

**Archived Information**  
**U.S. Department of Education**

Washington, D.C. 20202-5335



**APPLICATION FOR GRANTS**  
**UNDER THE**

**APPLICATION PACKAGE FOR TRAINING FOR REALTIME WRITERS (TRTW)**  
**CFDA #: 84.116K**

OMB No. 1894-0006, Expiration Date: 01/30/2011  
Closing Date: AUG 02, 2010

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**U.S. DEPARTMENT OF EDUCATION  
OFFICE OF POSTSECONDARY EDUCATION  
WASHINGTON, D.C. 20006-8544**

[www.ed.gov/fipse](http://www.ed.gov/fipse)

**FY 2010  
APPLICATION FOR GRANTS UNDER THE  
TRAINING FOR REALTIME WRITERS PROGRAM**

**CFDA Number: 84.116K**

**FORM APPROVED**

OMB no. 1894-0006, Expiration Date: January 31, 2011

**OPEN IMMEDIATELY**

**CLOSING DATE: August 2, 2010  
4:30:00 p.m. Washington, D.C. Time**



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### **Forms (found on e-Grants)**

Application for Federal Assistance (SF 424)

Supplemental Information Required for Department of Education

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Certification Regarding Lobbying

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SF-LLL, Disclosure of Lobbying Activities

**June 2010**

Dear Applicant:

Thank you for your interest in applying for a grant under the Training for Realtime Writers Program. This grant competition is administered by the Fund for the Improvement of Postsecondary Education (FIPSE) of the U.S. Department of Education (the 'Department'). This program will support innovative projects that enable Institutions of Higher Education (IHEs) to provide training and placement of individuals as realtime writers. Information about this program is accessible on the FIPSE Web site at:

<http://www2.ed.gov/programs/trtw/index.html>

Please be advised that because limited funds are available this year, the application process will be extremely competitive. For FY 2010, the Department estimates that it will make four (4) awards ranging in size from \$200,000 - \$300,000. The project periods may be up to 60 months. For information concerning the absolute priority, please refer to the *Federal Register* notice, published on **July 2, 2010**, inviting applications for new awards for FY 2010.

The Notice Inviting Applications for New Awards published in the *Federal Register* is the official document describing the requirements for submitting a grant application. Please let us know if you have questions or require additional information. Please carefully review these application guidelines and the *Federal Register* notice. If you would like to discuss your proposal, please call or e-mail a one-paragraph summary of your idea for discussion with a FIPSE program officer. A brief conversation with a program officer about your proposal idea may save you considerable time and effort (202-502-7500).

The Department requires submission of grant applications through e-Grants, an internet-based electronic system, unless you have grounds for a waiver. A detailed description of the system is included in this application package. We urge you to acquaint yourself with the e-Grants system early. The application process can be complicated and time consuming if you have not used it before. Make sure you allow yourself ample time to submit the electronic application by the deadline of **August 2, 2010**. We suggest that you submit your application several days before the deadline date. E-Grants is accessible through its portal page at:

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

FIPSE appreciates your interest in this competition and looks forward to receiving your application.

Sincerely,

/signed/

Ralph Hines  
Acting Director  
Fund for the Improvement of Postsecondary Education

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## **e-APPLICATION SUBMISSION PROCEDURES**

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U.S. Department of Education  
***e-Application Submission Procedures and Tips for Applicants***  
<http://e-grants.ed.gov>

To facilitate your use of e-Application, this document includes important application preparation and

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. Please read and follow these step-by-step directions to create and submit your application.

## **ATTENTION**

Applicants using the Department of Education's e-Application system will need to register first to access an application package. Forms in an application package are completed on line and narratives are uploaded while logged into the system. Therefore, allow sufficient time to complete your application before the closing date. If you have not used e-Application in the past, you may want to walk through the Demo available on the e-Application homepage. If you encounter difficulties, you may also contact the e-Grants helpdesk on 1-888-336-8930. The following are steps you should follow to successfully complete an application with e-Application.

Step 1 – **Determine** if your program is accepting electronic applications. The *Federal Register* Notice of each program will indicate whether the program is accepting e-Applications as part of the Department's e-Application program. Here is a link to the Department's *Federal Register* notices: <http://www.ed.gov/news/fedregister/announce/index.html>. Additional information on the Department's of Education's grant programs can be found at <http://www.ed.gov/about/offices/list/ocfo/grants/grants.html>.

Step 2 – **Register in e-Application** to access the application package. If you are a new user, you will need to register to use e-Application. From the e-Grants Portal Page <http://e-grants.ed.gov/>, click on the continue button and click the register button on the right side of the next page. Select the e-Application module and click the next button. Please provide the requested information. Your e-Grants password will be sent to the e-mail address you provide. Once you receive the e-mail, enter your username and password and click the login button.

If you already have a username and password for e-Grants, use them to login. If you have access to more than one e-Grants module, you will be directed to select which module you wish to enter. Keep in mind that this username and password will be used for all e-Grants modules. In order to update your registration for additional e-Grants modules, click the appropriate tab on the top of the screen and provide the requested information.

Note the following browser compatibility problems. The site is viewed best in Internet Explorer 5. We currently support IE 5, Netscape 6.2, Firefox 2.2 (along with later versions of IE, Netscape and Firefox ). Please make sure that you have **Cookies** and **JavaScript** enabled in your browser.

Step 3 - **Add Application Package to your Start Page**. From your Start Page, click on the "Add" button to see the list of application packages. Click on a specific package link on the List of Application Packages to apply. The package will now appear on your Start Page. From this point forward, you will access your unique application from your Start Page (not the Packages Page).

Step 4 - **Begin the Application**. Click on the underlined Application Package Title on your Start Page. This brings you to a page where you will see all of the application's forms and narratives listed as underlined links.

Step 5 - **Fill out Forms**. Enter a form by clicking on the underlined form title in order to enter data. Remember to click the "Save" button at the bottom of the form and check the "Form Completed" box for each form as you complete it.

**Step 6 - Upload File(s) for Narrative Responses.** Click on an underlined narrative form title for the e-Application. Enter the title of the document, and click on the "Browse" button to locate your file. Remember to click the "Save" button after you upload the document and check the "Form Completed" box when you finish uploading your file(s). Please note for file uploads, we accept .doc, .rtf, and .PDF files only. If you are using Word 2007, please save your document in a lower version of Word before uploading into e-Application.

**Step 7 - Verify Information/Print Application.** Verify your information is complete and correct on all required forms and narratives. You have the option to print each form at any time by clicking on the print/view icon next to the appropriate form. After submission of the forms and narratives, you have the option to print a complete e-Application package in .PDF by clicking on the "Request Complete Package in .PDF" on the e-Application PR/Award page. A second window will open informing you that your request has been received and that you will be notified via email once it is available. This process can take anywhere from a few minutes to a few hours. Once you receive the email, click on the link in the text of the message and enter your username and password in the new window. This will open the .PDF file from which you can view/print the entire package. In addition, a blank complete package in .PDF will be accessible from the package page in e-Application.

**Step 8 - Submit your Application.** Only authorized individuals for your organization can submit an application. Please check with your certifying official or sponsored research office before submission. Click on the "Ready to submit" button at the bottom of your application. Enter and verify the Authorizing Representative information. Click the "Submit" button. You will receive an e-mail to confirm that your application was received, and it will include a unique application number. Please print and keep this e-mail for your records. [Reminder: applications must be submitted before 4:30:00 pm, Washington, D.C. time, on the deadline date for applications. e-Application will not accept your application if you try to submit it after 4:30:00 on the deadline date.]

**Step 9 - Fax the signed SF 424 Cover Page (or Program Specific Cover Page).** Write your unique application number (received in step 8) on the upper right corner of your printed SF 424 Cover Page (or Program Specific Cover Page), and fax it to the Application Control Center (202) 245-6272 within 3 business days of submitting your e-Application.

NOTE: For more detailed information on submitting an e-Application, please see the **User Guide**. In addition, please try practicing with our e-Application Demo site by clicking on the Demo button found on the upper left corner of the e-Application Home Page. Both the User Guide and Demo can be found at <http://e-grants.ed.gov>.

## **Other Submission Tips**

- 1) **SUBMIT EARLY – We strongly recommend that you do not wait until the last day to submit your application.** The time it takes to upload the narratives for your application will vary depending on a number of factors including the size of the files and the speed of your Internet connection. If you try to submit your application after 4:30:00 p.m. on the deadline date, the e-Application system will not accept it.
- 2) 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.)

3) **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.)

### **Attaching Files – Additional Tips**

Please note the following tips related to attaching files to your application:

1. Ensure that you only attach the Education approved file types detailed in the *Federal Register* application notice (.doc, .PDF or .rtf). If using Word 2007, save your file to a lower version of Word before uploading. Do not save it as a Word .DOCX. Also, do not upload any password protected files to your application.
2. When attaching files, applicants should limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We recommend you keep your file names to less than 50 characters. In addition, applicants should avoid including special characters in their file names (for example, %, \*, /, etc.). Both of these conditions (lengthy file names and/or special characters including in the file names) could result in difficulties opening and processing a submitted application.
3. 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. Please note that each file attachment in e-Application has a file size limitation which is anywhere from 2 to 8 MB and the limitation will be indicated on the individual screen when you upload a file. For reference, however, the average discretionary grant application package totals 1 to 2 MB. Therefore, you may want to check the size of your attachments before uploading them into e-Application.

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## APPLICATION TRANSMITTAL INSTRUCTIONS

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

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

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

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

**Applications Submitted Electronically** (This is required for all applications—unless the applicant secures an official exception—see Closing Date Notice Section IV Item 7.a)

**You must submit your grant application through the Internet using the software provided on the e-Application Web site (<http://e-grants.ed.gov>) by 4:30:00 p.m. (Washington, D.C. time) on or before the deadline date.**

If you submit your application through the Internet via the Department's e-Application system, you will receive an automatic acknowledgement when we receive your application.

For more information on using e-Application, please refer to the "Notice Inviting Applications" that was published in the *Federal Register* or visit <http://e-grants.ed.gov>.

**Applications Delivered by Mail** (Electronic submission is required for all applications—unless the applicant secures an official exception)

This is allowed—only when you have secured an official exception from the electronic submission requirements [see Closing Date Notice Section IV Item 7.a for more details].

### **Submission of Paper Applications by Mail:**

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

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.116K)  
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 84.116K)  
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, D.C. time, except Saturdays, Sundays, and Federal holidays.

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

- (1) You must indicate on the envelope and--if not provided by the Department--in Item 11 of the SF 424 the CFDA number (84.116K), 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.

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## **PROGRAM DESCRIPTION AND GUIDELINES**

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### **PURPOSE**

The Training for Realtime Writers Program awards grants to promote the training and placement of individuals as realtime writers. Grants awarded under this program may fund activities related to the recruitment, training and assistance, and job placement of individuals as realtime writers who have completed a court reporting training program.

### **ELIGIBILITY**

An eligible applicant under the Training for Realtime Writers Program is an institution of higher education (IHE) which offers a court reporting program that: has the curricular capability to train realtime writers to provide captioning services; is accredited by an accrediting agency or association recognized by the Secretary; and is currently participating in student aid programs under Title IV.

NOTE: in order to participate in Title IV programs, (the Federal student financial aid programs) the entity must meet the definitions of an IHE in sections 101 and 102 of the Higher Education Act (HEA) of 1965, as amended. Applicants will be required to provide the Office of Postsecondary Education (OPE) Identification number used for Title IV purposes.

### **AWARDS**

The Department estimates that 4 new awards will be made in FY 2010 under this competition. The Department expects to award grants with an estimated total award ranging from \$200,000 - \$300,000 over a period of up to 60 months.

These figures are estimates only and do not bind the Department to a specific number of grants, or to the amount of any grant, unless that amount is otherwise specified by statute or regulation.

### **APPLICATION PROCESS AND DEADLINES**

This competition will employ a single-stage application and review process in FY 2010. Applicants are required to submit a proposal narrative consisting of 15 numbered pages, doubled-spaced, plus a one-page abstract, budget, budget narrative, and appendices through the Department's e-Grants system by 4:30:00 p.m., Washington, D.C. time on the closing date. Eligible applicants may submit more than one application if each is for a different project. The review process is more fully described in the section of this document entitled "Guide to Proposal Development."

### **APPLICATION NOTICE**

The official Application Notice is published in the *Federal Register*. The information in this application package is intended to aid in preparing proposals for this competition. Nothing in this application package supersedes the information published in the *Federal Register*.

### **CONTACT INFORMATION**

This is for information only. **Do not use this address to submit applications.**

Erin M. McDermott  
U.S. Department of Education (FIPSE)  
1990 K Street, N.W., 6<sup>th</sup> floor  
Washington, DC 20006-8544  
Tel: 202-502-7607  
Fax: 202-502-7877  
E-mail: [erin.mcdermott@ed.gov](mailto:erin.mcdermott@ed.gov)

## WEB SITE

For information about FIPSE's past and current projects, successfully evaluated projects from previous years, application information, evaluation resources, and more, visit FIPSE's Web site at:  
<http://www.ed.gov/fipse>.

For information about the Training for Realtime Writers Program, visit the program's Web site at:  
<http://www2.ed.gov/programs/trtw/index.html>

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## SUPPLEMENTAL INFORMATION

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The following information supplements the information provided in the "Dear Applicant" letter and the Closing Date Notice (CDN) inviting Applications for New Awards for Fiscal Year 2010.

### 1. Estimated Funding and Project Period

- Estimated Available Funds for FY 2010: \$990,000
- Estimated Range of Awards: \$200,000 - \$300,000
- Estimated Average Size of Awards: \$250,000

- Estimated Number of New Awards: 4
- Project Period for New Awards: Up to 60 months

The U.S. Department of Education is not bound by these estimates.

## 2. Intergovernmental Review of Federal Programs

Intergovernmental Review of Federal Programs is designed to foster an intergovernmental partnership and to strengthen federalism by relying on state and local processes for the coordination and review of proposed federal financial assistance.

Applicants must contact the appropriate State Single Point of Contact to find out about, and to comply with, the state's process under Executive Order 12372. A listing of the Single Point of Contact for each state may be viewed at: <http://www.whitehouse.gov/OMB/grants/spoc.html>.

## 3. Applicant Funding

The Department is often unable to award the full amount of funds requested. Applicants should pay close attention to the "Award Information" section of the Closing Date Notice.

## 4. Narrative

**NOTE: It is strongly recommended that the Narrative be uploaded as a Word for Windows file.** Do not upload a .DOCX file; instead convert an original .DOCX file to a .doc file before uploading. Please note for file uploads, we accept .doc, .rtf, and .PDF files only. If you are using Word 2007, please save your document in a lower version of Word before uploading into e-Application. In addition, uploading a .doc file is preferable to a .PDF file because the latter file format may make it difficult to verify that required font sizes and margins have been followed, resulting in the rejection of your narrative and application.

## 5. Appendices to Applications

Appendices are limited to the following:

- Project evaluation chart
- Narrative summaries of the qualifications of key personnel (maximum one page each)
- References cited in the proposal narrative (if applicable)

**NOTE: All appendices must be combined into a single file before uploading** -- a Word for Windows file (.DOC only; no .DOCX files) or a .PDF file (if original files are in different formats). Upload the appendix file to "Other Attachments" in the e-Grants application package. Attempts to upload more than one appendix file will simply replace a previously uploaded file with a subsequent one.

## 6. Evaluation of Applicants for Awards

Three non-federal reviewers will evaluate each application using the selection criteria included in this application package.

## 7. Selection Criteria

The selection criteria for this program are from EDGAR 34 CFR part 75 section 75.210. They are listed in this application package under "Guide to Proposal Development."

## 8. Notice to Successful Applicants

The Department's Office of Legislation and Congressional Affairs will inform the Congress regarding applications approved for new Training for Realtime Writers Program grants. Successful applicants will receive award notices by mail shortly after Congress has been notified. No funding information will be released before Congress is notified.

**9. Notice to Unsuccessful Applicants**

Unsuccessful applicants will be notified in writing.

**10. Annual Performance Report Requirements**

If you receive a FY 2010 new grant award, you will be required during the funding cycle to submit annual and final performance reports using the FIPSE Grant Database. This online system collects narratives and data about funded projects to help program officers determine if a grantee is making substantial progress toward meeting approved project objectives. The database is accessible at: <http://www.fipse.aed.org>. The Annual Performance Report used for this program can be found at <http://www.ed.gov/programs/fipsecomp/performance.html>.

**11. Contact Information**

For Training for Realtime Writers Program-related questions and assistance, please contact:

Coordinator: Erin M. McDermott  
Address: Fund for the Improvement of Postsecondary Education  
U.S. Department of Education  
1990 K Street, N.W., Room 6142  
Washington, D.C. 20006-8544  
Telephone: (202) 502-7607  
Fax: (202) 502-7877  
E-mail Address: [erin.mcdermott@ed.gov](mailto:erin.mcdermott@ed.gov)

For e-Grants-related questions and assistance, please contact:

Support Desk: e-Application Support Desk  
Telephone: (888) 336-8930  
Hours: Monday – Friday, 8:00 A.M. – 6:00 P.M. Eastern Time

4000-01-U

DEPARTMENT OF EDUCATION

Office of Postsecondary Education

Overview Information

Training for Realtime Writers.

Notice inviting applications for new awards for fiscal year (FY) 2010.

Catalog of Federal Domestic Assistance (CFDA) Number:

84.116K.

Dates:

Applications Available: July 2, 2010.

Deadline for Transmittal of Applications: August 2, 2010.

*Full Text of Announcement*

I. Funding Opportunity Description

Purpose of Program: The objective of this program is to provide grants to institutions of higher education (IHEs) that meet certain qualifications to promote training and placement of individuals, including individuals who have completed a court reporting training program, as realtime writers in order to meet the requirements for closed captioning of video programming set forth in section 713 of the Communications Act of 1934 (47 U.S.C. 613) and the rules prescribed thereunder.

Priority: In accordance with 34 CFR 75.105(b)(2)(iv), this priority is from section 872(a)(3) of the Higher Education Act of 1965, as amended (HEA).

Absolute Priority: For FY 2010 and any subsequent year in which we make awards from the list of unfunded applicants from this competition, this priority is an absolute priority. Under 34 CFR 75.105(c)(3) we consider only applications that meet this priority.

Applicants must: (1) demonstrate they possess the most substantial capability

to increase their capacity to train realtime writers; (2) demonstrate they have undertaken the most promising collaboration with educational institutions, businesses, labor organizations, or other community groups having the potential to train or provide job placement assistance to realtime writers; or (3) propose promising and innovative approaches for initiating or expanding training or job placement assistance efforts with respect to realtime writers. An eligible entity receiving a grant must use the grant funds for purposes relating to the recruitment, training and assistance, and job placement of individuals, including individuals who have completed a court reporting training program, as realtime writers, including: (1) recruitment; (2) the provision of scholarships (subject to the requirements in section 872(c)(2) of the HEA); (3) distance learning; (4) further developing and implementing both English and Spanish curricula to more effectively train individuals in realtime writing skills, and the knowledge necessary for the delivery of high quality closed captioning services; (5) mentoring students to ensure successful completion of the realtime training and providing assistance in job placement; (6) encouraging individuals with disabilities to pursue a career in realtime writing; and (7) the employment and payment of personnel for the purposes described.

Program Authority: 20 U.S.C. 1161s.

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

## II. Award Information

Type of Award: Discretionary grants.

Estimated Available Funds: \$990,000.

Estimated Range of Awards: \$200,000 - \$300,000.

Estimated Average Size of Awards: \$250,000 for the entire performance period.

Estimated Number of Awards: 4.

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

Project Period: Up to 60 months.

### III. Eligibility Information and Program Requirements

1. Eligible Applicants: An IHE that offers a court reporting program that: (1) has a curriculum capable of training realtime writers qualified to provide captioning services; (2) is accredited by an accrediting agency or association recognized by the Secretary; and (3) is participating in student aid programs under Title IV of the HEA.

2. Cost Sharing or Matching: This program does not require cost sharing or matching. However, the program does include a supplement-not-supplant requirement. Under section 872(c)(4) of the HEA, grant amounts awarded under this program must supplement and not supplant other Federal or non-Federal funds of the grant recipient for purposes of promoting the training and placement of individuals as realtime writers.

### IV. Application and Submission Information

1. Address to Request Application Package: You can obtain an application You can contact ED Pubs at its Web site, also: [www.edpubs.gov/](http://www.edpubs.gov/) or at its e If you request an application from ED Pubs, be sure to identify this program or competition as follows: CFDA number 84.116K.

Individuals with disabilities can obtain a copy of the application package

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

Page Limit: The application narrative (Part III of the application) is where you, the applicant, address the selection criteria that reviewers use to

evaluate your application. You must limit the application narrative to the equivalent of no more than 15 pages, using the following standards:

- A "page" is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.
- Double space (no more than three lines per vertical inch) all text in the application narrative, except titles, headings, footnotes, quotations, references, and captions, as well as all text in charts, tables, figures and graphs.
- Use a font that is either 12 point or larger, or no smaller than 10 pitch (characters per inch).
- Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial. An application submitted in any other font (including Times Roman or Arial Narrow) will not be accepted.

The page limit does not apply to Part I, the cover sheet; Part II, the budget section, including the narrative budget justification; Part IV, the assurances and certifications; the table of contents; the one page abstract, the resumes, the bibliography, or citation list, letters of partners' or other collaborators' commitment, or letters from institutional administrators that document the applicant's existing work study program.

We will reject your application if you exceed the page limit.

### 3. Submission Dates and Times:

Applications Available: July 2, 2010.

Deadline for Transmittal of Applications: August 2, 2010.

Applications for grants under this program competition must be submitted electronically using the Electronic Grant Application System (e-Application) accessible through the Department's e-Grants site. 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 re

Individuals with disabilities who need an accommodation or auxiliary aid in

4. Intergovernmental Review: This competition is subject to Executive Ord

5. Funding Restrictions: Under section 872(c)(3) of the HEA, a grantee un

6. Data Universal Numbering System Number, Taxpayer Identification Number,

and Central Contractor Registry: To do business with the Department of Education, (1) you must have a Data Universal Numbering System (DUNS) number and a Taxpayer Identification Number (TIN); (2) you must register both of those numbers with the Central Contractor Registry (CCR), the Government's primary registrant database; and (3) you must provide those same numbers on your application.

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.

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 Training for Realtime Writers Program--CFDA number 84.116K--must be submitted electronically using e-Application, accessible through the Department's e-Grants Web site at: <http://e-grants.ed.gov>.

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.

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

Please note the following:

- You must complete the electronic submission of your grant application by 4:30:00 p.m., Washington, DC time, on the application deadline date. E-Application will not accept an application for this program competition after 4:30:00 p.m., Washington, DC time, on the application deadline date. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the application process.

- The hours of operation of the e-Grants Web site are 6:00 a.m. Monday until 7:00 p.m. Wednesday; and 6:00 a.m. Thursday until 8:00 p.m. Sunday, Washington, DC time. Please note that, because of maintenance, the system is unavailable between 8:00 p.m. on Sundays and 6:00 a.m. on Mondays, and between 7:00 p.m. on Wednesdays and 6:00 a.m. on Thursdays, Washington, DC time. Any modifications to these hours are posted on the e-Grants Web site.

- You will not receive additional point value because you submit your application in electronic format, nor will we penalize you if you 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 attach any narrative sections of your application as files in a .DOC (document), .RTF (rich text), or .PDF (Portable Document) format. If you upload a file type other than the three file types specified in this paragraph or submit a password protected file, we will not review that material.

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

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

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

- Within three working days after submitting your electronic application,

fax a signed copy of the SF 424 to the Application Control Center after following these steps:

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

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

Application Deadline Date Extension in Case of e-Application Unavailability:

If you are prevented from electronically submitting your application on the application deadline date because e-Application is unavailable, we will grant you an extension of one business day to enable you to transmit your application electronically, by mail, or by hand delivery. We will grant this extension if-

- (1) You are a registered user of e-Application and you have initiated an electronic application for this competition; and
- (2) (a) E-Application is unavailable for 60 minutes or more between the hours of 8:30 a.m. and 3:30 p.m., Washington, DC time, on the application deadline date; or
- (b) E-Application is unavailable for any period of time between 3:30 p.m. and 4:30:00 p.m., Washington, DC time, on the application deadline date.

We must acknowledge and confirm these periods of unavailability before granting you an extension. To request this extension or to confirm our acknowledgment of any system unavailability, you may contact either (1) the person listed elsewhere in this notice under For Further Information Contact

(See VII. Agency Contact) or (2) the e-Grants help desk at 1-888-336-8930. If e-Application is unavailable due to technical problems with the system and, therefore, the application deadline is extended, an e-mail will be sent to all registered users who have initiated an e-Application. Extensions referred to in this section apply only to the unavailability of e-Application.

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 e-Application because--

- You do not have access to the Internet; or
- You do not have the capacity to upload large documents to e-Application;

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 prevents 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: Erin Marie McDermott, U.S. Department of Education, 1990 K Street, NW., room 6142, Washington, DC 20006-8544. FAX: (202) 502-7877.

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 84.116K)  
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 84.116K  
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 grant notification within 15 business days from the application deadline date, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

V. Application Review Information

1. Selection Criteria: The selection criteria for this program are from 34 CFR 75.210. Additional information regarding these criteria is in the application package for this competition.

2. Review and Selection Process: Additional factors we consider in selecting an application for an award are as follows. In making grant awards for this program, the Department will consider information concerning the applicant's performance and use of funds under a previous award under any Department program, and will consider any information concerning the applicant's failure under any Department program to submit a performance report or its submission of a performance report of unacceptable quality, in accordance with 34 CFR 75.217(d)(3).

#### 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 will notify you.

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

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

3. Reporting: At the end of your project period, you must submit a final performance report, including financial information and, as required under section 872(d) of the HEA and as directed by the Secretary, (1) an assessment of the effectiveness of activities carried out using such funds in increasing the number of realtime writers, using the performance measures submitted in the

application for the grant; and (2) a description of the best practices identified for increasing the number of individuals who are trained, employed, and retained in employment as realtime writers. The Secretary may also require more frequent performance reports under 34 CFR 75.720(c). For specific requirements on reporting, please go to:

[www.ed.gov/fund/grant/apply/appforms/appforms.html](http://www.ed.gov/fund/grant/apply/appforms/appforms.html).

4. Performance Measures: Under the Government Performance and Results Act (GPRA), the following measure will be used by the Department in assessing the performance of the Training for Realtime Writers Program:

The number of participants who have completed the program who are employed as realtime writers.

If funded, you will be asked to collect and report data on these measures in your project's annual performance report (34 CFR 75.590).

#### VII. Agency Contact

For Further Information Contact: Erin Marie McDermott, Training for Realtime Writers Program, U.S. Department of Education, 1990 K Street, NW., room 6142, Washington, DC 20006-8544. Telephone: (202) 502-7607 or by e-mail:

[erin.mcdermott@ed.gov](mailto:erin.mcdermott@ed.gov).

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

#### VIII. Other Information

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

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

or Adobe Portable Document Format (PDF), on the Internet at the following site: [www.ed.gov/news/fedregister](http://www.ed.gov/news/fedregister). To use PDF, you must have Adobe Acrobat Reader, which is available free at this site.

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

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Delegation of Authority: The Secretary of Education has delegated the authority to Daniel T. Madzellan, Director, Forecasting and Policy Analysis for the Office of Postsecondary Education, to perform the functions and duties of the Assistant Secretary for Postsecondary Education.

Dated:

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Daniel T. Madzellan,  
Director,  
Forecasting and Policy Analysis.

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## AUTHORIZING LEGISLATION

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### Authorizing Statute

20 USC 1161s  
PART S--TRAINING FOR REALTIME WRITERS

#### SEC. 872. PROGRAM TO PROMOTE TRAINING AND JOB PLACEMENT OF REALTIME WRITERS.

(a) Authorization of Grant Program.--

- (1) In general.-- From the amounts appropriated to carry out this section, the Secretary shall award grants to eligible entities.
- (2) Eligible entities.--For purposes of this section, an eligible entity is a court reporting program that--
  - (A) has a curriculum capable of training realtime writers qualified to provide captioning services;
  - (B) is accredited by an accrediting agency or association recognized by the Secretary; and
  - (C) is participating in student aid programs under title IV.
- (3) Priority in grants.--In determining whether to make grants under this section, the Secretary shall give priority to eligible entities that--
  - (A) possess the most substantial capability to increase their capacity to train realtime writers;
  - (B) demonstrate the most promising collaboration with educational institutions, businesses, labor organizations, and other entities; and
  - (C) propose the most promising and innovative approaches for initiating or expanding training or job placement.
- (4) Duration of grant.--A grant under this section shall be for a period of up to five years.
- (5) Maximum amount of grant.--The amount of a grant provided under this subsection to an eligible entity shall not exceed the amount of the grant available for that fiscal year.

(b) Application.--

- (1) In general.--To receive a grant under subsection (a), an eligible entity shall submit an application to the Secretary.
- (2) Information.--Information in the application of an eligible entity for a grant under subsection (a) shall include--
  - (A) A description of the training and assistance to be funded using the grant amount, including how the training and assistance will be provided;
  - (B) A description of performance measures to be utilized to evaluate the progress of individuals receiving the training and assistance;
  - (C) A description of the manner in which the eligible entity will ensure that recipients of scholarships receive the training and assistance;
  - (D) A description of the manner in which the eligible entity intends to continue providing the training and assistance;
  - (E) A description of how the eligible entity will work with local boards (as defined in section 101 c) to provide the training and assistance;
  - (F) Additional information, if any, on the eligibility of the eligible entity for priority in the making of grants;
  - (G) Such other information as the Secretary may require.

(c) Use of Funds.--

- (1) In general.--An eligible entity receiving a grant under subsection (a) shall use the grant amount for--
  - (A) recruitment;
  - (B) subject to paragraph (2), the provision of scholarships;
  - (C) distance learning;
  - (D) further developing and implementing both English and Spanish curricula to more effectively train individuals;
  - (E) mentoring students to ensure successful completion of the realtime training and providing as needed;
  - (F) encouraging individuals with disabilities to pursue a career in realtime writing; and
  - (G) the employment and payment of personnel for the purposes described in this paragraph.
- (2) Scholarships.--
  - (A) Amount.--The amount of a scholarship under paragraph (1)(B) shall be based on the amount of the grant available for that fiscal year.
  - (B) Agreement.--Each recipient of a scholarship under paragraph (1)(B) shall enter into an agreement with the Secretary.
  - (C) Coursework and employment.--The Secretary shall establish requirements for coursework and employment for recipients of scholarships.
- (3) Administrative costs.--The recipient of a grant under this section may not use more than five percent of the grant amount for administrative costs.

(4) Supplement not supplant.--Grant amounts under this section shall supplement and not supplant of

(d) Report.--

(1) In general.--Each eligible entity receiving a grant under subsection (a) shall submit to the Secretary

(2) Report information.--Each report of an eligible entity under paragraph (1) shall include--

(A) an assessment by the entity of the effectiveness of activities carried out using such funds in i

(B) a description of the best practices identified by the eligible entity for increasing the number of

(3) Summaries.--The Secretary shall summarize the reports submitted under paragraph (2) and make

(e) Authorization of Appropriations.--There are authorized to be appropriated to carry out this section such sums as may be necessary for fiscal year 2009 and each of the five

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## INTERGOVERNMENTAL REVIEW OF FEDERAL PROGRAMS: EXECUTIVE ORDER 12372

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**NOTE: The Intergovernmental Review requirement has been waived for this program for Fiscal Year 2010. Therefore, Intergovernmental Review DOES NOT APPLY to this application package.**

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

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

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

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

Absent specific State review programs, applicants may submit comments directly to the Department. All recommendations and comments must be mailed or hand-delivered by the date indicated in the actual application notice to the following address: The Secretary, EO 12372--CFDA# 84.116K, 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.***

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## GENERAL EDUCATION PROVISIONS ACT (GEPA) SECTION 427

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Section 427 of GEPA requires all applicants for new awards to include in their applications a description of

the steps the applicant proposes to take to ensure equitable access to, and participation in, its federally-assisted programs for students, teachers, and other program beneficiaries with special needs. The 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.

**NOTES:**

- **Applicants for new awards must include information in their applications to address this provision in order to receive funding under this program.**
- **Applicants are required to address this provision by attaching a statement to the ED GEPA 427 Form that must be downloaded from e-Grants.**

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## GOVERNMENT PERFORMANCE AND RESULTS ACT (GPRA)

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### **What is GPRA?**

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

### **How has the Department of Education responded to the GPRA requirements?**

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

*Goal 1: Improve student achievement, with a focus on bringing all students to grade level in reading and mathematics by 2014*

*Goal 2: Increase the academic achievement of all high school students*

*Goal 3: Ensure the accessibility, affordability, and accountability of higher education, and better prepare students and adults for employment and future learning.*

### **What are the performance indicators for this competition?**

The performance indicators that will measure the success of these projects are:

The number of participants who have completed the program who are employed as realtime writers.

If funded, you will be asked to collect and report data on this measure in your project's annual performance report (34 CFR 75.590). It is important to the success of your application that you address this criterion in your application. The measure of your success, along with the assessment of the strength of your project design, must be part of the project evaluation plan.

### **How does the Department of Education determine whether performance goals have been met?**

An applicant that receives a grant award will be required to submit annual progress reports and a final report as a condition of the award. The reports will document the extent to which project goals and objectives are met.

The most recent version of this program's annual performance report can be viewed at <http://www.ed.gov/programs/fipsecomp/performance.html>.

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## **INSTRUCTIONS FOR COMPLETING THE APPLICATION PACKAGE**

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These instructions must be used in preparing an application. An application consists of four parts, which correspond to the sequence of your application sections. The parts are as follows. Remember to upload all forms and sections and follow carefully the e-Application instructions.

### **PART 1: 424 FORMS**

#### **Application for Federal Assistance – Standard Form (SF) 424 Department of Education Supplemental Information Form for SF 424**

Applicants must complete the SF 424 form first. Some of the information provided in the SF 424 is automatically inserted into other sections of the e-Grants application package.

Do not attach any narratives, supporting files, or application components to the SF 424.

### **PART 2: 524 FORMS**

#### **Department of Education Budget Summary Form – (ED 524) Sections A, B, and C**

NOTE: Section C – Budget Narrative is the detailed budget breakdown included in the Budget Narrative Attachment Form (Part 3 below). The detailed budget maps precisely, line item by line item, to the Budget Summary in SF 524 A and B.

### **PART 3: ATTACHMENTS**

#### **ED Abstract Form Project Narrative Attachment Form Budget Narrative Attachment Form (detailed line item budget) Other Attachments Form**

The Department of Education Abstract Form: Attach your one-page project abstract here. The abstract identifies the problem being addressed, presents a concise description of proposed project objectives and activities, and indicates intended outcomes. It should also indicate what makes the project innovative and a potential model for replication by others. NOTE: Do NOT upload a .DOCX file; instead upload a .doc file.

The Project Narrative Attachment Form includes the narrative section addressing the program selection criteria that will be used to evaluate applications submitted for this competition. The narrative must describe the innovative aspects of your project and your project's potential for replication. This attachment has a strict page limit of 15 double-spaced pages.

NOTE: We strongly recommend that this file be submitted in Word for Windows as a .doc file (not .DOCX file). Although .PDF is allowable, we cannot always verify that .PDF files adhere to stated restrictions on type font, type size, and margins.

The Budget Narrative Attachment Form: Attach a detailed line item budget and any supplemental budget information. The budget should demonstrate and justify that all costs are reasonable and necessary to accomplish the proposed project activities.

The Other Narrative Attachments Form is a location where you upload a single file that contains the following:

- Narrative summaries of the qualifications of key personnel (maximum one page each).
- Project timeline chart—all program grants will begin on January 1, 2011.
- References cited in the proposal narrative, if you choose to use endnotes (optional).
- Other pertinent information.

**NOTE:** Remember to attach appendices as a single .doc (no .DOCX) or .PDF file. If you attempt to upload more than one file, each uploaded file will delete and replace the previously uploaded one.

**WARNING:** Applicants should not upload Word 2007.DOCX files when attaching the Narrative to their application. **All attachments must be in .doc, .rtf, or .PDF format. Other types of files will not be accepted. If you do not follow these instructions, we will not review your application.** Finally, when attaching files, applicants should limit the length of file names. Long file names can cause difficulties with the opening and processing of your application. File names should not exceed 50 characters.

#### **PART 4: ASSURANCES, CERTIFICATIONS, AND SURVEY FORMS**

You must upload these forms:

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

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## INSTRUCTIONS FOR PROJECT NARRATIVE

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Applicants will attach the project narrative to the **Project Narrative Attachment Form**.

Please note that the sum total number of pages allowed for your Program Narrative may not exceed **15 pages**. The page limit does not apply to Part I, the Application for Federal Assistance form (SF-424); the Abstract, the Table of Contents, Part II, the budget section, including the narrative budget justification; Part IV, the assurances and certifications. Nor does it apply to the appendices .PDF. However the page limit does apply to all of the application narrative section [Part III].

### Formatting

A “page” is “8.5 x 11”, on one side only, with 1” margins at the top, bottom, and both sides. Page numbers and an identifier may be within the 1” margin. Double-space all text in the application, including titles and headings. All text in charts, tables, graphs, footnotes, quotations, references, and captions may be single-spaced. Applicants may use one of the following fonts: Times New Roman, Courier, Courier New or Arial, only. Applications submitted in any other font (including Times Roman and Arial Narrow) will not be accepted. Do not use anything smaller than a 12-point font.

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

### SELECTION CRITERIA

The Secretary evaluates an application on the basis of the broad criteria in § 34 CFR Part 75, sections 75.209(a) and 75.210 of the Education Department General Administrative Regulations (EDGAR). The Department will evaluate proposals using weighted selection criteria published in EDGAR § 34 CFR part 75 sections 75.210 (c)(2)(xiv), 210(f)(i-ii), 210(e)(2)(i-iii), and 210(h)(iii, vi). The maximum score that any proposal may receive is 100 points.

To facilitate the review of the application, provide responses to the following four (4) EDGAR selection criteria in the following order:

1. Project Design (50 Points)
2. Adequacy of Resources (15 Points)
3. Quality of Key Personnel (15 Points)
4. Project Evaluation (20 Points)

We suggest that you organize your proposal narrative according to the selection criteria. Each selection criterion is presented in bold type and followed by a discussion of how it applies to the Training for Realtime Writers competition. The reviewers of your proposal use these criteria to guide their assignment of ratings, so it is in your interest to address explicitly each one. The overall assessment of a proposal is based on the extent to which it satisfactorily addresses all the selection criteria.

In the following sections, the Department references the EDGAR citations that govern each selection criterion; the Department provides specific evaluation measures that reflect the Training for Realtime Writers Program provisions; and the Department indicates the maximum point values that accrue to each section and subsection. Applicants' responses to each criterion will require documentation that the applicant may place in the Appendix. Applications that omit documentation risk losing points.

Proposals will be considered in light of the following four criteria.

### **1. Project Design (50 Points)**

EDGAR indicates that the project design score will be determined by examining "The extent to which the proposed project represents an exceptional approach for meeting statutory purposes and requirements."

The Project Design section will require simple and direct responses—and short narrative explanations. Applicants should provide a clear, succinct narrative delineated in sections that map to the selection criteria and that adhere to the elements in the Authorizing Legislation.

The quality of the project design will be determined by the following factors (50 points):

- a) 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; and
- b) the extent to which the project is designed to build capacity and yield results that will extend beyond the period of federal financial assistance.

Your narrative should offer reviewers a clear description of who will do what, when, where, why, and with what anticipated results. The project's goals and objectives must be clearly identified and measurable. Responsibilities, timelines, and milestones for accomplishing project tasks must also be specified.

In the appendix to your proposal, include the qualifications of key personnel, including the project director, project co-director, evaluator, and major consultants or subcontractors. Please note that standard curriculum vitae are not appropriate for this purpose. What is needed is a brief (one-page maximum) bio of each individual's background, with a special focus on those experiences related to the topic of your application. (Vitae for key personnel will be requested from successful applicants after awards are announced.)

### **2. Adequacy of Resources (15 Points)**

The applicant should provide substantive evidence that indicates that the project resources are adequate for project success and that they meet the standards established in EDGAR 34 CFR § 75.210(f)(i-ii).

The adequacy of resources for the proposed project will be determined by the following factors (15 points):

- a) the extent to which costs are reasonable in relation to the objectives, design, and potential significance of the proposed project;
- b) the potential for continued support of the project after federal funding ends, including, as appropriate, the demonstrated commitment of appropriate entities to such support.

A budget summary (SF 524 A and B) and budget narrative (SF 524 C) attached to your proposal should itemize the support you request from the Department and the support you expect to obtain from sources other than the Department, if applicable. It must be clear from the proposal narrative how your budget request relates to the attainment of your goals and objectives.

The Department is especially interested in projects designed to be cost-effective, designed to increase the likelihood that successful efforts will be continued beyond the period of a the grant and designed to be replicated by others. But cost effectiveness must not imply insufficient resources to accomplish the project's goals and objectives. Costs should be allocated, and will be judged, in relation to the scope of the project and the requirements for achieving its objectives.

### **3. Qualification of Key Personnel (15 Points)**

The applicant should provide substantive evidence that indicates that the project's key personnel will ensure project success and that they meet the standards established in EDGAR 34 CFR § 75. 210(e)(2)(i-iii).

The qualifications of:

The Project Director—provide his/her name and title.

Applicants should reference the project director's qualifications and provide the project director's qualifications, relevant training and experience in a short (1-page) resume that appears in the Appendix.

Other Key Personnel, Consultants or Contractors—provide names and titles.

Applicants should reference the other key personnel involved in the project, and provide resumes for employees and contractors who will implement the project. Applicants may attach short (1-page) resumes. If the project has not yet identified key personnel or contractors, applicants may attach job descriptions for proposed hires and statements of work for consultants and contractors.

The Applicant's Hiring Practices

The applicant should provide evidence of 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 order to address this evaluation criterion, the applicant should provide a summary or a copy of its hiring policies. No point value will be given, but this is nevertheless a required portion of the grant application.

### **4. Quality of Project Evaluation (20 Points)**

Applicants must demonstrate how they will meet the standards established in EDGAR 34 CFR § 75. 210(h) (iii, vi).

The quality of the project evaluation will be determined by the following factors (20 points):

- a) the extent to which the methods of evaluation are thorough, feasible, and appropriate to the goals, objectives, and outcomes of the proposed project;
- b) the extent to which the methods of evaluation include the use of objective performance measures that

are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data to the extent possible; and

- c) the extent to which the evaluation will provide guidance about effective strategies suitable for replication or testing in other settings relevant to the training of realtime writers.

Evaluation should be an important part of your project planning. Include in your proposal a description of how you intend to document the activities and results of your project. Formative evaluation can help you manage your project more effectively, and a strong summative evaluation, especially if it documents the project's effects on the learner, can turn a successful project into a national model for improvement in postsecondary education.

Before a project can become a model, its proponents must be able to prove that it has achieved its aims in its original setting. That is why a solid evaluation plan, one that focuses as much as possible on precisely how the project has improved educational outcomes, is an essential component of FIPSE projects. **Include in the appendix to your application a two-column chart, the first column listing for each year of the project the major goals and objectives, and the second column listing what evaluation measures will be used to show attainment of that goal or objective.** A third column may be added to show responsibilities, timelines, and milestones.

Directly or indirectly, learners should be the principal beneficiaries of your project. Our focus on the learner means that FIPSE is especially interested in evaluation plans that assess projects in terms of their consequences for student learning. FIPSE does not support basic research; rather, its focus is on implementation of projects that demonstrate, test, and take to larger scale effective approaches to postsecondary education.

In addition to project-specific objectives, the evaluation plan must include as objectives the two FIPSE performance indicators discussed above in the section on the Government Performance and Results Act (GPRA). The plans must also include *measures* of the two indicators: 1) replication (the extent to which a project is being adopted in full or in part by others, or its materials are being used by other institutions) and 2) sustainability (the likelihood that a project will be continued and institutionalized beyond federal funding).

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## GUIDE TO PROPOSAL DEVELOPMENT

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This discussion is intended to help you conceive and write a strong proposal by alerting you to the ways in which it will be read and judged and by providing you instructions on how to submit an application.

This competition is a single-stage competition. All applicants must submit a proposal consisting of a 15-page narrative (pages numbered and double-spaced), *plus* a one-page abstract, a budget summary, a detailed budget narrative, a single file containing all appendices, as well as other standard forms. Applications must be submitted electronically via the e-Grants application system.

### UNDERSTANDING FUNDING PRACTICES AND REVIEW PROCESSES

#### Before You Prepare an Application

Model programs addressing many common issues of postsecondary reform already exist. Some have been developed with the support of FIPSE or other funding agencies; many others have been implemented without outside grant support. Applicants should conduct a literature review that summarizes current research and practice supporting the significance of the project. Please tell us if your project takes a new direction or builds on previously effective national efforts.

FIPSE's Web site at <http://www.ed.gov/FIPSE> contains information on resources that would be useful to a prospective applicant in developing a proposal. The Web site also directs you to descriptions of projects FIPSE has funded since 1994 (see [www.fipse.aed.org](http://www.fipse.aed.org)), evaluation information and suggestions, material on other competitions, and funding advice from FIPSE program officers.

Prospective applicants should note that, although FIPSE staff cannot review draft proposals, program officers are happy to discuss project ideas by telephone or in person. To set up an appointment call the FIPSE office at 202-502-7500.

#### Indirect Cost Rates

Applicants requesting reimbursement of indirect costs must complete the "Indirect Cost Information" section of the required Budget Summary Form (ED 524). For additional information on reimbursement of indirect costs, see instructions at the end of this application package. A project funded under the Training for Realtime Writers Program is considered an educational training project. As such, grantees will be subject to the indirect cost rate limitations and regulations described in EDGAR 34 CFR part 75 section 562.

#### Conflicts of Interest

All applicants are reminded to review the requirements of Sections 74.42 (Codes of Conduct) and 75.525 (Conflict of Interest) of the Department of Education General Administrative Regulations (EDGAR). Applicants must disclose any personal and financial interests that may be involved among the participants in the proposed project. Not long ago FIPSE received an application in which both the proposed project director and the project evaluator were members of an advisory board to the profit-making organization whose product was to be tested under the non-profit organization's project. In such an instance, neither

FIPSE nor the American public can have confidence in the reported results of a project, regardless of whether the applicant has a real financial interest in the product. Such entanglements should be avoided. Failure to disclose such entanglements will preclude further consideration of an application.

## Recommended Proposal Outline

We recommend that you organize your proposal in sections that map to each of the review criteria:

- Project Design
- Adequacy of Resources
- Qualification of Key Personnel
- Quality of Project Evaluation

## Review Requirements and Process

Applicants will submit at the Department of Education's e-Grants Web site an application consisting of the following requirements for the proposal narrative:

1. Limit the length of the project narrative to 15 numbered pages, double-spaced (no more than three lines per vertical inch), *plus* a one-page abstract, budget summary, budget narrative (detailed line-item budget), and appendices.
2. Only the following fonts may be used:
  - Times New Roman
  - Courier
  - Courier New
  - Arial

Applications submitted in any other font (take care NOT to use Times Roman or Arial Narrow) will not be accepted.

3. Use minimum 1-inch margins on all four sides of the page, and avoid font sizes smaller than 12 point. Make sure your line spacing is set for **double-spacing** and not 1.5 lines or other spacing. In addition to the 15-page proposal narrative, abstract, budget summary, and budget narrative (detailed line-item budget), include in the application package an appendix containing the following items. Note: Include these and other appendix items in a single appendix file:
  - Project evaluation chart (required), indicating for project objectives and activities the evaluation methods that will be used.
  - Short position descriptions (maximum one page each) for all key personnel – project director, co-director (if applicable), evaluator (required), and others.
  - Project timeline chart.
  - References cited in the proposal narrative (if applicable).
  - Other information documenting your proposed project.

Your application package should give external reviewers and the FIPSE staff a concrete understanding of the problem you are addressing and the solutions you propose, including a description of how you will

evaluate the results. Use clear, direct language and avoid jargon, clichés, and acronyms whenever possible. As noted above, explain how your project strategy differs from and improves upon current practice at your institution and elsewhere in the nation.

Proposals will be evaluated by three outside reviewers, identified each year from among faculty, administrators, and professionals across the country that have specialized knowledge on your topic. Additional experts may review proposals when technical questions arise. The FIPSE staff will read proposals and reviewers' evaluations of them. Project directors may be telephoned to clarify information about their projects. Staff may also contact others who know the applicant's work and plans or those who will be affected by the project.

## **ALIGNING YOUR PROPOSAL TO THE REVIEW SELECTION CRITERIA**

### **The Government Performance and Results Act (GPRA) and Your Application**

The Government Performance and Results Act (GPRA) of 1993 is a statute that requires all federal agencies to manage their activities with attention to the consequences of those activities. Each agency states what it intends to accomplish, identifies the resources required, and regularly reports its progress to the Congress. In doing so, GPRA is improving accountability for the expenditures of public funds, improving Congressional decision-making with more thorough and objective information on the effectiveness of federal programs, and promoting a new government focus on results, cost-effectiveness, service delivery, and customer satisfaction.

An applicant that receives a grant award will be required to submit annual progress reports and a final report as a condition of the award. The reports will document the extent to which project goals and objectives are met. The forms for these reports can be viewed at <http://www.ed.gov/programs/fipsecomp/performance.html>.

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## **PAPERWORK BURDEN STATEMENT**

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According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1894-0006. The time required to complete this information collection is estimated to average 20 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. 20202-4537.

**If you have comments or concerns regarding the status of your individual submission of this form, write directly to:** Training for Realtime Writers Program, U.S. Department of Education, 1990 K Street, N.W., Room 6142, Washington D.C. 20006-8544.

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## INSTRUCTIONS FOR STANDARD FORMS

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- Application for Federal Assistance (SF 424)
- Department of Education Supplemental Form for the SF 424
- Department of Education Budget Summary Form (ED 524)
- Disclosure of Lobbying Activities (SF-LLL)
- Survey Instructions on Ensuring Equal Opportunity for Applicants

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## APPLICATION CHECKLIST

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Before you submit the application package, please review the following list to ensure that you have attached all required materials/files in the prescribed format.

**Part 1:       Application for Federal Assistance – SF 424  
Department of Education Supplemental Information Form for  
SF 424**

Enter for Item 12: ED-GRANTS 070210-001.

NOTE: Please do not attach any narratives, supporting files, or application components to the Standard Form 424. Although this form accepts attachments, the Department of Education will review only materials/files attached to the attachment forms listed above.

**Part 2:       Department of Education Budget Summary Form – ED 524  
Sections A & B**

**Part 3:       Department of Education Abstract Form**

Upload a one-page Abstract as a .doc (not .DOCX), .rtf or .PDF file.

**Project Narrative Attachment Form**

Please note that the Project Narrative must not exceed 15 double-spaced pages. However, this does not include the Abstract, the Table of Contents, the Budget Narrative, or Other Attachments.

**Budget Narrative Attachment Form**

The Budget Narrative is not included in the 15-page Project Narrative limit.

**Other Attachments**

Other Attachments include documents like:

- Project evaluation chart
- Key personnel one-page resumes
- Short position descriptions
- Project timeline chart
- References cited in the Project Narrative (if applicable)

**Other Attachments must be submitted in one of the following file types: .doc, .rtf, or .PDF format. Applicants should not upload Word 2007 .DOCX files. All "Other Attachments" must be uploaded as a single merged file.**

**Part 4:       Assurances, Certifications, and Survey Forms**

- **GEPA Section 427**
- **Assurances – Non-Construction Programs (SF 424B)**
- **Certification Regarding Lobbying (ED 80-0013)**
- **Survey of Ensuring Equal Opportunity for Applicants**
- **Disclosure of Lobbying Activities (SF-LLL)**

**INSTRUCTIONS FOR THE SF-424**

This is a standard form required for use as a cover sheet for submission of pre-applications 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 fields on the form are identified with an asterisk (\*) and are also specified as "Required" in the instructions below. In addition to these instructions, applicants must consult agency instructions to determine other specific requirements.

Item	Entry:	Item:	Entry:
1.	<b>Type of Submission:</b> (Required) Select one type of submission in accordance with agency instructions. <ul style="list-style-type: none"> <li>• Pre-application</li> <li>• Application</li> <li>• Changed/Corrected Application – Check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this form to submit changes after the closing date.</li> </ul>	10.	<b>Name Of Federal Agency:</b> (Required) Enter the name of the federal agency from which assistance is being requested with this application.
		11.	<b>Catalog Of Federal Domestic Assistance Number/Title:</b> Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.
2.	<b>Type of Application:</b> (Required) Select one type of application in accordance with agency instructions. <ul style="list-style-type: none"> <li>• New – An application that is being submitted to an agency for the first time.</li> <li>• Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals.</li> <li>• Revision - Any change in the federal government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided.</li> </ul> <p>A. Increase Award                      D. Decrease Duration  B. Decrease Award                      E. Other (specify)  C. Increase Duration</p>	12.	<b>Funding Opportunity Number/Title:</b> (Required) Enter the Funding Opportunity Number (FON) and title of the opportunity under which assistance is requested, as found in the program announcement. The FON can also be found at <a href="http://www.grants.gov/applicants/find_grant_opportunities.jsp">http://www.grants.gov/applicants/find_grant_opportunities.jsp</a> .
		13.	<b>Competition Identification Number/Title:</b> Enter the competition identification number and title of the competition under which assistance is requested, if applicable.
		14.	<b>Areas Affected By Project:</b> This data element is intended for use only by programs for which the area(s) affected are likely to be different than the place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Add attachment to enter additional areas, if needed.
3.	<b>Date Received:</b> Leave this field blank. This date will be assigned by the Federal agency.	15.	<b>Descriptive Title of Applicant's Project:</b> (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For pre-applications, attach a summary description of the project.
4.	<b>Applicant Identifier:</b> Enter the entity identifier assigned by the Federal agency, if any, or the applicant's control number if applicable.		
5a.	<b>Federal Entity Identifier:</b> Enter the number assigned to your organization by the federal agency, if any.	16.	<b>Congressional Districts Of:</b> 16a. (Required) Enter the applicant's congressional district. 16b. Enter all district(s) affected by the program or project. Enter in the format: 2 characters state abbreviation – 3 characters district number, e.g., CA-005 for California 5 <sup>th</sup> district, CA-012 for California 12 district, NC-103 for North Carolina's 103 district. 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. This optional data element is intended for use only by programs for which the area(s) affected are likely to be different than place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Attach an additional list of program/project congressional districts, if needed.
5b.	<b>Federal Award Identifier:</b> For new applications, enter NA. For a continuation or revision to an existing award, enter the previously assigned federal award identifier number. If a changed/corrected application, enter the federal identifier in accordance with agency instructions.		
6.	<b>Date Received by State:</b> Leave this field blank. This date will be assigned by the state, if applicable.		
7.	<b>State Application Identifier:</b> Leave this field blank. This identifier will be assigned by the state, if applicable.		
8.	<b>Applicant Information:</b> Enter the following in accordance with agency instructions:		
	<b>a. Legal Name:</b> (Required) Enter the legal name of applicant that will undertake the assistance activity. This is the organization that has registered with the Central Contractor Registry (CCR). Information on registering with CCR may be obtained by visiting <a href="http://www.Grants.gov">www.Grants.gov</a> .	17.	<b>Proposed Project Start and End Dates:</b> (Required) Enter the proposed start date and end date of the project.
	<b>b. Employer/Taxpayer Number (EIN/TIN):</b> (Required) Enter the employer or taxpayer identification number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.	18.	<b>Estimated Funding:</b> (Required) Enter the amount requested, or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.
	<b>c. Organizational DUNS:</b> (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting <a href="http://www.Grants.gov">www.Grants.gov</a> .	19.	<b>Is Application Subject to Review by State Under Executive Order 12372 Process?</b> (Required) 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.																								
	d. <b>Address:</b> Enter address: Street 1 (Required); city (Required); County/Parish, State (Required if country is US), Province, Country (Required), 9-digit zip/postal code (Required if country US).	20.	<b>Is the Applicant Delinquent on any Federal Debt?</b> (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of federal debt include; but, may not be limited to: delinquent audit disallowances, loans and taxes. If yes, include an explanation in an attachment.																								
	e. <b>Organizational Unit:</b> Enter the name of the primary organizational unit, department or division that will undertake the assistance activity.	21.	<b>Authorized Representative:</b> To be signed and dated by the authorized representative of the applicant organization. Enter the first and last name (Required); prefix, middle name, suffix. Enter title, telephone number, email (Required); and fax number. 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.)																								
	f. <b>Name and contact information of person to be contacted on matters involving this application:</b> Enter the first and last name (Required); prefix, middle name, suffix, title. Enter organizational affiliation if affiliated with an organization other than that in 7.a. Telephone number and email (Required); fax number.																										
9.	Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.																										
	<table border="0"> <tr> <td>A. State Government</td> <td>M. Nonprofit</td> </tr> <tr> <td>B. County Government</td> <td>N. Private Institution of Higher Education</td> </tr> <tr> <td>C. City or Township Government</td> <td>O. Individual</td> </tr> <tr> <td>D. Special District Government</td> <td>P. For-Profit Organization (Other than Small Business)</td> </tr> <tr> <td>E. Regional Organization</td> <td>Q. Small Business</td> </tr> <tr> <td>F. U.S. Territory or Possession</td> <td>R. Hispanic-serving Institution</td> </tr> <tr> <td>G. Independent School District</td> <td>S. Historically Black Colleges and Universities (HBCUs)</td> </tr> <tr> <td>H. Public/State Controlled Institution of Higher Education</td> <td>T. Tribally Controlled Colleges and Universities (TCCUs)</td> </tr> <tr> <td>I. Indian/Native American Tribal Government (Federally Recognized)</td> <td>U. Alaska Native and Native Hawaiian Serving Institutions</td> </tr> <tr> <td>J. Indian/Native American Tribal Government (Other than Federally Recognized)</td> <td>V. Non-US Entity</td> </tr> <tr> <td>K. Indian/Native American Tribally Designated Organization</td> <td>W. Other (specify)</td> </tr> <tr> <td>L. Public/Indian Housing Authority</td> <td></td> </tr> </table>	A. State Government	M. Nonprofit	B. County Government	N. Private Institution of Higher Education	C. City or Township Government	O. Individual	D. Special District Government	P. For-Profit Organization (Other than Small Business)	E. Regional Organization	Q. Small Business	F. U.S. Territory or Possession	R. Hispanic-serving Institution	G. Independent School District	S. Historically Black Colleges and Universities (HBCUs)	H. Public/State Controlled Institution of Higher Education	T. Tribally Controlled Colleges and Universities (TCCUs)	I. Indian/Native American Tribal Government (Federally Recognized)	U. Alaska Native and Native Hawaiian Serving Institutions	J. Indian/Native American Tribal Government (Other than Federally Recognized)	V. Non-US Entity	K. Indian/Native American Tribally Designated Organization	W. Other (specify)	L. Public/Indian Housing Authority			
A. State Government	M. Nonprofit																										
B. County Government	N. Private Institution of Higher Education																										
C. City or Township Government	O. Individual																										
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J. Indian/Native American Tribal Government (Other than Federally Recognized)	V. Non-US Entity																										
K. Indian/Native American Tribally Designated Organization	W. Other (specify)																										
L. Public/Indian Housing Authority																											

# 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.

## 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 DEPARTMENT OF EDUCATION 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.”)

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

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

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

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

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

Control Center, U.S. Department of Education, Potomac Center Plaza, 550 12<sup>th</sup> Street, S.W. Room 7076, Washington, D.C. 20202-4260.

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

## Definitions:

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

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

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

## PROTECTION OF HUMAN SUBJECTS IN RESEARCH

### I. Definitions and Exemptions

#### A. Definitions.

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

#### —Research

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

#### —Human Subject

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

#### B. Exemptions.

Research activities in which the **only** involvement of human subjects will be in one or more of the following six categories of **exemptions** are

not covered by the regulations:

- (1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.
- (2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. ***If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.*** [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]
- (3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.
- (4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.
- (5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.
- (6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

## **II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives**

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

### **A. Exempt Research Narrative.**

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

### **B. Nonexempt Research Narrative.**

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

- (1) **Human Subjects Involvement and Characteristics:** Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable
- (2) **Sources of Materials:** Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

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

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

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

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

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

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

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



<b>Application for Federal Assistance SF-424</b>		Version 02
* 1. Type of Submission	* 2. Type of Application: * If Revision, select appropriate letter(s):	
<input type="checkbox"/> Preapplication	<input type="checkbox"/> New	
<input type="checkbox"/> Application	<input type="checkbox"/> Continuation	* Other (Specify)
<input type="checkbox"/> Changed/Corrected Application	<input type="checkbox"/> Revision	
* 3. Date Received:	4. Applicant Identifier:	
Completed upon submission		
5a. Federal Entity Identifier:	* 5b. Federal Award Identifier:	
<b>State Use Only:</b>		
6. Date Received by State:	7. State Application Identifier:	
<b>8. APPLICANT INFORMATION:</b>		
* a. Legal Name:		
* b. Employer/Taxpayer Identification Number (EIN/TIN):		* c. Organizational DUNS:
<b>d. Address:</b>		
* Street1:		
Street2:		
* City:		
County:		
State:		
Province:		
* Country:		
* Zip / Postal Code:		
<b>e. Organizational Unit:</b>		
Department Name:		Division Name:
<b>f. Name and contact information of person to be contacted on matters involving this application:</b>		
Prefix:		* First Name:
Middle Name:		

\* Last Name:

Suffix:

Title:

Organizational Affiliation:

\* Telephone  
Number:

Fax Number:

\* Email:

**Application for Federal Assistance SF-424**

Version 02

**9. Type of Applicant 1: Select Applicant Type:**

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

\* Other (specify):

**10. Name of Federal Agency:**

U.S. Department of Education

**11. Catalog of Federal Domestic Assistance Number:**

.

CFDA Title:

**\* 12. Funding Opportunity Number:**

Title:

**13. Competition Identification Number:**

Title:

**14. Areas Affected by Project (Cities, Counties, States, etc.):**

**\* 15. Descriptive Title of Applicant's Project:**

Attach supporting documents as specified in agency instructions.

**Attachment:**

Title :

File :

**Attachment:**

Title :

File :

**Attachment:**

Title :

File :

**Application for Federal Assistance SF-424**

Version 02

**16. Congressional Districts Of:**

\* a. Applicant:

\* b. Program/Project:

Attach an additional list of Program/Project Congressional Districts if needed.

**Attachment:**

Title :

File :

**17. Proposed Project:**

\* a. Start Date:

\* b. End Date:

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

a. Federal	\$
b. Applicant	\$
c. State	\$
d. Local	\$
e. Other	\$
f. Program Income	\$
g. TOTAL	\$ 0

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

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

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

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

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

Yes  No

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

**\*\* I AGREE**

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

**Authorized Representative:**

Prefix: \* First Name:

Middle Name:

\* Last Name:

Suffix:

Title:

\* Telephone Number: Fax Number:

\* Email:

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

**Application for Federal Assistance SF-424**

Version 02

**\* Applicant Federal Debt Delinquency Explanation**

The following field should contain an explanation if the Applicant organization is delinquent on any Federal Debt. Maximum number of characters that can be entered is 4,000. Try and avoid extra spaces and carriage returns to maximize the availability of space.



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

OMB Control Number: 1894-0008

Expiration Date: 02/28/2011

Name of Institution/Organization:

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

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

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

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

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

(1) Do you have an Indirect Cost Rate Agreement approved by the Federal government?  Yes  No

(2) If yes, please provide the following information:

Period Covered by the Indirect Cost Rate Agreement: From: \_\_\_/\_\_\_/\_\_\_ To: \_\_\_/\_\_\_/\_\_\_ (mm/dd/yyyy)

Approving Federal agency:  ED  Other (please specify): \_\_\_\_\_ The Indirect Cost Rate is \_\_\_\_\_%

(3) For Restricted Rate Programs (check one) -- Are you using a restricted indirect cost rate that:

Is included in your approved Indirect Cost Rate Agreement? or,  Complies with 34 CFR 76.564(c)(2)? The Restricted Indirect Cost Rate is \_\_\_\_\_%



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

OMB Control Number: 1894-0008

Expiration Date: 02/28/2011

Name of Institution/Organization:

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

**SECTION B - BUDGET SUMMARY**  
**NON-FEDERAL FUNDS**

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

## ASSURANCES - NON-CONSTRUCTION PROGRAMS

Standard Form 424B (Rev.7-97)

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

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

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

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

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. "4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. "1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. '794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. "276a to 276a-7), the Copeland Act (40 U.S.C. '276c and 18 U.S.C. "874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. " 327-333), regarding labor standards for federally assisted construction sub-agreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. "1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. "7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. "1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance

of 1975, as amended (42 U.S.C. " 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) " 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. " 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. ' 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. "1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. '470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. "469a-1 et seq.).

14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. "2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. "4801 et seq.) which prohibits the use of lead- based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

**Signature of Authorized Certifying Representative:**

**Name of Authorized Certifying Representative:**

**Title:**

**Date Submitted:**



## CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements.

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

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

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

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

Statement for Loan Guarantees and Loan Insurance.

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

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

APPLICANT'S ORGANIZATION

PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE

Prefix:                      First Name:                                      Middle Name:  
Last Name:    Suffix:  
Title:

Signature:    Date:  
\_\_\_\_\_    07/02/2010

ED 80-0013

03/04

## Section 427 of GEPA

### NOTICE TO ALL APPLICANTS

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

#### **To Whom Does This Provision Apply?**

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

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

#### **What Does This Provision Require?**

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

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

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

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

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

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

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

### Estimated Burden Statement for GEPA Requirements

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

Applicants should use this section to address the GEPA provision.

**SUPPLEMENTAL INFORMATION  
REQUIRED FOR  
DEPARTMENT OF EDUCATION GRANTS**

**1. Project Director:**

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

Address:

\* Street1:

Street2:

\* City:

County:

\* State:                      \* Zip / Postal Code:    \* Country: USA

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

Email Address:

**2. Applicant Experience**

Novice Applicant                       Yes                       No                       Not applicable

**3. Human Subjects Research**

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

Yes                       No

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

Yes    Provide Exemption(s) #:

No    Provide Assurance #, if available:

**Please attach an explanation Narrative:**

**Attachment:**

Title :

File :

# **Project Narrative**

## **Abstract**

# **Project Narrative**

## **Project Narrative**

# **Project Narrative**

## **Other Attachments - Appendices**

# Budget Narrative

Budget Narrative