. If your program has both part time and full time options, please check the box that best describes the majority of your program's students.	<input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Monthly
b. Average length of instructional service per individual instructional session, in hours. (Provide the average length of instructional service that the majority of students participate in).	_____ hours
c. Average length of instructional service per semester, in days. (Provide the average length of instructional service that the majority of students participate in).	_____ days

Reporting Block, Item C4

C4. Project Student Assessment Information	
a. Does your project screen students prior to enrollment in HEP GED instructional services to establish whether they are above or below a proficiency threshold? (Check one.) ⁸ If "No," skip to question C4b.	<input type="checkbox"/> Yes <input type="checkbox"/> No
1. If your project uses a screening or intake assessment to establish a proficiency threshold, what is your project proficiency threshold for accepting students into HEP GED instructional services? (Only check "no assessment" if proficiency is determined without the use of a formal assessment).	<input type="checkbox"/> No assessment Scale/Standard Score_____

⁸ The program office is asking for data IF the project currently collects it; projects that do not collect intake data will not be required to do so.

<p>2. What kind of screening or intake assessment is used? (If not a published assessment, please check “Other,” provide the title and the program office with a copy of the assessment used).</p>	<input type="checkbox"/> TABE <input type="checkbox"/> Steck-Vaughn <input type="checkbox"/> Other: _____ <hr/>
<p>3. What was the average screening or intake MATH scale/standard score for this budget period?</p>	<p>English speaking students: Spanish speaking students:</p>
<p>4. What was the range of screening or intake MATH scale/standard scores for this budget period?</p>	<p>English speaking students: Min: Max:</p> <p>Spanish speaking students: Min: Max:</p>
<p>5. What was the average screening or intake READING scale/standard score for this budget period?</p>	<p>English speaking students: Spanish speaking students:</p>
<p>6. What was the range of screening or intake READING scale/standard scores for this budget period?</p>	<p>English speaking students: Min: Max:</p> <p>Spanish speaking students: Min: Max:</p>
<p>b. Does your project assess student gains using a <i>formal</i> pre- and post-assessment? (check one) If “No,” skip to item C5.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
<p>1. If yes, does this assessment provide scale/standard scores? (check one) If “No”, skip to question C4c.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
<p>a) What kind of assessment is used to determine gains? (If not a published assessment, please check “Other,” provide the title and the program office with a copy of the assessment used).</p>	<input type="checkbox"/> TABE <input type="checkbox"/> Steck-Vaughn <input type="checkbox"/> Other: _____ <hr/>
<p>b) What was the average scale/standard score number difference in MATH gained by students in this budget period?</p>	<p>English speaking students: Spanish speaking students:</p>
<p>c) What was the range in MATH scale/standard score gains by students in this budget period?</p>	<p>English speaking students: Min: Max:</p> <p>Spanish speaking students: Min: Max:</p>
<p>d) What was the average scale/standard score number difference in READING gained by students in this budget period?</p>	<p>English speaking students: Spanish speaking students:</p>
<p>e) What was the range in READING scale/standard score gains by students in this budget period?</p>	<p>English speaking students: Min: Max:</p> <p>Spanish speaking students:</p>

	Min: Max:
f) What is the average number of weeks that elapsed between the pre- and post- assessments for the gains scale/standard scores?	
c. Are student gains determined with the use of an <i>informal</i> assessment? If “No,” skip to item C5.	<input type="checkbox"/> Yes <input type="checkbox"/> No
1. If yes, please describe the assessment that is being used.	
a) Does the assessment provide information on student progress in scale/standard scores? If “No”, skip to item C5.	<input type="checkbox"/> Yes <input type="checkbox"/> No
1) What is the average pre-post number difference in scale/standard scores demonstrated by students?	

Reporting Prompt, Item C5

C5. Please describe, in a paragraph not to exceed 300 words, the nature of project services with regard to a) curricular approach, b) locus of services (e.g., at a community college, at a community center, at a high school), c) learning format (e.g., traditional class format, seminar, workshop), d) major collaborators (e.g., partners whose collaboration is necessary to project implementation and success) and any other aspect of project design that is a strong influence on service delivery and success.

Locus of Services (Maximum 300 words)

Project Name: Sample University
 PR Number: S141A_____

Grant Year: Y1___ Y2___ Y3___ Y4___ Y5___
 Reporting Period: __/__/20__ - __/__/20__
 Example of Reporting Period: 07/01/2010 – 06/30/2011

D. HEP Project Goals and Objectives

Project Performance Objectives Information
 (Use as many pages as necessary.)

Project Year: (check one: Y1 Y2 Y3 Y4 Y5 F)

Section 1. Project Objective

1.a. Performance Measure	Quantitative Data					
	Target			Actual Performance Data		
	Raw Number	Ratio	%	Raw Number	Ratio	%
/		/				
Year One						
Year Two						
Year Three						
Year Four						
Year Five						
Final						

1.b. Performance Measure	Quantitative Data	
	Target	Actual Performance Data

Project Name: Sample University
 PR Number: S141A_-----

Grant Year: Y1___ Y2___ Y3___ Y4___ Y5___
 Reporting Period: __/__/20__ - __/__/20__
 Example of Reporting Period: 07/01/2010 – 06/30/2011

	Raw Number	Ratio	%	Raw Number	Ratio	%
		/			/	
Year One						
Year Two						
Year Three						
Year Four						
Year Five						
Final						

Project Name: Sample University
PR Number: S141A_____

Grant Year: Y1___ Y2___ Y3___ Y4___ Y5___
Reporting Period: __/__/20__ - __/__/20__
Example of Reporting Period: 07/01/2010 – 06/30/2011

Section 2: Explanation of Progress (Include Qualitative Data, Data Resulting from Experimental or Quasi-Experimental Design, and Data Collection Information) (maximum 2500 words)

Section 3: FINAL PERFORMANCE REPORT ONLY (This information covers the entire project period, or five years) (maximum 2500 words).

Grantees must answer each of the three questions identified below and in the attached reporting document,

1. **Utilizing the evaluation results, draw conclusions about the success of the project and/or its impact. Describe any unanticipated outcomes or benefits from the project and any barriers that may have encountered.**
2. **What would you recommend as advice to other educators that are interested in your project? How did the original project ideas change as a result of conducting the project?**
3. **If applicable, describe your plans for continuing the project (sustainability; capacity building) and/or disseminating the project results.**
4. **Please list the cumulative totals for the following reporting requirements:**
 - **What is the cumulative total of the *number of students you served over the course of the five years of your grant?*** _____
 - **What is the cumulative total of the *GED Attainers (GPRA 1) over the course of the five years of your grant?*** _____
 - **What is the cumulative total of the *unduplicated number of GED Attainers who entered postsecondary education or training programs, upgraded employment, or the military (GPRA 2) over the course of the five years of your grant?*** _____

E. HEP Project Budget Information (see instructions)

1. Report budget expenditure data in items 8a. – 8b. of the Cover Sheet per the **Instructions for Cover Sheet, Question 8**. Refer to the **Instructions for Section E** for applicable sub-instructions 1.a. – 1.d. and enter your applicable responses 1.a. – 1.d here, below.

2. **For Annual Performance Reports Only** – Using the specific budget categories as in Form ED 524, comparatively report in column (a) your previously submitted revised budget amounts for this reporting period, identifying any amounts that include carryover funds from the previous budget period by checking the box. In column (b) report your project’s actual expenditures for this performance period. Additionally, briefly explain any difference in the total amounts of these two budget columns.

Budget Categories	(a) Revised Budget Amounts	(b) Actual Expenditure Amounts
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 Amounts (lines 9-11)		

- Mark your category amounts in column (a) with an asterisk (*) if the amount includes any carryover from the prior budget period.

- Report the amount of your total carryover that is included in the total reported in 12.(a).

- If the total amounts in columns (a) and (b) are different, explain this difference..

F. Additional Information (see instructions) and GPRA 1 Documentation (See Appendix that was sent via email)

Note: Do not include requests for budget revisions, supplemental funding or changes to your application's activities in this performance report.

Additional Information:

APPENDIX:

HEP GPRA 1 Documentation for 2011 Annual Performance Report (APR)

Directions: Please complete the table below, by providing the following information:

- **Student Name.** Provide the first name, middle initial, and last name of each student who attained a General Education Diploma (GED) during the current reporting period.
- **GED Certificate Number.** Provide the unique number affixed to the GED attainer’s certificate.
- **The date of the last sub-test taken.** Provide the exact date that the GED attainer took the last sub-test, in order to pass the GED. Provide this information in the form of Month/Day/Year (e.g. 3/29/2011).
- **Did the date of the last sub-test occur during the current reporting period?** Provide a “Yes” or “No” answer to this question. All GED attainers that you count in this report (all students that are listed on this page) should have taken the last sub-test during the current reporting period.

	<i>Student Name</i>	<i>GED Certificate Number</i>	<i>The date of the last sub-test taken and passed that yielded the GED certificate (MO/DAY/YR)</i>	<i>Did the date of the last sub-test occur during the current reporting period? (Yes/No)</i>
1.				
2.				
3.				
4.				
5.				
6.				
7.				
8.				
9.				
10.				

Directions: Provide the appropriate signatures below, so that the HEP director and HEP authorized representative attest to the reported HEP GED attainers. Please read the statement below and provide the required signatures.

I have verified and attest to the fact that all students who are listed above were enrolled in the _____ HEP project and attained their GED during the reported period.

 (Signature of HEP Director)

 (Signature Date)

 (Signature of HEP Authorized Representative)

 (Signature Date)

This list must be:

- 1.) completed as a Word document,
- 2.) *scanned into PDF format (to capture authorizing signatures)* and,
- 3.) uploaded into the G5 system as a “Narrative.”

Please note that this process is unlike the uploading process for the APR. Instead of being *scanned* into a PDF, the APR must be *converted into a PDF using the Adobe feature* and then uploaded into G5 as a “Narrative.”

Legal and Regulatory Information

Notice Inviting Applications

4000-01-U

DEPARTMENT OF EDUCATION

Application for New Awards; High School Equivalency Program

AGENCY: Office of Elementary and Secondary Education, Department of Education.

ACTION: Notice.

Overview Information:

High School Equivalency Program (HEP)

Notice inviting applications for new awards for fiscal year (FY) 2012.

Catalog of Federal Domestic Assistance (CFDA) Number: 84.141A.

Dates:

Applications Available: November 8, 2011.

Deadline for Transmittal of Applications: January 18, 2012.

Deadline for Intergovernmental Review: March 20, 2012.

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program: The purposes of HEP are to help migrant and seasonal farmworkers and members of their immediate family: (1) obtain a general education diploma (GED) that meets the guidelines for high school equivalency established by the State in which the HEP project is conducted, and (2) gain employment or be placed in an institution of higher education (IHE) or other postsecondary education or training.

Priorities: This competition includes two competitive preference priorities and two invitational priorities. In accordance with 34 CFR 75.105(b)(2)(ii), Competitive Preference Priority 1 is from the Education Department General Administrative Regulations (EDGAR) (34 CFR 75.225). In accordance with 34 CFR 75.105(b)(2)(iv), Competitive Preference Priority 2 is from section 418A(e) of the Higher Education Act of 1965, as amended by section 408(3) of the Higher Education Opportunity Act (20 U.S.C. 1070d-2(e)). The third priority is an invitational priority for applications that promote science, technology, engineering and mathematics (STEM) education. The fourth priority is an invitational priority for applications that propose to engage faith-based and community organizations in the delivery of services under this program.

Competitive Preference Priorities: For FY 2012 and any subsequent year in which we make awards from the list of unfunded applicants from this competition, these priorities are competitive preference priorities. Under 34 CFR 75.105(c)(2)(i), we award an additional five points to an application that meets Competitive Preference Priority 1, and we award up to 15 additional points to an application, depending on how well the applicant meets Competitive Preference Priority 2. The maximum amount of competitive preference points an application can receive under this competition is 15 points.

These priorities are:

Competitive Preference Priority 1--Novice Applicant (5 points).

The applicant must be a "novice applicant," as defined in 34 CFR 75.225(a). A novice applicant is defined as one who has: (i) never received a grant or a subgrant under the HEP program; (ii) never been a member of a group application, submitted in accordance with 34 CFR 75.127-75.129, that received a grant under the HEP program; and (iii) not had an active discretionary grant from the Federal government in the five years before the deadline date for applications under the HEP program (January 18, 2012).

Competitive Preference Priority 2--Prior Experience of Service Delivery (Up to 15 points).

For applicants with an expiring HEP project, the Secretary will consider the applicant's prior experience in implementing its expiring HEP project, based on information contained in documents previously provided to the Department, such as annual performance reports, project evaluation reports, site visit reports, and the previously approved HEP application. Under this competition, we also are particularly interested in applications that address the following priorities.

Invitational Priorities: For FY 2012, and any subsequent year in which we make awards from the list of unfunded applicants from this competition, these priorities are invitational priorities. Under 34 CFR 75.105(c)(1) we do not give an application that meets these invitational priorities a competitive or absolute preference over other applications.

These priorities are:

Invitational Priority 1 -- Science, Technology, Engineering and Mathematics Education.

Projects that are designed to address one or more of the following priority areas:

(a) Providing students with increased access to rigorous and engaging coursework in STEM.

(b) Increasing the opportunities for high-quality preparation of, or professional development for, teachers or other educators of STEM subjects.

Note: Applicants could consider activities to better prepare program participants to transition into postsecondary education, such as preparing students to pass the sections of college entrance examinations in STEM-related subjects or counseling and tutoring services designed to motivate participants to pursue postsecondary education in STEM-related fields. Similarly, for demonstrating professional development, applicants could propose how they intend to increase the opportunities for high-quality professional development for project instructors in mathematics and related GED instruction. Opportunities for increasing professional development of GED instructors of STEM-related subjects could include, for example, participation in training on intensive science teaching techniques presented by a professionally credentialed expert in science education.

Invitational Priority 2 - Faith-Based and Community Organizations.

Applications that propose to engage faith-based and community organizations in the delivery of services under this program. Program Authority: 20 U.S.C. 1070d-2.

Applicable Regulations: (a) The Education Department General Education Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 79, 82, 84, 85, 86, 97, and 99. (b) The regulations in 34 CFR part 206. (c) The definitions in 34 CFR 200.81. (d) The regulations in 20 CFR 669.110 and 669.320.

Note: The regulations in 34 CFR part 86 apply to IHEs only.

II. Award Information

Type of Award: Discretionary grants.

Estimated Available Funds: The Administration has requested \$1,560,683 for new awards for this program for FY 2012. The actual level of funding, if any, depends on final congressional action. However, we are inviting applications to allow enough time to complete the grant process if Congress appropriates funds for this program.

Contingent upon the availability of funds and the quality of applications, we may make additional awards in FY 2013 from the list of unfunded applicants from this competition.

Estimated Range of Awards: \$180,000 to \$475,000.

Estimated Average Size of Awards: \$432,000.

Maximum Award: We will reject any application that proposes a HEP award exceeding \$475,000 for any of the five single budget periods of 12 months. The Assistant Secretary for Elementary and Secondary Education may change the maximum amount through a notice published in the Federal Register.

Minimum Award: We will reject any application that proposes a HEP award that is less than \$180,000 for any of the five single budget periods of 12 months. The Assistant Secretary for Elementary and Secondary Education may change the minimum amount through a notice published in the Federal Register.

Estimated Number of Awards: 3 to 4.

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

Project Period: Up to 60 months.

III. Eligibility Information

1. Eligible Applicants: IHEs or private non-profit organizations (including faith-based organizations) that plan their projects in cooperation with an IHE and propose to operate some aspects of the project with the facilities of the IHE.
2. Cost Sharing or Matching: This program does not require cost sharing or matching. However, consistent with 34 CFR 75.700, which requires an applicant to comply with its approved application, an applicant that proposes non-Federal matching funds and is awarded a grant must provide those funds for each year that the funds are proposed.
3. Other: Projects funded under this competition are encouraged to budget for a two-day annual meeting for HEP Directors in the Washington, DC, area during each year of the project period.

IV. Application and Submission Information

1. Address to Request Application Package: Tara Ramsey, U.S. Department of Education, Office of Migrant Education, 400 Maryland Avenue, SW., room

3E309, Washington, DC 20202-6135. Telephone: (202) 260-2063 or by e-mail: tara.ramsey@ed.gov.

The application package content also can be viewed electronically at the following address: <http://www.ed.gov/programs/hep/applicant.html>.

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 compact disc) 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.

Page Limit: The application narrative (Part IV of the application) is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. Panel readers will award points only for an applicant's response to a given selection criterion that is contained within the section of the application designated to address that particular selection criterion. Readers will not review, or award points for responses to a given selection criterion that is located in any other section of the application or the appendices. You must limit the application narrative [Part IV] to 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. However, you may single space all text in charts, tables, figures, and graphs. Charts, tables, figures, and graphs presented in the application narrative count toward the page limit.

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

- 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 25-page limit for the project narrative does not apply to the cover sheet; the budget section, including the narrative budget justification; the assurances and certifications; or the one-page abstract. However, the page limit does apply to all of the application narrative section.

Our reviewers will not read any pages of your application narrative that exceed the 25-page limit.

Appendices must be limited to 20 pages and must include the following: resumes and job descriptions of key personnel. Job descriptions must include duties and minimum qualifications. Items in the appendices will only be used by the program office for the purpose of approving any future personnel changes.

3. Submission Dates and Times:

Applications Available: November 8, 2011.

Deadline for Transmittal of Applications: January 18, 2012.

Applications for grants under this competition must be submitted electronically using the Grants.gov Apply site (Grants.gov). For information (including dates and times) about how to submit your application electronically, or in paper format by mail or hand delivery if you qualify for an exception to the electronic submission requirement, please refer to section IV. 7. 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.

Deadline for Intergovernmental Review: March 20, 2012.

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

6. Data Universal Numbering System Number, Taxpayer Identification Number, and Central Contractor Registry: To do business with the

Department of Education, you must--

a. Have a Data Universal Numbering System (DUNS) number and a Taxpayer Identification Number (TIN);

b. Register both your DUNS number and TIN with the Central Contractor Registry (CCR), the Government's primary registrant database;

c. Provide your DUNS number and TIN on your application; and

d. Maintain an active CCR registration with current information while your application is under review by the Department and, if you are awarded a grant, during the project period.

You can obtain a DUNS number from Dun and Bradstreet. A DUNS number can be created within one business day.

If you are a corporate entity, agency, institution, or organization, you can obtain a TIN from the Internal Revenue Service. If you are an individual, you can obtain a TIN from the Internal Revenue Service or the Social Security Administration. If you need a new TIN, please allow 2-5 weeks for your TIN to become active.

The CCR registration process may take five or more business days to complete. If you are currently registered with the CCR, you may not need

to make any changes. However, please make certain that the TIN associated with your DUNS number is correct. Also note that you will need to update your CCR registration on an annual basis. This may take three or more business days to complete.

In addition, if you are submitting your application via Grants.gov, you must (1) be designated by your organization as an Authorized Organization Representative (AOR); and (2) register yourself with Grants.gov as an AOR. Details on these steps are outlined at the following Grants.gov Web page: www.grants.gov/applicants/get_registered.jsp.

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

a. Electronic Submission of Applications.

Applications for grants under the High School Equivalency Program, CFDA number 84.141A, must be submitted electronically using the Governmentwide Grants.gov Apply site at www.Grants.gov. Through this site, you will be able to download a copy of the application package, complete it offline, and then upload and submit your application. You may not e-mail an electronic copy of a grant application to us.

We will reject your application if you submit it in paper format unless, as described elsewhere in this section, you qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement

to the Department that you qualify for one of these exceptions. Further information regarding calculation of the date that is two weeks before the application deadline date is provided later in this section under Exception to Electronic Submission Requirement.

You may access the electronic grant application for HEP at www.Grants.gov. You must search for the downloadable application package for this competition by the CFDA number. Do not include the CFDA number's alpha suffix in your search (e.g., search for 84.141, not 84.141A).

Please note the following:

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

- The amount of time it can take to upload an application will vary depending on a variety of factors, including the size of the application and the speed of your Internet connection. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the submission process through Grants.gov.
- You should review and follow the Education Submission Procedures for submitting an application through Grants.gov that are included in the application package for this competition to ensure that you submit your application in a timely manner to the Grants.gov system. You can also find the Education Submission Procedures pertaining to Grants.gov under News and Events on the Department's G5 system home page at <http://www.G5.gov>.
- You will not receive additional point value because you submit your application in electronic format, nor will we penalize you if you qualify for an exception to the electronic submission requirement, as described elsewhere in this section, and submit your application in paper format.
- You must submit all documents electronically, including all information you typically provide on the following forms: the Application for Federal Assistance (SF 424), the Department of Education Supplemental Information for SF 424, Budget Information--Non-Construction Programs (ED 524), and all necessary assurances and certifications.
- You must upload any narrative sections and all other attachments to your application as files in a .PDF (Portable Document) format only. If

you upload a file type other than a .PDF or submit a password-protected file, we will not review that material.

- Your electronic application must comply with any page-limit requirements described in this notice.
- After you electronically submit your application, you will receive from Grants.gov an automatic notification of receipt that contains a Grants.gov tracking number. (This notification indicates receipt by Grants.gov only, not receipt by the Department.) The Department then will retrieve your application from Grants.gov and send a second notification to you by e-mail. This second notification indicates that the Department has received your application and has assigned your application a PR/Award number (an ED-specified identifying number unique to your application).
- We may request that you provide us original signatures on forms at a later date.

Application Deadline Date Extension in Case of Technical Issues with the

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

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

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

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

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

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

- You do not have access to the Internet; or

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

and

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

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

Address and mail or fax your statement to: Tara Ramsey, U.S. Department of Education, 400 Maryland Avenue, SW., room 3E309, Washington, DC 20202-6135. FAX: (202) 205-0089.

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

b. Submission of Paper Applications by Mail.

If you qualify for an exception to the electronic submission requirement, you may mail (through the U.S. Postal Service or a commercial carrier) your application to the Department. You must mail the original and two

copies of your application, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education
Application Control Center
Attention: CFDA Number 84.141A
LBJ Basement Level 1
400 Maryland Avenue, SW.
Washington, DC 20202-4260

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

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

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

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

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

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

c. Submission of Paper Applications by Hand Delivery.

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

U.S. Department of Education
Application Control Center
Attention: CFDA Number 84.141A
550 12th Street, SW.
Room 7041, Potomac Center Plaza
Washington, DC 20202-4260

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

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

(1) You must indicate on the envelope and--if not provided by the Department--in Item 11 of the SF 424 the CFDA number, including suffix

letter, if any, of the competition under which you are submitting your application; and

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

V. Application Review Information

1. Selection Criteria: The selection criteria for this competition are from 34 CFR 75.210 of EDGAR and are listed in the application package.

2. Review and Selection Process: We remind potential applicants that in reviewing applications in any discretionary grant competition, the Secretary may consider, under 34 CFR 75.217(d)(3), the past performance of the applicant in carrying out a previous award, such as the applicant's use of funds, and compliance with grant conditions. The Secretary may also consider whether the applicant failed to submit a timely performance report or submitted a report of unacceptable quality.

In addition, in making a competitive grant award, the Secretary also requires various assurances including those applicable to Federal civil rights laws that prohibit discrimination in programs or activities receiving Federal financial assistance from the Department of Education (34 CFR 100.4, 104.5, 106.4, 108.8, and 110.23).

3. Special Conditions: Under 34 CFR 74.14 and 80.12, the Secretary may impose special conditions on a grant if the applicant or grantee is

not financially stable; has a history of unsatisfactory performance; has a financial or other management system that does not meet the standards in 34 CFR parts 74 or 80, as applicable; has not fulfilled the conditions of a prior grant; or is otherwise not responsible.

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: (a) If you apply for a grant under this competition, you must ensure that you have in place the necessary processes and systems to comply with the reporting requirements in 2 CFR part 170 should you receive funding under the competition. This does not apply if you have an exception under 2 CFR 170.110(b).

(b) 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.

4. Performance Measures: Under the Government Performance and Results Act of 1993 (GPRA), the Department developed the following performance measures to evaluate the overall effectiveness of HEP: (1) the percentage of HEP program participants exiting the program having received a GED (GPRA 1), and (2) the percentage of HEP GED recipients who enter postsecondary education or training programs, upgraded employment, or the military (GPRA 2).

Applicants must propose annual targets for these measures in their applications. The national target for GPRA measure 1 for FY 2012 is that 69 percent of HEP program participants exiting the program having received a GED credential. The national target for GPRA measure 2 for FY 2012 is that 80 percent of HEP GED recipients will enter postsecondary education or training programs, upgraded employment, or the military. The national targets for subsequent years may be adjusted based on additional baseline data. The panel readers will score related selection criteria for applicants, in part, on the basis of how well an applicant addresses these

GPRA measures. Therefore, applicants should consider their capacity to provide reliable data on these measures, including the project's annual performance targets for the GPRA measures, as required by the Office of Management and Budget approved annual performance report that is included in the application package. All grantees will be required to submit, as part of their annual performance report, information with respect to these GPRA measures.

5. Continuation Awards: In making a continuation award, the Secretary considers, under 34 CFR 75.253, the extent to which a grantee has made "substantial progress toward meeting the objectives in its approved application." This consideration includes the review of a grantee's progress in meeting the targets and projected outcomes in its approved application, and whether the grantee has expended funds in a manner that is consistent with its approved application and budget. In making a continuation grant, the Secretary also considers whether the grantee is operating in compliance with the assurances in its approved application, including those applicable to Federal civil rights laws that prohibit discrimination in programs or activities receiving Federal financial assistance from the Department (34 CFR 100.4, 104.5, 106.4, 108.8, and 110.23).

VII. Agency Contact

For Further Information Contact: Tara Ramsey, U.S. Department of Education, 400 Maryland Avenue, SW., room 3E309, LBJ, Washington, DC 20202-6135. Telephone: (202) 260-2063 or by e-mail: tara.ramsey@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 compact disc) on request to the program contact person listed under For Further Information Contact in section VII of this notice.

Electronic Access to This Document: 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 via the Federal Digital System at:

www.gpo.gov/fdsys. At this site 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). To use PDF you must have Adobe Acrobat Reader, which is available free at the site.

You may also access documents of the Department published in the Federal Register by using the article search feature at: www.federalregister.gov. Specifically, through the advanced search feature at this site, you can limit your search to documents published by the Department.

Dated:

Michael Yudin,

Acting Assistant Secretary for Elementary and
Secondary Education.

Program Statute

The most recent amendments to the HEP and CAMP programs' authorizing statute, the Higher Education Act of 1965 (HEA), were made on August 14, 2008, by the Higher Education Opportunity Act (HEOA) P.L. 110-315. The Department has prepared the following composite statutory reference as an aid to demonstrate what section 418A of the HEA looks like after the HEOA amendments.

Statutory Reference: Higher Education Act of 1965 – Section 418A as amended by section 408 of the Higher Education Opportunity Act (HEOA), P.L. 110-315 (H.R. 4137)

SEC. 418A. MAINTENANCE AND EXPANSION OF EXISTING PROGRAMS.

(a) PROGRAM AUTHORITY. The Secretary shall maintain and expand existing secondary and postsecondary high school equivalency program and college assistance migrant program projects located at institutions of higher education or at private nonprofit organizations working in cooperation with institutions of higher education.

(b) SERVICES PROVIDED BY HIGH SCHOOL EQUIVALENCY PROGRAM. The services authorized by this subpart for the high school equivalency program include—

(1) recruitment services to reach persons—

(A)(i) who are 16 years of age and over; or

(ii) who are beyond the age of compulsory school attendance in the State in which such persons reside and are not enrolled in school;

(B)(i) who themselves, or whose immediate family, have spent a minimum of 75 days during the past 24 months in migrant and seasonal farmwork; or

(ii) who are eligible to participate, or have participated within the preceding 2 years, in programs under part C of title I of the Elementary and Secondary Education Act of 1965 or section 167 of the Workforce Investment Act of 1998; and

(C) who lack a high school diploma or its equivalent;

(2) educational services which provide instruction designed to help students obtain a general education diploma which meets the guidelines established by the State in which the project is located for high school equivalency;

(3) supportive services which include the following:

(A) personal, vocational, and academic counseling;

(B) placement services designed to place students in a university, college, or junior college program (including preparation for college entrance examinations), or in military service or career positions; and

(C) health services;

(4) information concerning, and assistance in obtaining, available student financial aid;

(5) stipends for high school equivalency program participants;

(6) housing for those enrolled in residential programs;

(7) exposure to cultural events, academic programs, and other educational and cultural activities usually not available to migrant youth;

(8) other essential supportive services (such as transportation and child care), as needed to ensure the success of eligible students; and

(9) other activities to improve persistence and retention in postsecondary education.

(c) SERVICES PROVIDED BY COLLEGE ASSISTANCE MIGRANT PROGRAM.—(1)

Services authorized by this subpart for the college assistance migrant program include—

(A) outreach and recruitment services to reach persons who themselves or whose immediate family have spent a minimum of 75 days during the past 24 months in migrant and seasonal farmwork or who have participated or are eligible to participate, in programs under part C of title I of the Elementary and Secondary Education Act of 1965 or section 167 of the Workforce Investment Act of 1998, and who meet the minimum qualifications for attendance at a college or university;

(B) supportive and instructional services to improve placement, persistence, and retention in postsecondary education, which include:

(i) personal, academic, career, and economic education or personal finance counseling as an ongoing part of the program;

(ii) tutoring and academic skill building instruction and assistance;

(iii) assistance with special admissions;

(iv) health services; and

(v) other services as necessary to assist students in completing program requirements;

(C) assistance in obtaining student financial aid which includes, but is not limited to:

(i) stipends;

(ii) scholarships;

(iii) student travel;

(iv) career oriented work study;

(v) books and supplies;

(vi) tuition and fees;

(vii) room and board; and

(viii) other assistance necessary to assist students in completing their first year of college;

(D) housing support for students living in institutional facilities and commuting students;

(E) exposure to cultural events, academic programs, and other activities not usually available to migrant youth;

(F) internships; and

(G) other essential supportive services (such as transportation and child care as necessary to ensure the success of eligible students.

(2) A recipient of a grant to operate a college assistance migrant program under this subpart shall provide follow-up services for migrant students after such students have completed their first year of college, and shall not use more than 10 percent of such grant for such follow-up services. Such follow-up services may include—

(A) monitoring and reporting the academic progress of students who participated in the project during such student's first year of college and during such student's subsequent years in college;

(B) referring such students to on- or off-campus providers of counseling services, academic assistance, or financial aid, and coordinating such services, assistance, and aid with other non-program services, assistance, and aid, including services, assistance, and aid provided by community-based organizations, which may include mentoring and guidance; and

(C) for students attending two-year institutions of higher education, encouraging the students to transfer to four-year institutions of higher education, where appropriate, and monitoring the rate of transfer of such students.

(d) **MANAGEMENT PLAN REQUIRED.** Each project application shall include a management plan which contains assurances that the grant recipient will coordinate the project, to the extent feasible, with other local, State, and Federal programs to maximize the resources available for migrant students, and that staff shall have a demonstrated knowledge and be sensitive to the unique characteristics and needs of the migrant and seasonal farmworker population, and provisions for:

- (1) staff in-service training;
- (2) training and technical assistance;
- (3) staff travel;
- (4) student travel;
- (5) interagency coordination; and
- (6) an evaluation plan.

(e) FIVE-YEAR GRANT PERIOD; CONSIDERATION OF PRIOR EXPERIENCE. Except under extraordinary circumstances, the Secretary shall award grants for a 5-year period. For the purpose of making grants under this subpart, the Secretary shall consider the prior experience of service delivery under the particular project for which funds are sought by each applicant. Such prior experience shall be awarded the same level of consideration given this factor for applicants for programs in accordance with section 402A(c)(2).

(f) MINIMUM ALLOCATIONS. The Secretary shall not allocate an amount less than—

- (1) \$180,000 for each project under the high school equivalency program, and
- (2) \$180,000 for each project under the college assistance migrant program.

(g) RESERVATION AND ALLOCATION OF FUNDS. From the amounts made available under subsection (i), the Secretary—

- (1) may reserve not more than a total of 1/2 of one percent for outreach activities, technical assistance, and professional development programs relating to the programs under subsection (a);
- (2) for any fiscal year for which the amount appropriated to carry out this section is equal to or greater than \$40,000,000, shall, in awarding grants from the remainder of such amounts—
 - (A) make available not less than 45 percent of such remainder for the high school equivalency programs and not less than 45 percent of such remainder for the college assistance migrant programs;
 - (B) award the rest of such remainder for high school equivalency programs or college assistance migrant programs based on the number, quality, and promise of the applications; and
 - (C) consider the need to provide an equitable geographic distribution of such grants; and
- (3) for any fiscal year for which the amount appropriated to carry out this section is less than \$40,000,000, shall, in awarding grants from the remainder of such amounts make available the same percentage of funds to the high school equivalency program and to the college assistance migrant program as was made available for each such program for the fiscal year preceding the fiscal year for which the grant was made.

(h) DATA COLLECTION. The Secretary shall—

- (1) annually collect data on persons receiving services authorized under this subpart regarding such persons' rates of secondary school graduation, entrance into postsecondary education, and completion of postsecondary education, as applicable;
- (2) not less often than once every two years, prepare and submit to the authorizing committees a report based on the most recently available data under paragraph (1); and
- (3) make such report available to the public.

(i) AUTHORIZATION OF APPROPRIATIONS. For the purpose of making grants and contracts under this section, there are authorized to be appropriated \$75,000,000 for fiscal year 2009 and such sums as may be necessary for the each of the five succeeding fiscal years.

Program Regulation

Authority: 20 U.S.C. 1070d–2, unless otherwise noted.

Source: 46 FR 35075, July 6, 1981, unless otherwise noted.

Subpart A—General

§ 206.1 What are the special educational programs for students whose families are engaged in migrant and other seasonal farmwork?

(a) *High School Equivalency Program.* The High School Equivalency Program (HEP) is designed to assist persons who are eligible under §206.3—to obtain the equivalent of a secondary school diploma and subsequently to gain employment or be placed in an institution of higher education (IHE) or other postsecondary education or training.

(b) *College Assistance Migrant Program.* The College Assistance Migrant Program (CAMP) is designed to assist persons who are eligible under §206.3—who are enrolled or are admitted for enrollment on a full-time basis in the first academic year at an IHE.

(Authority: 20 U.S.C. 1070d–2(a))

[46 FR 35075, July 6, 1981, as amended at 52 FR 24920, July 1, 1987; 57 FR 60407, Dec. 18, 1992]

§ 206.2 Who is eligible to participate as a grantee?

(a) *Eligibility.* An IHE or a private nonprofit organization may apply for a grant to operate a HEP or CAMP project.

(b) *Cooperative planning.* If a private nonprofit organization other than an IHE applies for a HEP or a CAMP grant, that agency must plan the project in cooperation with an IHE and must propose to operate the project, or in the case of a HEP grant, some aspects of the project, with the facilities of that IHE.

(Authority: 20 U.S.C. 1070d–2(a))

[46 FR 35075, July 6, 1981, as amended at 52 FR 24920, July 1, 1987]

§ 206.3 Who is eligible to participate in a project?

(a) *General.* To be eligible to participate in a HEP or a CAMP project—

(1) A person, or his or her immediate family member, must have spent a minimum of 75 days during the past 24 months as a migrant or seasonal farmworker; or

(2) The person must have participated (with respect to HEP within the last 24 months), or be eligible to participate, in programs under 34 CFR part 200, subpart C (Title I—Migrant Education Program) or 20 CFR part 633 (Employment and Training Administration, Department of Labor—Migrant and Seasonal Farmworker Programs).

(b) *Special HEP qualifications.* To be eligible to participate in a HEP project, a person also must—

(1) Not have earned a secondary school diploma or its equivalent;

(2) Not be currently enrolled in an elementary or secondary school;

(3) Be 16 years of age or over, or beyond the age of compulsory school attendance in the State in which he or she resides; and

(4) Be determined by the grantee to need the academic and supporting services and financial assistance provided by the project in order to attain the equivalent of a secondary school diploma and to gain employment or be placed in an IHE or other postsecondary education or training.

(c) *Special CAMP qualifications.* To be eligible to participate in a CAMP project, a person also must—

(1) Be enrolled or be admitted for enrollment as a full-time student at the participating IHE;

(2) Not be beyond the first academic year of a program of study at the IHE, as determined under the standards of the IHE; and

(3) Be determined by the grantee to need the academic and supporting services and financial assistance provided by the project in order to complete an academic program of study at the IHE.

(Authority: 20 U.S.C. 1070d–2(a))

[46 FR 35075, July 6, 1981, as amended at 52 FR 24920, July 1, 1987; 57 FR 60407, Dec. 18, 1992; 75 FR 65769, Oct. 26, 2010]

§ 206.4 What regulations apply to these programs?

The following regulations apply to HEP and CAMP:

(a) The Education Department General Administrative Regulations (EDGAR) as follows:

(1) 34 CFR part 74 (Administration of Grants to Institutions of Higher Education, Hospitals, and Nonprofit Organizations).

(2) 34 CFR part 75 (Direct Grant Programs).

- (3) 34 CFR part 77 (Definitions That Apply to Department Regulations).
- (4) 34 CFR part 79 (Intergovernmental Review of Department of Education Programs and Activities).
- (5) 34 CFR part 82 (New Restrictions on Lobbying).
- (6) 34 CFR part 84 (Governmentwide Requirements for Drug-Free Workplace (Financial Assistance)).
- (7) 34 CFR part 85 (Governmentwide Debarment and Suspension (Nonprocurement) and Governmentwide Requirements for Drug-Free Workplace (Grants)).
- (8) 34 CFR part 86 (Drug-Free Schools and Campuses).
- (9) 34 CFR part 97 (Protection of Human Subjects).
- (10) 34 CFR part 98 (Student Rights in Research, Experimental Programs, and Testing).
- (11) 34 CFR part 99 (Family Educational Rights and Privacy).
- (b) The regulations in this part 206.

(Authority: 20 U.S.C. 1070d–2(a))

[46 FR 35075, July 6, 1981, as amended at 52 FR 24920, July 1, 1987; 57 FR 60407, Dec. 18, 1992; 58 FR 11539, Feb. 26, 1993; 75 FR 65770, Oct. 26, 2010]

§ 206.5 What definitions apply to these programs?

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

Applicant

Application

Elementary school

EDGAR

Facilities

Minor remodeling

Nonprofit

Private

Project

Public

Secondary school

Secretary

State

(b) *Definitions in the grants administration regulations.* The following terms used in this part are defined in 34 CFR part 74 (Administration of Grants):

Budget

Equipment

Grant

Grantee

Supplies

(c) *Program definitions.* The following additional definitions apply specifically to HEP and CAMP:

(1) *Act* means the Higher Education Act of 1965, as amended.

(2) *Agricultural activity* means:

(i) Any activity directly related to the production of crops, dairy products, poultry, or livestock;

(ii) Any activity directly related to the cultivation or harvesting of trees; or

(iii) Any activity directly related to fish farms.

(3) *Farmwork* means any agricultural activity, performed for either wages or personal subsistence, on a farm, ranch, or similar establishment.

(4) *Full-time*, with respect to an individual, means a student who is carrying a full-time academic workload, as defined in 34 CFR part 690 (regulations for the Pell Grant Program).

(5) *Immediate family member* means one or more of the following:

(i) A spouse.

(ii) A parent, step-parent, adoptive parent, foster parent, or anyone with guardianship.

(iii) Any person who—

(A) Claims the individual as a dependent on a Federal income tax return for either of the previous two years, or

(B) Resides in the same household as the individual, supports that individual financially, and is a relative of that individual.

(6) *Institution of higher education* means an educational institution that:

(i) Is in a State;

(ii) Is authorized by that State to provide a program of education beyond secondary school;

(iii) Is a public or nonprofit institution;

(iv) Admits as a regular student only a person who:

(A) Has a secondary school diploma;

(B) Has the recognized equivalent of a secondary school diploma; or

(C) Is beyond the age of compulsory school attendance in that State and has the ability to benefit from the training offered by the institution;

(v) Provides:

(A) An educational program for which it awards a bachelor's degree; or

(B) At least a two-year program that is acceptable for full credit toward a bachelor's degree;

(vi)(A) Is accredited by a nationally recognized accrediting agency or association;

(B) Has satisfactorily assured the Secretary that it will meet the accreditation standards of a nationally recognized accrediting agency or association within a reasonable time considering the resources available to the institution, the period of time, if any, it has operated, and its effort to meet accreditation standards; or

(C) Has its credits accepted on transfer by at least three accredited institutions on the same basis as those institutions accept transfer credits from fully accredited institutions.

(7) *Migrant farmworker* means a seasonal farmworker—as defined in paragraph (c)(8) of this section—whose employment required travel that precluded the farmworker from returning to his or her domicile (permanent place of residence) within the same day.

(8) *Seasonal farmworker* means a person whose primary employment was in farmwork on a temporary or seasonal basis (that is, not a constant year-round activity) for a period of at least 75 days within the past 24 months.

(d) *Other definitions.* For purposes of determining program eligibility under §206.3(a)(2), the definitions in 34 CFR 200.81 (Title I—Migrant Education Program) and 20 CFR 633.104 (Employment and Training Administration, Department of Labor—Migrant and Seasonal Farmworker Programs) apply.

(Authority: 20 U.S.C. 1070d–2(a))

[46 FR 35075, July 6, 1981, as amended at 52 FR 24920, July 1, 1987; 57 FR 60407, Dec. 18, 1992; 75 FR 65770, Oct. 26, 2010]

Subpart B—What Kinds of Activities Does the Secretary Assist Under These Programs?

§ 206.10 What types of services may be provided?

(a) *General.* A grantee may use funds under HEP or CAMP to support approved projects designed to provide academic and supporting services and financial assistance to eligible participants as described in §206.3.

(b) *Types of services* —(1) *HEP projects.* A HEP project may provide the following types of services to assist participants in obtaining the equivalent of a secondary school diploma, and as needed, to assure the success of the participants in meeting the project's objectives and in succeeding at the secondary school level and beyond:

(i) Recruitment services to reach persons who are eligible under §206.3 (a) and (b).

(ii) Educational services that provide instruction designed to help students pass an examination and obtain a certificate that meets the guidelines for high school equivalency established by the State in which the project is located.

(iii) Supportive services that include the following:

(A) Personal, vocational, and academic counseling;

(B) Placement services designed to place students in a university, college, or junior college program (including preparation for college entrance examinations), or in military services or career positions; and

(C) Health services.

(iv) Information concerning and assistance in obtaining available student financial aid.

(v) Stipends for high school equivalency program participants.

(vi) Housing for those enrolled in residential programs.

(vii) Exposure to cultural events, academic programs, and other educational and cultural activities usually not available to migrant youth.

(viii) Other essential supportive services, (such as transportation and child care) as needed, to ensure the success of eligible students.

(ix) Other activities to improve persistence and retention in postsecondary education.

(2) *CAMP projects*. A CAMP project may provide the following types of services to assist the participants in meeting the project's objectives and in succeeding in an academic program of study at the IHE:

(i) Outreach and recruitment services to reach persons who are eligible under §206.3 (a) and (c).

(ii) Supportive and instructional services to improve placement, persistence, and retention in postsecondary education, including:

(A) Personal, academic, career economic education, or personal finance counseling as an ongoing part of the program;

(B) Tutoring and academic-skillbuilding instruction and assistance;

(C) Assistance with special admissions;

(D) Health services; and

(E) Other services as necessary to assist students in completing program requirements.

(iii) Assistance in obtaining student financial aid that includes, but is not limited to, the following:

(A) Stipends.

(B) Scholarships.

(C) Student travel.

(D) Career-oriented work-study.

(E) Books and supplies.

(F) Tuition and fees.

(G) Room and board.

(H) Other assistance necessary to assist students in completing their first year of college or university.

- (iv) Housing support for students living in institutional facilities and commuting students.
 - (v) Exposure to cultural events, academic programs, and other activities not usually available to migrant youth.
 - (vi) Internships.
 - (vii) Other essential supportive services (such as transportation and child care) as necessary to ensure the success of eligible students.
- (c) The health services, and other financial support services provided to participating students must:

- (1) Be necessary to ensure their participation in the HEP or CAMP; and
- (2) Not detract, because of the amount, from the basic educational services provided under those programs.

(Authority: 20 U.S.C. 1070d–2(b) and (c))

[46 FR 35075, July 6, 1981, as amended at 52 FR 24920, July 1, 1987; 57 FR 60407, Dec. 18, 1992; 75 FR 65770, Oct. 26, 2010]

§ 206.11 What types of CAMP services must be provided?

- (a) In addition to the services provided in §206.10(b)(2), CAMP projects must provide follow-up services for project participants after they have completed their first year of college.
- (b) Follow-up services may include—
 - (1) Monitoring and reporting the academic progress of students who participated in the project during their first year of college and their subsequent years in college;
 - (2) Referring these students to on- or off-campus providers of counseling services, academic assistance, or financial aid, and coordinating those services, assistance, and aid with other non-program services, assistance, and aid, including services, assistance, and aid provided by community-based organizations, which may include mentoring and guidance; and
 - (3) For students attending two-year institutions of higher education, encouraging the students to transfer to four-year institutions of higher education, where appropriate, and monitoring the rate of transfer of those students.
- (c) Grantees may not use more than 10 percent of funds awarded to them for follow-up services.

(Authority: 20 U.S.C. 1070d-2(c))

[57 FR 60407, Dec. 18, 1992, as amended at 75 FR 65770, Oct. 26, 2010]

Subpart C—How Does One Apply for a Grant?

§ 206.20 What must be included in an application?

In applying for a grant, an applicant shall:

(a) Follow the procedures and meet the requirements stated in subpart C of 34 CFR part 75 (EDGAR-Direct Grant Programs);

(b) Submit a grant application that:

(1) Covers a period of five years unless extraordinary circumstances warrant a shorter period; and

(2) Includes an annual budget of not less than \$180,000;

(c) Include a management plan that contains:

(1) Assurances that the staff has a demonstrated knowledge of and will be sensitive to the unique characteristics and needs of the migrant and seasonal farmworker population; and

(2) Provisions for:

(i) Staff inservice training;

(ii) Training and technical assistance;

(iii) Staff travel;

(iv) Student travel;

(v) Interagency coordination; and

(vi) Project evaluation; and

(d) Provide the following assurances:

(1) The grantee will develop and implement a plan for identifying, informing, and recruiting eligible participants who are most in need of the academic and supporting services and financial assistance provided by the project.

(2) The grantee will develop and implement a plan for identifying and using the resources of the participating IHE and the community to supplement and enhance the services provided by the project.

(Authority: 20 U.S.C. 1070d–2(a) and (d)-(f))

(Approved by the Office of Management and Budget under control number 1810–0055)

[46 FR 35075, July 6, 1981, as amended at 52 FR 24920, July 1, 1987; 57 FR 60407, Dec. 18, 1992; 75 FR 65770, Oct. 26, 2010]

Subpart D—How Does the Secretary Make a Grant to an Applicant?

§ 206.30 How does the Secretary evaluate an application?

The Secretary evaluates an application under the procedures in 34 CFR part 75.

(Authority: 20 U.S.C. 1070d–2(a) and (e))

[62 FR 10403, Mar. 6, 1997]

§ 206.31 How does the Secretary evaluate points for prior experience for HEP and CAMP service delivery?

(a) In the case of an applicant for a HEP award, the Secretary considers the applicant's experience in implementing an expiring HEP project with respect to—

- (1) Whether the applicant served the number of participants described in its approved application;
- (2) The extent to which the applicant met or exceeded its funded objectives with regard to project participants, including the targeted number and percentage of—
 - (i) Participants who received a general educational development (GED) credential; and
 - (ii) GED credential recipients who were reported as entering postsecondary education programs, career positions, or the military; and
- (3) The extent to which the applicant met the administrative requirements, including recordkeeping, reporting, and financial accountability under the terms of the previously funded award.

(b) In the case of an applicant for a CAMP award, the Secretary considers the applicant's experience in implementing an expiring CAMP project with respect to—

- (1) Whether the applicant served the number of participants described in its approved application;
- (2) The extent to which the applicant met or exceeded its funded objectives with regard to project participants, including the targeted number and percentage of participants who—
 - (i) Successfully completed the first year of college; and

(ii) Continued to be enrolled in postsecondary education after completing their first year of college; and

(3) The extent to which the applicant met the administrative requirements, including recordkeeping, reporting, and financial accountability under the terms of the previously funded award.

(Authority: 20 U.S.C. 1070d–2(e))

[75 FR 65770, Oct. 26, 2010]

Subpart E—What Conditions Must Be Met by a Grantee?

§ 206.40 What restrictions are there on expenditures?

Funds provided under HEP or CAMP may not be used for construction activities, other than minor construction-related activities such as the repair or minor remodeling or alteration of facilities.

(Authority: Sec. 418A(a); 20 U.S.C. 1070d–2)

In addition to these regulations, definition for the Migrant Education Program, 34 CFR 200.81 (d), (e) and (f) are also applicable and can be found below following the HEP regulations. Regulations from the Department of Labor, 20 CFR 669.110 and 669.320 that apply can be found at:

http://www.dol.gov/dol/allcfr/eta/Title_20/Part_669/20CFR669.110.htm and
http://www.dol.gov/dol/allcfr/eta/Title_20/Part_669/20CFR669.320.htm