U.S. DEPARTMENT OF EDUCATION
OFFICE OF SPECIAL EDUCATION & REHABILITATIVE SERVICES
OFFICE OF SPECIAL EDUCATION PROGRAMS
WASHINGTON, D.C. 20202

FISCAL YEAR 2013

APPLICATION FOR NEW GRANTS UNDER THE *INDIVIDUALS WITH DISABILITIES EDUCATION ACT* (*IDEA*)

TECHNICAL ASSISTANCE AND DISSEMINATION TO IMPROVE SERVICES AND RESULTS FOR CHILDREN WITH DISABILITIES PROGRAM (CFDA 84.326)

APPLICATIONS FOR NEW AWARDS; CENTER ON DISPUTE RESOLUTION (CFDA 84.326X)

DATED MATERIAL: OPEN IMMEDIATELY

CLOSING DATE: JUNE 3, 2013 (4:30.00 PM WASHINGTON, DC TIME)

FORM APPROVED — OMB NO. 1820-0028, EXP. DATE: 07/31/2013

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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 1820-0028. The time required to complete this information collection is estimated to average 45 hours and 40 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:

U.S. Department of Education
Washington, DC 20202-4651

If you have comments or concerns regarding the status of your individual submission of this form, write directly to:

Office of Special Education Programs
U.S. Department of Education
400 Maryland Ave. SW, PCP 4106
Washington, DC 20202-2600

APPLICANT LETTER

Dear Applicant:

This application packet contains information and the required forms for you to use in submitting a new application for funding under one program authorized by the Individuals with Disabilities Education Act (IDEA). This packet covers one competition under the Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities (CFDA 84.326) program—Applications for New Awards; Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities—Center on Dispute Resolution (CFDA No. 84.326X).

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

Please note the following:

- GRANTS.GOV APPLICATION SUBMISSION.
  Applications for grants under this competition **must** be submitted electronically using the Grants.gov Apply site (www.Grants.gov). Please read carefully the **Grants.gov Submission Procedures and Tips for Applicants** document that we have included on page A-26-28, which includes helpful tips about submitting electronically using the Grants.gov Apply site. We strongly encourage you to familiarize yourself with Grants.gov and strongly recommend that you register *and* submit early. **Also, applicants are required to upload their attachments in PDF format only.** Please be aware that applications submitted to Grants.gov for the Department of Education will now be posted using Adobe forms. Information on computer and operating system compatibility with Adobe and links to download the latest version is available on Grants.gov. Please note that you must follow the Application Procedures as described in the Federal Register notice announcing this grant competition. Information (including dates and times) about how to submit your application electronically can also be found in section D-1 of this application package, Application Transmittal Instructions and Requirements for Intergovernmental Review. Additional instructions for sending applications electronically are provided on page E-4, Application Forms and Instructions for Grants.gov Applications.

- MAXIMUM AWARD AMOUNT.
  In addition to providing detailed budget information for the total grant period requested, the competitions included in this package have maximum award amounts. Please refer to the specific information for the priority/competition to which you are submitting an application (i.e., Section B of this package). Please be advised that for the priority in this package, the maximum award amount covers all project costs including indirect costs.

- STRICT PAGE LIMITS AND LINE SPACING OF APPLICATION NARRATIVE.
  The competitions included in this package limit the Part III Application Narrative to a specified number of double-spaced pages. This page limitation and double-line spacing requirement applies to all material presented in the application narrative. (Please refer to the specific requirements on page limits for the priority/competition to which you are submitting an application, Section B of this package). The Department will reject, and will NOT consider an application that does not adhere to the narrative's double-line spacing and page limit requirements for the competition.

- FORMAT FOR APPLICATIONS.
  Additional information regarding formatting applications has been included on Pages C-3 and C-4 of the "General Information on Completing an Application" section of this package. Please note that charts, tables, figures, graphs, and logic models **can** be single spaced and placed in an Appendix A. Reviewers will be instructed to review the content of Appendix A as they do the application narrative but will not be required to review any other appendices. Appendix A is to be used only for charts, tables, figures, graphs, and logic models that provide information directly relating to the application requirements for the narrative—it should not be used for supplementary information.

- PROTECTION OF HUMAN SUBJECTS IN RESEARCH.
  The discretionary grant Application Form SF 424 requires applicants to indicate whether they plan to conduct research involving human subjects at any time during the proposed project period. The Protection of Human Subjects in Research Attachment is an integral part of the SF 424 form. It includes information that applicants need to complete the protection of human subjects item and, as appropriate, to provide additional information to the Department regarding human subjects research projects. Additional information on completing the protection of human subjects item is also available and can be accessed on the INTERNET at:

  www.ed.gov/about/offices/list/ocfo/gcsindex.html

  www.ed.gov/about/offices/list/ocfo/humansub.html

- RESPONSE TO GPRA.
  As required by the Government Performance and Results Act (GPRA) of 1993 OSEP has developed a strategic plan for measuring GPRA performance. The program included in this announcement is authorized under Part D - National Activities to Improve Education of Children with Disabilities of the Individuals with Disabilities Education Act. The Office of Special Education Programs (OSEP) will collect information to assess progress and performance. See Performance Measures included in the Priority Description section of this application package. Applicants are encouraged to consider this information as applications are prepared.

- COPIES OF THE APPLICATION.
  Unless you qualify for an exception in accordance with the instructions found in the Notice inviting applications, you must submit your application electronically. Therefore, you do not need to submit paper copies of the application. If you are granted an exception, current Government-wide policy requires that an original and two paper copies need to be submitted. Please note: If an application is recommended for funding and a grant award is issued, we will contact the applicant to request an electronic copy of the application in MS Word or a PDF file. The Department is moving toward an electronic grant filing system and an electronic copy of all applications that are being funded will facilitate this effort.

The Office of Special Education Programs (OSEP) will conduct an informational teleconference to explain the programmatic, application, and administrative requirements. There will be an opportunity for interested applicants to ask questions about the requirements and the application submission process. The teleconference will be one hour.

The informational teleconference will be April 25, 2013 at 3:30 p.m. EDT. The Dial-In number is 1-877-952-6555 and the Passcode is 5972633. Please contact Tina Diamond, 202-245-6674 or

Tina.Diamond@ed.gov no later than 12:00 p.m. EDT on the day of the teleconference to request a copy of the materials that will be presented during the call.

OSEP also provides information on developing performance measures and logic models at http://www.tadnet.org/pages/589 to assist you in preparing a quality application. For information about other U.S. Department of Education grant and contract opportunities, we encourage you to use the Department's grant information web page which can be accessed on the INTERNET at:

www.ed.gov/about/offices/list/ocfo/grants/grants.html

We appreciate your efforts to improve the provision of services for individuals with disabilities.

Sincerely,

Lawrence J. Wexler, Ed.D.
Director
Research to Practice Division
Office of Special Education Programs

NOTICE INVITING APPLICANTS

FEDERAL REGISTER NOTICE

4000-01-U

DEPARTMENT OF EDUCATION

Applications for New Awards; Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities—Center on Dispute Resolution

AGENCY: Office of Special Education and Rehabilitative Services, Department of Education.

ACTION: Notice.

Overview Information:

Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities—Center on Dispute Resolution

Notice inviting applications for new awards for fiscal year (FY) 2013.

Catalog of Federal Domestic Assistance (CFDA) Number: 84.326X.

Dates:

Applications Available: **April 18, 2013.**

Deadline for Transmittal of Applications: **June 3, 2013.**

Deadline for Intergovernmental Review: **August 1, 2013.**

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program:

The purpose of the Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities program is to promote academic achievement and to improve results for children with disabilities by providing technical assistance, supporting model demonstration projects, disseminating useful information, and implementing activities that are supported by scientifically based research.

Priority:

In accordance with 34 CFR 75.105(b)(2)(v), this priority is from allowable activities specified or otherwise authorized in the statute (see sections 663 and 681(d) of the Individuals with Disabilities Education Act (IDEA), 20 U.S.C. 1463 and 1481(d)).

Absolute Priority:

For FY 2013 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.

This priority is:

Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities—Center on Dispute Resolution.

Background:

IDEA includes procedural safeguards that are designed to protect the rights of children with disabilities and their parents and to provide parents with mechanisms for resolving, at the earliest point in time, disputes with those who provide services to children with disabilities (State educational agencies (SEAs), local educational agencies (LEAs), schools, Part C State lead agencies, and early intervention service (EIS) providers). The procedural safeguards include the opportunity to seek a timely resolution of disputes about any matter relating to the provision of a free appropriate public education to an eligible child or of appropriate early intervention services to infants and toddlers with disabilities. Thus, IDEA encourages constructive relationships

between parents of children with disabilities and those who provide services to children with disabilities by facilitating open communication between the parents and these entities and encouraging early resolution of disputes so that disagreements do not escalate and become adversarial. IDEA's dispute resolution procedures include provisions for State complaints, mediation, due process complaints and due process hearings, and resolution sessions, as described below.

State Complaints. IDEA's State complaint procedures permit parents and other interested individuals or organizations to file a complaint with the SEA or Part C State lead agency to seek resolution of any alleged violations of IDEA. The goal of the State complaint procedures is to resolve disputes while avoiding costly or time consuming due process hearings (71 FR 46600 - Part B regulations; 76 FR 60214-60216 – Part C regulations). The State complaint procedures provide an important means of ensuring that the educational or early intervention needs of children with disabilities are met (71 FR 46601; 76 FR 60214-60216).

Mediation. In response to increasing numbers of due process hearing requests, Congress amended IDEA in 1997 to require SEAs and Part C State lead agencies to make mediation available, at a minimum, whenever a request for a due process hearing is made. In 2004, Congress amended section 615(e) of IDEA to allow parties to use mediation to resolve disputes involving any matter under IDEA, not just those matters that are the subject of a due process complaint. (This amendment also applies to Part C through section 639(a)(8) of IDEA). In mediation, a neutral third party facilitates the resolution of disputes. Mediation is more likely than due process hearings to foster positive relationships between families and educators (U.S. Government Accountability Office, 2003).

Due Process Hearings. In due process hearings, an impartial, knowledgeable decision-maker resolves disputes. While due process hearings are an important protection, they can be costly, time consuming, and contentious, and they may damage relationships between the parties involved in the dispute.

Resolution Session. The 2004 amendments to IDEA added a requirement for a resolution session prior to a due process hearing. The resolution session requirement applies to all IDEA Part B due process hearing requests and to those IDEA Part C due process hearing requests filed in a State that has elected to adopt the Part B-type due process hearing procedures in 34 CFR 303.440 through 303.449. Under section 615(f)(1)(B) of IDEA, the LEA (or in the case of

IDEA Part C, under 34 CFR 303.442, the State lead agency) must convene a meeting with the parents and relevant members of the child's individualized education program (IEP) or individualized family service plan (IFSP) team who have specific knowledge of the facts identified in the complaint. This provides the parents and the agency with an opportunity to resolve the complaint and avoid a due process hearing.

Early Resolution Practices. In addition to these methods of dispute resolution specifically required under IDEA, there are a variety of informal or "early resolution" practices that can be used to resolve disputes at the school or district level and avoid time-consuming and costly litigation (U.S. Government Accountability Office, 2003). In the preamble to the 2006 final regulations implementing Part B of IDEA, the Department encouraged States to explore the use of early resolution practices to facilitate the timely resolution of disputes and to preserve the relationships between families and educators (71 FR 46540, 46604).

Over the past seven years, data from State Performance Plans (SPPs) and Annual Performance Reports (APRs) submitted to the Office of Special Education Programs (OSEP) show a steady decline in the number of IDEA Part B due process hearings held across the country, down 68 percent since FY 2004. At the same time, SEAs and Part C State lead agencies are reporting an increase in the use of informal early resolution practices that have been shown to reduce the need for dispute resolution and facilitate early resolution of disputes. Examples of early resolution practices include training in conflict resolution, which is designed to equip individuals with skills to better communicate and negotiate their positions and interests, (Henderson, 2008), and IEP and IFSP facilitation.

Since 1998, OSEP has funded a technical assistance (TA) center to support States' implementation of timely and effective dispute resolution processes. (For further information on the work of the current center, please see the following Web site: www.directionservice.org/cadre.) The current center's funding will end in FY 2013.

The Department believes it is important to continue to fund a TA center that provides SEAs and Part C State lead agencies with resources that can help them effectively implement a range of dispute resolution options to ensure that the trend toward early, less costly, and less adversarial dispute resolution continues. SEAs and Part C State lead agencies also need information on how to collect and use data from dispute resolution systems to improve compliance with IDEA requirements. In addition, continued funding of a TA center on dispute resolution that works

directly with OSEP-funded parent technical assistance centers (PTACs) will help ensure that parents and families have access to information on how to resolve their disagreements in positive and constructive ways.

Priority:

The purpose of this priority is to fund a cooperative agreement to support the establishment and operation of a Center on Dispute Resolution designed to produce, at a minimum, the following outcomes:

1) an increased capacity of SEAs and Part C State lead agencies to support local implementation of effective early resolution practices to resolve disputes and thereby decrease requests for State complaints and due process hearings;
2) an increased body of knowledge on strategies for collecting, reporting, and using high-quality data on dispute resolution;
3) an increased body of knowledge on exemplary practices for parents and families to resolve disputes in positive and constructive ways;
4) an improved ability of SEAs and Part C State lead agencies to implement a range of dispute resolution options, including methods of dispute resolution required under IDEA and early resolution practices;
5) an improved capacity of OSEP-funded PTACs to provide technical assistance to OSEP-funded parent centers on the range of effective dispute resolution options; and
6) an analysis of current information on State and national trends and other data about dispute resolution to determine the extent to which SEAs and Part C State lead agencies have:
    a) met the required timelines when resolving State complaints and issuing due process hearing decisions;
    b) used resolution meetings and mediation to successfully resolve disputes between parents and LEAs or EIS providers; and
    c) implemented effective methods of early dispute resolution.

In addition to these programmatic requirements, to be considered for funding under this absolute priority, applicants must meet the application and administrative requirements contained in this priority. OSEP encourages innovative approaches to meet these requirements, which are as follows:

(a) Demonstrate, in the narrative section of the application under "Significance of the Project," how the proposed project will—

(1) Address the training and information needs of SEAs, Part C State lead agencies, and parents and families to resolve disputes arising from programs under Part B and Part C of IDEA. To address this requirement the applicant must—

(i) Present applicable national and State data demonstrating the training and information needs of SEAs, Part C State lead agencies, and parents and families to resolve disputes*;*

(ii) Demonstrate knowledge of current educational issues and policy initiatives in dispute resolution (e.g., the implementation and effectiveness of IEP/IFSP facilitation); and

(iii) Present information about the implementation and effectiveness of current dispute resolution systems in SEAs and Part C State lead agencies.

(2) Result in early resolution of disputes and improved compliance with IDEA dispute resolution requirements.

(b) Demonstrate, in the narrative section of the application under "Quality of the Project Services," how the proposed project will—

(1) Ensure equal access and treatment for members of groups (e.g., race, color, national origin, language, linguistic background, gender, age, or disability) that traditionally have not engaged in, or have been underrepresented in accessing, dispute resolution options. To meet this requirement, the applicant must describe the process that will be used to—

(i) Identify the needs of the intended recipients (i.e., SEAs, Part C State lead agencies, and PTACs) for technical assistance and information; and

(ii) Ensure that services and products meet the needs of the intended recipients (e.g., creating materials in formats and languages accessible to the stakeholders served by the intended recipients).

(2) Meet its goals, objectives, and outcomes. To meet this requirement, the applicant must provide—

(i) Measurable intended project outcomes; and

(ii) The theory of action (i.e., a logic model) on how the proposed project will achieve the project outcomes.

(3) Use a conceptual framework to guide the development of project plans and activities, describing any underlying concepts, assumptions, expectations, beliefs, or theories, as well as the presumed relationship or linkages among these variables, and any empirical support for this framework;

(4) Be based on current research and evidence-based practices. To meet this requirement, the applicant must describe—

(i) The current research on the effectiveness of dispute resolution options and practices*;*

(ii) The current research about adult learning principles and how this information will be used to provide training and technical assistance to the intended recipients on implementing effective dispute resolution systems; and

(iii) The process the proposed project will use to incorporate current research and evidence-based practices in the development and delivery of its products and services.

(5) Develop products and provide services that are of sufficient quality, intensity, and duration to achieve the outcomes of the proposed project. To address this requirement, the applicant must describe—

(i) Its proposed activities to identify and expand the knowledge base in dispute resolution and early resolution practices;

(ii) Its proposed approach to universal, general TA,[1] including the intended recipients of the products and services under this approach;

(iii) Its proposed approach to targeted, specialized TA,[2] including the intended recipients of the products and services under this approach and its proposed approach to measure the readiness of potential TA recipients to work with the project, including their current infrastructure, available resources, and ability to build capacity at the local level; and

[1] "Universal, general TA" means TA and information provided to independent users through their own initiative, resulting in minimal interaction with TA center staff and including one-time, invited or offered conference presentations by TA center staff. This category of TA also includes information or products, such as newsletters, guidebooks, or research syntheses, downloaded from the TA center's Web site by independent users. Brief communications by TA center staff with recipients, either by telephone or email, are also considered universal, general TA.

[2] "Targeted, specialized TA" means TA service based on needs common to multiple recipients and not extensively individualized. A relationship is established between the TA recipient and one or more TA center staff. This category of TA includes one-time, labor-intensive events, such as facilitating strategic planning or hosting regional or national conferences. It can also include episodic, less labor-intensive events that extend over a period of time, such as facilitating a series of conference calls on single or multiple topics that are designed around the needs of the recipients. Facilitating communities of practice can also be considered targeted, specialized TA.

(iv) Its proposed approach to intensive, sustained TA,[3] including the intended recipients of the products and services under this approach. To address this requirement, the applicant must describe—

(A) Its proposed plan for assisting SEAs, Part C State lead agencies, and PTACs to build training systems that include professional development based on evidence-based adult learning principles and coaching; and

(B) Its proposed plan for supporting SEAs, Part C State lead agencies, and PTACs in their work with hearing officers, IEP/IFSP Team facilitators, or other dispute resolution personnel, as well as families and personnel at each level of the education or early intervention system (e.g., regional TA providers, school districts, schools, service coordinators, and related service and EIS providers and personnel), to ensure that there is effective communication among these groups and that there are systems in place to support the use of a range of dispute resolution procedures and practices.

(6) Develop products and implement services to maximize the efficiency of an SEA's or Part C State lead agency's dispute resolution system. To address this requirement, the applicant must describe—

(i) How the proposed project will use technology to achieve the intended outcomes;

(ii) With whom the proposed project will collaborate and the intended outcomes of this collaboration; and

(iii) How the proposed project will leverage non-project resources to achieve the proposed project outcomes.

(c) Demonstrate, in the narrative section of the application under "Quality of the Evaluation Plan," how—

(1) The proposed project will collect and analyze data related to specific and measurable goals, objectives, and outcomes of the project. To address this requirement, the applicant must describe—

(i) Proposed evaluation methodologies, including instruments, data collection methods, and possible analyses;

(ii) Proposed standards or targets for determining effectiveness; and

(iii) Proposed methods for collecting data on implementation supports and fidelity of implementation.

[3] "Intensive, sustained TA" means TA services often provided onsite and requiring a stable, ongoing relationship between the TA center staff and the TA recipient. TA services are defined as negotiated series of activities designed to reach a valued outcome. This category of TA should result in changes to policy, program, practice, or operations that support increased recipient capacity or improved outcomes at one or more systems levels.

(2) The proposed project will use the evaluation results to examine the effectiveness of the project's implementation strategies and the progress toward achieving intended outcomes; and

(3) The methods of evaluation will produce quantitative and qualitative data that demonstrate whether the project achieved the intended outcomes.

(d) Demonstrate, in the narrative section of the application under "Adequacy of Project Resources," how—

(1) The proposed project will encourage applications for employment from persons who are members of groups that have traditionally been underrepresented based on race, color, national origin, language/linguistic background, gender, age, or disability, as appropriate;

(2) The proposed key project personnel, consultants, and subcontractors have the qualifications and experience to carry out the proposed activities and achieve the project's intended outcomes;

(3) The applicant and any key partners have adequate resources to carry out the proposed activities; and

(4) The proposed costs are reasonable in relation to the anticipated results and benefits.

(e) Demonstrate, in the narrative section of the application under "Quality of the Management Plan," how—

(1) The proposed management plan will ensure that the project's intended outcomes will be achieved on time and within budget. To address this requirement, the applicant must describe—

(i) Clearly defined responsibilities for key project personnel, consultants, and subcontractors, as appropriate; and

(ii) Timelines and milestones for accomplishing the project tasks;

(2) Key project personnel and any consultants and subcontractors who will be allocated to the project and the appropriateness and adequacy of these time allocations to achieve the project's intended outcomes;

(3) The proposed management plan will ensure that the products and services provided are of high quality; and

(4) The proposed project will benefit from a diversity of perspectives, including families, EIS providers, educators, related service providers, TA providers, researchers, and policy makers, among others, in its development and operation.

(f) Meet the following program requirements—

(1) Include in Appendix A a logic model that depicts, at a minimum, the goals, activities, outputs, and outcomes of the proposed project. A logic model communicates how a project will achieve its outcomes and provides a framework for both the formative and summative evaluations of the project. Note: The following Web sites provide more information on logic models: www.researchutilization.org/matrix/logicmodel_resource3c.html and http://www.tadnet.org/pages/589;

(2) Include in Appendix A a visual representation of the conceptual framework, if a visual representation is developed;

(3) Include in Appendix A a person-loading chart and timelines, as appropriate, to illustrate the management plan described in the narrative;

(4) Include in the budget attendance at the following:

(i) A one and one-half day kick-off meeting to be held in Washington, DC, after receipt of the award, and an annual planning meeting held in Washington, DC, with the OSEP project officer and other relevant staff during each subsequent year of the project period.

Note: Within 30 days of receipt of the award, a post-award teleconference must be held between the OSEP project officer and the grantee's project director or other authorized representative;

(ii) A two and one-half day project directors' conference in Washington, DC, during each year of the project period;

(iii) Two, two-day trips annually to present at Department briefings, Department-sponsored conferences, and other meetings, as requested by OSEP; and

(iv) A one-day intensive review meeting that will be held during the last half of the second year of the project period.

(5) Include in the budget a line item for an annual set-aside of five percent of the grant amount to support emerging needs that are consistent with the proposed project's intended outcomes, as those needs are identified in consultation with OSEP.

Note: With approval from the OSEP project officer, the project must reallocate any remaining funds from this annual set-aside no later than the end of the third quarter of each budget period; and

(6) Maintain a Web site that meets government or industry-recognized standards for accessibility.

Fourth and Fifth Years of the Project:

In deciding whether to continue funding the project for the fourth and fifth years, the Secretary will consider the requirements of 34 CFR 75.253(a), as well as—

(a) The recommendation of a review team consisting of experts selected by the Secretary. This review will be conducted during a one-day intensive meeting in Washington, DC, that will be held during the last half of the second year of the project period;

(b) The timeliness and effectiveness with which all requirements of the negotiated cooperative agreement have been or are being met by the project; and

(c) The quality, relevance, and usefulness of the project's activities and products and the degree to which the project's activities and products are aligned with the project's objectives and likely to result in the project achieving its proposed outcomes.

References:

Henderson, K. (2008, May). Optional IDEA alternative dispute resolution. Project Forum at the National Association of State Directors of Special Education (NASDSE) and Consortium for Appropriate Dispute Resolution in Special Education (CADRE). Retrieved from: www.projectforum.org/docs/OptionalIDEAAlternativeDisputeResolution.pdf.

U.S. Government Accountability Office. (2003, September). Special education: Numbers of formal disputes are generally low and States are using mediation and other strategies to resolve conflicts. Publication No. GAO-03-897. Retrieved from: www.gao.gov/new.items/d03897.pdf.

Waiver of Proposed Rulemaking:

Under the Administrative Procedure Act (APA) (5 U.S.C. 553) the Department generally offers interested parties the opportunity to comment on proposed priorities and requirements. Section 681(d) of IDEA, however, makes the public comment requirements of the APA inapplicable to the priority in this notice.

Program Authority:

20 U.S.C. 1463 and 1481.

Applicable Regulations:

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

(b) The Education Department debarment and suspension regulations in 2 CFR part 3485.

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

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

II. Award Information

Type of Award:

Cooperative agreements.

Estimated Available Funds:

$650,000. Contingent upon the availability of funds and the quality of applications, we may make additional awards in FY 2014 from the list of unfunded applicants from this competition.

Maximum Award:

We will reject any application that proposes a budget exceeding $650,000 for a single budget period of 12 months. The Assistant Secretary for Special Education and Rehabilitative Services may change the maximum amount through a notice published in the Federal Register.

Estimated Number of Awards: 1.

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

Project Period:

Up to 36 months with an optional additional 24 months based on performance. Applications must include plans for both the 36-month award and the 24-month extension.

III. Eligibility Information

1. Eligible Applicants:

State educational agencies (SEAs); LEAs, including public charter schools that are considered LEAs under State law; IHEs; other public agencies; private nonprofit organizations; outlying areas; freely associated States; Indian tribes or tribal organizations; and for-profit organizations.

2. Cost Sharing or Matching:

This competition does not require cost sharing or matching.

3. Other:

General Requirements:

(a) The projects funded under this competition must make positive efforts to employ, and advance in employment, qualified individuals with disabilities (see section 606 of IDEA).

(b) The applicant and grant recipient funded under this competition must involve individuals with disabilities or parents of individuals with disabilities ages birth through 26 in planning, implementing, and evaluating the project (see section 682(a)(1)(A) of IDEA).

IV. Application and Submission Information

1. Address to Request Application Package:

Education Publications Center (ED Pubs), U.S. Department of Education, P.O. Box 22207, Alexandria, VA 22304. Telephone, toll free: 1-877-433-7827. FAX: (703) 605-6794. If you use a telecommunications device for the deaf (TDD) or a text telephone (TTY), call, toll free: 1-877-576-7734.

You can contact ED Pubs at its Web site, also: www.EDPubs.gov or at its e-mail address: edpubs@inet.ed.gov.

If you request an application package from ED Pubs, be sure to identify this competition as follows: CFDA number 84.326X.

Individuals with disabilities can obtain a copy of the application package in an accessible format (e.g., braille, large print, audiotape, or compact disc) by contacting the person or team listed under Accessible Format in section VIII of this notice.

2. Content and Form of Application Submission:

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

Page Limit:

The application narrative (Part III of the application) is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. You must limit Part III to the equivalent of no more than 70 pages, using the following standards:

• A “page” is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.

• Double space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, footnotes, quotations, references, and captions, as well as all text in charts, tables, figures, and graphs.

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

- Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial. An application submitted in any other font (including Times Roman or Arial Narrow) will not be accepted.

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

We will reject your application if you exceed the page limit; or if you apply other standards and exceed the equivalent of the page limit.

3. Submission Dates and Times:

Applications Available: **April 18, 2013.**

Deadline for Transmittal of Applications: **June 3, 2013.**

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

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

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

Deadline for Intergovernmental Review: **August 1, 2013**.

4. Intergovernmental Review:

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

5. Funding Restrictions:

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

6. Data Universal Numbering System Number, Taxpayer Identification Number, Central Contractor Registry, and System for Award Management:

To do business with the Department of Education, you must—

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

b. Register both your DUNS number and TIN with the Central Contractor Registry (CCR)—and, after July 24, 2012, with the System for Award Management (SAM), the Government's primary registrant database;

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

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

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

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

The CCR or SAM 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 registration annually. This may take three or more business days to complete. Information about SAM is available at SAM.gov.

In addition, if you are submitting your application via Grants.gov, you must

(1) be designated by your organization as an Authorized Organization Representative (AOR); and

(2) register yourself with Grants.gov as an AOR.

Details on these steps are outlined at the following Grants.gov Web page: www.grants.gov/applicants/get_registered.jsp.

7. Other Submission Requirements:

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

a. Electronic Submission of Applications.

Applications for grants under the Center on Dispute Resolution competition, CFDA number 84.326X, must be submitted electronically using the Governmentwide Grants.gov Apply site at www.Grants.gov. Through this site, you will be able to download a copy of the application package, complete it offline, and then upload and submit your application. You may not e-mail an electronic copy of a grant application to us.

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

You may access the electronic grant application for Center on Dispute Resolution at www.Grants.gov. You must search for the downloadable application package for this

competition by the CFDA number. Do not include the CFDA number's alpha suffix in your search (e.g., search for 84.326, not 84.326X).

Please note the following:

- When you enter the Grants.gov site, you will find information about submitting an application electronically through the site, as well as the hours of operation.
- Applications received by Grants.gov are date and time stamped. Your application must be fully uploaded and submitted and must be date and time stamped by the Grants.gov system no later than 4:30:00 p.m., Washington, DC time, on the application deadline date. Except as otherwise noted in this section, we will not accept your application if it is received—that is, date and time stamped by the Grants.gov system—after 4:30:00 p.m., Washington, DC time, on the application deadline date. We do not consider an application that does not comply with the deadline requirements. When we retrieve your application from Grants.gov, we will notify you if we are rejecting your application because it was date and time stamped by the Grants.gov system after 4:30:00 p.m., Washington, DC time, on the application deadline date.
- The amount of time it can take to upload an application will vary depending on a variety of factors, including the size of the application and the speed of your Internet connection. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the submission process through Grants.gov.
- You should review and follow the Education Submission Procedures for submitting an application through Grants.gov that are included in the application package for this competition to ensure that you submit your application in a timely manner to the Grants.gov system. You can also find the Education Submission Procedures pertaining to Grants.gov under News and Events on the Department's G5 system home page at www.G5.gov.
- You will not receive additional point value because you submit your application in electronic format, nor will we penalize you if you qualify for an exception to the electronic submission requirement, as described elsewhere in this section, and submit your application in paper format.
- You must submit all documents electronically, including all information you typically provide on the following forms: the Application for Federal Assistance (SF 424), the Department of

Education Supplemental Information for SF 424, Budget Information—Non-Construction Programs (ED 524), and all necessary assurances and certifications.

- You must upload any narrative sections and all other attachments to your application as files in a PDF (Portable Document) read-only, non-modifiable format. Do not upload an interactive or fillable PDF file. If you upload a file type other than a read-only, non-modifiable PDF or submit a password-protected file, we will not review that material. Additional, detailed information on how to attach files is in the application instructions.

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

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

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

Application Deadline Date Extension in Case of Technical Issues with the Grants.gov System:

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

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

If you submit an application after 4:30:00 p.m., Washington, DC time, on the application deadline date, please contact the person listed under For Further Information Contact in section

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

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

Exception to Electronic Submission Requirement:

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

- You do not have access to the Internet; or
- You do not have the capacity to upload large documents to the Grants.gov system; and
- No later than two weeks before the application deadline date (14 calendar days or, if the fourteenth calendar day before the application deadline date falls on a Federal holiday, the next business day following the Federal holiday), you mail or fax a written statement to the Department, explaining which of the two grounds for an exception prevent you from using the Internet to submit your application.

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

Address and mail or fax your statement to: Tina Diamond, U.S. Department of Education, 400 Maryland Avenue, SW., room 4094, Potomac Center Plaza (PCP), Washington, DC 20202-2600. FAX: (202) 245-7617.

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 84.326X)
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 84.326X)
550 12th Street, SW.
Room 7041, Potomac Center Plaza
Washington, DC 20202-4260

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

Note for Mail or Hand Delivery of Paper Applications:

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

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

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

V. Application Review Information

1. Selection Criteria:

The selection criteria for this program are from 34 CFR 75.210 and are listed in the application package.

2. Review and Selection Process:

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

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

3. Additional Review and Selection Process Factors:

In the past, the Department has had difficulty finding peer reviewers for certain competitions because so many individuals who are eligible to serve as peer reviewers have conflicts of interest. The Standing Panel requirements under section 682(b) of IDEA also have placed additional constraints on the availability of reviewers. Therefore, the Department has determined that, for some discretionary grant competitions, applications may be separated into two or more groups and ranked and selected for funding within specific groups. This procedure will make it easier for the Department to find peer reviewers, by ensuring that greater numbers of individuals who are eligible to serve as reviewers for any particular group of applicants will not have conflicts of interest. It also will increase the quality, independence, and fairness of the review process, while permitting panel members to review applications under discretionary grant competitions for which they also have submitted applications. However, if the Department decides to select an equal number of applications in each group for funding, this may result in different cut-off points for fundable applications in each group.

4. Special Conditions: Under 34 CFR 74.14 and 80.12, the Secretary may impose special conditions on a grant if the applicant or grantee is not financially stable; has a history of unsatisfactory performance; has a financial or other management system that does not meet the standards in 34 CFR parts 74 or 80, as applicable; has not fulfilled the conditions of a prior grant; or is otherwise not responsible.

VI. Award Administration Information

1. Award Notices:

If your application is successful, we notify your U.S. Representative and U.S. Senators and send you a Grant Award Notification (GAN); or we may send you an email containing a link to access an electronic version of your GAN. We may notify you informally, also.

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

2. Administrative and National Policy Requirements:

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

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

3. Reporting:

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

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

4. Performance Measures:

Under the Government Performance and Results Act of 1993 (GPRA), the Department has established a set of performance measures, including long-term measures, that are designed to yield information on various aspects of the effectiveness and quality of the Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities. These measures focus on the extent to which projects provide high-quality products and services, the relevance of project products and services to educational and early intervention policy and practice, and the use of products and services to improve educational and early intervention policy and practice.

Grantees will be required to report information on their project's performance in annual reports to the Department (34 CFR 75.590).

5. Continuation Awards:

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

VII. Agency Contact

For Further Information Contact:

Tina Diamond
U.S. Department of Education
400 Maryland Avenue SW.
Room 4094, Potomac Center Plaza (PCP)
Washington, DC 20202-2600

Telephone: (202) 245-6674.

If you use a TDD or a TTY, call the Federal Relay Service (FRS), toll free, at 1-800-877-8339.

VIII. Other Information

Accessible Format:

Individuals with disabilities can obtain this document and a copy of the application package in an accessible format (e.g., braille, large print, audiotape, or compact disc) by contacting the Grants and Contracts Services Team, U.S. Department of Education, 400 Maryland Avenue SW., room 5075, PCP, Washington, DC 20202-2550. Telephone: (202) 245-7363. If you use a TDD or a TTY, call the FRS, toll free, at 1-800-877-8339.

Electronic Access to This Document:

The official version of this document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and the Code of Federal Regulations is available via the Federal Digital System at: www.gpo.gov/fdsys. At this site you can view this document, as well as all other documents of this Department published in the Federal Register, in text or Adobe Portable Document Format (PDF). To use PDF you must have Adobe Acrobat Reader, which is available free at the site.

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

Dated: April 18, 2013

Michael Yudin,
Delegated the Authority to
Perform the Functions and Duties
of the Assistant Secretary for
Special Education and
Rehabilitative Services.

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

GRANTS.GOV SUBMISSION PROCEDURES AND TIPS FOR APPLICANTS

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

ATTENTION—ADOBE FORMS AND PDF FILES REQUIRED

Applications submitted to Grants.gov for the Department of Education will be posted using Adobe forms. Therefore, applicants will need to download a newer version of Adobe reader (Grants.gov recommends Adobe Reader 10.1.4). Information on computer and operating system compatibility with Adobe, links to download a newer version, and warnings about using Adobe Reader XI are all available on Grants.gov. We strongly recommend that you review these details on www.Grants.gov before completing and submitting your application. In addition, applicants should submit their application a day or two in advance of the closing date as detailed below. Also, applicants are required to upload their attachments in .pdf format only. (See details below under "Attaching Files – Additional Tips.").

Please be aware that **Grants.gov has discovered an issue with the newest version of Adobe Reader XI.**

Applicants may encounter the following error that will prevent them from submitting their application:

> *"At least one required Field was empty. Please fill in the required field (highlighted) before continuing."*

Grants.gov recommends that if applicants encounter this issue, they submit their application using any version below Adobe Reader XI. Please refer to the compatibility table for additional information about supported versions of Adobe Reader. If you have any questions regarding this matter please email the Grants.gov Contact Center at support@grants.gov or call 1-800-518-4726.

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

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

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

3) **VERIFY SUBMISSION IS OK**

You will want to verify that Grants.gov received your application submission on time and that it was validated successfully. To see the date/time your application was received, login to Grants.gov and click on the Track My Application link. For a successful submission, the date/time received should be earlier than 4:30:00 p.m. Washington, DC time, on the deadline date, AND the application status should be: Validated, Received by Agency, or Agency Tracking Number Assigned. Once the Department of Education receives your application from Grants.gov, an Agency Tracking Number (PR/award number) will be assigned to your application and will be available for viewing on Grants.gov's Track My Application link.

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

SUBMISSION PROBLEMS—WHAT SHOULD YOU DO?

If you have problems submitting to Grants.gov before the closing date, please contact Grants.gov Customer Support at 1-800-518-4726 or http://www.grants.gov/contactus/contactus.jsp, or access the Grants.gov Self-Service web portal at: https://grants-portal.psc.gov/Welcome.aspx?pt=Grants

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

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

HELPFUL HINTS WHEN WORKING WITH GRANTS.GOV

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

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

DIAL-UP INTERNET CONNECTIONS

When using a dial up connection to upload and submit your application, it can take significantly longer than when you are connected to the Internet with a high-speed connection, e.g. cable modem/DSL/T1.

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

MAC USERS

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

ATTACHING FILES—ADDITIONAL TIPS

Please note the following tips related to attaching files to your application, especially the requirement that applicants **only include read-only, non-modifiable .PDF files** in their application:

1. Ensure that you attach ***.PDF files only*** for any attachments to your application, and they must be in a **read-only, non-modifiable format**. PDF files are the only Education approved file type accepted as detailed in the Federal Register application notice. Applicants must submit individual .PDF files only when attaching files to their application. Specifically, the Department will not accept any attachments that contain files within a file, such as PDF Portfolio files, or an interactive or fillable .PDF file. Any attachments uploaded that are not .PDF files or are password protected files will not be read. If you need assistance converting your files to a .pdf format, please refer to the following Grants.gov webpage with links to conversion programs under the heading of additional resources: http://www.grants.gov/applicants/app_help_reso.jsp

2. Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission. Therefore, each file uploaded to your application package should have a unique file name.

3. When attaching files, applicants should follow the guidelines established by Grants.gov on the size and content of file names. Uploaded files must be less than 50 characters, contain no spaces, no special characters (example: -, &, *, %, /, #, \) including periods (.), blank spaces and accent marks. Applications submitted that do not comply with the Grants.gov guidelines will be rejected at Grants.gov and not forwarded to the Department.

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

* Please note that the Central Contractor Registry (CCR) was replaced by the System for Award Management (SAM) effective July 30, 2012. For more information on the migration of CCR data to SAM, grant applicants should read this information located on Grants.gov: http://grants-gov.blogspot.com/2012/07/information-about-pending-migration.html#!/2012/07/information-about-pending-migration.html

2/13/2013

PRIORITY DESCRIPTION AND SELECTION CRITERIA

CENTER ON DISPUTE RESOLUTION
(CFDA 84.326X)

DEADLINE: 06/3/13

ABSOLUTE PRIORITY:

Background:

IDEA includes procedural safeguards that are designed to protect the rights of children with disabilities and their parents and to provide parents with mechanisms for resolving, at the earliest point in time, disputes with those who provide services to children with disabilities (State educational agencies (SEAs), local educational agencies (LEAs), schools, Part C State lead agencies, and early intervention service (EIS) providers). The procedural safeguards include the opportunity to seek a timely resolution of disputes about any matter relating to the provision of a free appropriate public education to an eligible child or of appropriate early intervention services to infants and toddlers with disabilities. Thus, IDEA encourages constructive relationships between parents of children with disabilities and those who provide services to children with disabilities by facilitating open communication between the parents and these entities and encouraging early resolution of disputes so that disagreements do not escalate and become adversarial. IDEA's dispute resolution procedures include provisions for State complaints, mediation, due process complaints and due process hearings, and resolution sessions, as described below.

State Complaints. IDEA's State complaint procedures permit parents and other interested individuals or organizations to file a complaint with the SEA or Part C State lead agency to seek resolution of any alleged violations of IDEA. The goal of the State complaint procedures is to resolve disputes while avoiding costly or time consuming due process hearings (71 FR 46600 - Part B regulations; 76 FR 60214-60216 – Part C regulations). The State complaint procedures provide an important means of ensuring that the educational or early intervention needs of children with disabilities are met (71 FR 46601; 76 FR 60214-60216).

Mediation. In response to increasing numbers of due process hearing requests, Congress amended IDEA in 1997 to require SEAs and Part C State lead agencies to make mediation available, at a minimum, whenever a request for a due process hearing is made. In 2004, Congress amended section 615(e) of IDEA to allow parties to use mediation to resolve disputes involving any matter under IDEA, not just those matters that are the subject of a due process

complaint. (This amendment also applies to Part C through section 639(a)(8) of IDEA). In mediation, a neutral third party facilitates the resolution of disputes. Mediation is more likely than due process hearings to foster positive relationships between families and educators (U.S. Government Accountability Office, 2003).

Due Process Hearings. In due process hearings, an impartial, knowledgeable decision-maker resolves disputes. While due process hearings are an important protection, they can be costly, time consuming, and contentious, and they may damage relationships between the parties involved in the dispute.

Resolution Session. The 2004 amendments to IDEA added a requirement for a resolution session prior to a due process hearing. The resolution session requirement applies to all IDEA Part B due process hearing requests and to those IDEA Part C due process hearing requests filed in a State that has elected to adopt the Part B-type due process hearing procedures in 34 CFR 303.440 through 303.449. Under section 615(f)(1)(B) of IDEA, the LEA (or in the case of IDEA Part C, under 34 CFR 303.442, the State lead agency) must convene a meeting with the parents and relevant members of the child's individualized education program (IEP) or individualized family service plan (IFSP) team who have specific knowledge of the facts identified in the complaint. This provides the parents and the agency with an opportunity to resolve the complaint and avoid a due process hearing.

Early Resolution Practices. In addition to these methods of dispute resolution specifically required under IDEA, there are a variety of informal or "early resolution" practices that can be used to resolve disputes at the school or district level and avoid time-consuming and costly litigation (U.S. Government Accountability Office, 2003). In the preamble to the 2006 final regulations implementing Part B of IDEA, the Department encouraged States to explore the use of early resolution practices to facilitate the timely resolution of disputes and to preserve the relationships between families and educators (71 FR 46540, 46604).

Over the past seven years, data from State Performance Plans (SPPs) and Annual Performance Reports (APRs) submitted to the Office of Special Education Programs (OSEP) show a steady decline in the number of IDEA Part B due process hearings held across the country, down 68 percent since FY 2004. At the same time, SEAs and Part C State lead agencies are reporting an increase in the use of informal early resolution practices that have been shown to reduce the need for dispute resolution and facilitate early resolution of disputes.

Examples of early resolution practices include training in conflict resolution, which is designed to equip individuals with skills to better communicate and negotiate their positions and interests, (Henderson, 2008), and IEP and IFSP facilitation.

Since 1998, OSEP has funded a technical assistance (TA) center to support States' implementation of timely and effective dispute resolution processes. (For further information on the work of the current center, please see the following Web site: www.directionservice.org/cadre.) The current center's funding will end in FY 2013.

The Department believes it is important to continue to fund a TA center that provides SEAs and Part C State lead agencies with resources that can help them effectively implement a range of dispute resolution options to ensure that the trend toward early, less costly, and less adversarial dispute resolution continues. SEAs and Part C State lead agencies also need information on how to collect and use data from dispute resolution systems to improve compliance with IDEA requirements. In addition, continued funding of a TA center on dispute resolution that works directly with OSEP-funded parent technical assistance centers (PTACs) will help ensure that parents and families have access to information on how to resolve their disagreements in positive and constructive ways.

Priority:

The purpose of this priority is to fund a cooperative agreement to support the establishment and operation of a Center on Dispute Resolution designed to produce, at a minimum, the following outcomes:

(1) an increased capacity of SEAs and Part C State lead agencies to support local implementation of effective early resolution practices to resolve disputes and thereby decrease requests for State complaints and due process hearings;

(2) an increased body of knowledge on strategies for collecting, reporting, and using high-quality data on dispute resolution;

(3) an increased body of knowledge on exemplary practices for parents and families to resolve disputes in positive and constructive ways;

(4) an improved ability of SEAs and Part C State lead agencies to implement a range of dispute resolution options, including methods of dispute resolution required under IDEA and early resolution practices;

(5) an improved capacity of OSEP-funded PTACs to provide technical assistance to OSEP-funded parent centers on the range of effective dispute resolution options; and

(6) an analysis of current information on State and national trends and other data about dispute resolution to determine the extent to which SEAs and Part C State lead agencies have:

(a) met the required timelines when resolving State complaints and issuing due process hearing decisions;

(b) used resolution meetings and mediation to successfully resolve disputes between parents and LEAs or EIS providers; and

(c) implemented effective methods of early dispute resolution.

In addition to these programmatic requirements, to be considered for funding under this absolute priority, applicants must meet the application and administrative requirements contained in this priority. OSEP encourages innovative approaches to meet these requirements, which are as follows:

(a) Demonstrate, in the narrative section of the application under “Significance of the Project,” how the proposed project will—

(1) Address the training and information needs of SEAs, Part C State lead agencies, and parents and families to resolve disputes arising from programs under Part B and Part C of IDEA. To address this requirement the applicant must—

(i) Present applicable national and State data demonstrating the training and information needs of SEAs, Part C State lead agencies, and parents and families to resolve disputes*;*

(ii) Demonstrate knowledge of current educational issues and policy initiatives in dispute resolution (e.g., the implementation and effectiveness of IEP/IFSP facilitation); and

(iii) Present information about the implementation and effectiveness of current dispute resolution systems in SEAs and Part C State lead agencies.

(2) Result in early resolution of disputes and improved compliance with IDEA dispute resolution requirements.

(b) Demonstrate, in the narrative section of the application under “Quality of the Project Services,” how the proposed project will—

(1) Ensure equal access and treatment for members of groups (e.g., race, color, national origin, language, linguistic background, gender, age, or disability) that traditionally have not engaged in, or have been underrepresented in accessing, dispute resolution options. To meet this requirement, the applicant must describe the process that will be used to—

(i) Identify the needs of the intended recipients (i.e., SEAs, Part C State lead agencies, and PTACs) for technical assistance and information; and

(ii) Ensure that services and products meet the needs of the intended recipients (e.g., creating materials in formats and languages accessible to the stakeholders served by the intended recipients).

(2) Meet its goals, objectives, and outcomes. To meet this requirement, the applicant must provide—

(i) Measurable intended project outcomes; and

(ii) The theory of action (i.e., a logic model) on how the proposed project will achieve the project outcomes.

(3) Use a conceptual framework to guide the development of project plans and activities, describing any underlying concepts, assumptions, expectations, beliefs, or theories, as well as the presumed relationship or linkages among these variables, and any empirical support for this framework;

(4) Be based on current research and evidence-based practices. To meet this requirement, the applicant must describe—

(i) The current research on the effectiveness of dispute resolution options and practices*;*

(ii) The current research about adult learning principles and how this information will be used to provide training and technical assistance to the intended recipients on implementing effective dispute resolution systems; and

(iii) The process the proposed project will use to incorporate current research and evidence-based practices in the development and delivery of its products and services.

(5) Develop products and provide services that are of sufficient quality, intensity, and duration to achieve the outcomes of the proposed project. To address this requirement, the applicant must describe—

(i) Its proposed activities to identify and expand the knowledge base in dispute resolution and early resolution practices;

(ii) Its proposed approach to universal, general TA,[1] including the intended recipients of the products and services under this approach;

(iii) Its proposed approach to targeted, specialized TA,[2] including the intended recipients of the products and services under this approach and its proposed approach to measure the readiness of potential TA recipients to work with the project, including their current infrastructure, available resources, and ability to build capacity at the local level; and

(iv) Its proposed approach to intensive, sustained TA,[3] including the intended recipients of the products and services under this approach. To address this requirement, the applicant must describe—

[1] "Universal, general TA" means TA and information provided to independent users through their own initiative, resulting in minimal interaction with TA center staff and including one-time, invited or offered conference presentations by TA center staff. This category of TA also includes information or products, such as newsletters, guidebooks, or research syntheses, downloaded from the TA center's Web site by independent users. Brief communications by TA center staff with recipients, either by telephone or email, are also considered universal, general TA.

[2] "Targeted, specialized TA" means TA service based on needs common to multiple recipients and not extensively individualized. A relationship is established between the TA recipient and one or more TA center staff. This category of TA includes one-time, labor-intensive events, such as facilitating strategic planning or hosting regional or national conferences. It can also include episodic, less labor-intensive events that extend over a period of time, such as facilitating a series of conference calls on single or multiple topics that are designed around the needs of the recipients. Facilitating communities of practice can also be considered targeted, specialized TA.

[3] "Intensive, sustained TA" means TA services often provided onsite and requiring a stable, ongoing relationship between the TA center staff and the TA recipient. TA services are defined as negotiated series of activities designed to reach a valued outcome. This category of TA should result in changes to policy, program, practice, or operations that support increased recipient capacity or improved outcomes at one or more systems levels.

(A) Its proposed plan for assisting SEAs, Part C State lead agencies, and PTACs to build training systems that include professional development based on evidence-based adult learning principles and coaching; and

(B) Its proposed plan for supporting SEAs, Part C State lead agencies, and PTACs in their work with hearing officers, IEP/IFSP Team facilitators, or other dispute resolution personnel, as well as families and personnel at each level of the education or early intervention system (e.g., regional TA providers, school districts, schools, service coordinators, and related service and EIS providers and personnel), to ensure that there is effective communication among these groups and that there are systems in place to support the use of a range of dispute resolution procedures and practices.

(6) Develop products and implement services to maximize the efficiency of an SEA's or Part C State lead agency's dispute resolution system. To address this requirement, the applicant must describe—

(i) How the proposed project will use technology to achieve the intended outcomes;

(ii) With whom the proposed project will collaborate and the intended outcomes of this collaboration; and

(iii) How the proposed project will leverage non-project resources to achieve the proposed project outcomes.

(c) Demonstrate, in the narrative section of the application under "Quality of the Evaluation Plan," how—

(1) The proposed project will collect and analyze data related to specific and measurable goals, objectives, and outcomes of the project. To address this requirement, the applicant must describe—

(i) Proposed evaluation methodologies, including instruments, data collection methods, and possible analyses;

(ii) Proposed standards or targets for determining effectiveness; and

(iii) Proposed methods for collecting data on implementation supports and fidelity of implementation.

(2) The proposed project will use the evaluation results to examine the effectiveness of the project's implementation strategies and the progress toward achieving intended outcomes; and

(3) The methods of evaluation will produce quantitative and qualitative data that demonstrate whether the project achieved the intended outcomes.

(d) Demonstrate, in the narrative section of the application under "Adequacy of Project Resources," how—

(1) The proposed project will encourage applications for employment from persons who are members of groups that have traditionally been underrepresented based on race, color, national origin, language/linguistic background, gender, age, or disability, as appropriate;

(2) The proposed key project personnel, consultants, and subcontractors have the qualifications and experience to carry out the proposed activities and achieve the project's intended outcomes;

(3) The applicant and any key partners have adequate resources to carry out the proposed activities; and

(4) The proposed costs are reasonable in relation to the anticipated results and benefits.

(e) Demonstrate, in the narrative section of the application under "Quality of the Management Plan," how—

(1) The proposed management plan will ensure that the project's intended outcomes will be achieved on time and within budget. To address this requirement, the applicant must describe—

(i) Clearly defined responsibilities for key project personnel, consultants, and subcontractors, as appropriate; and

(ii) Timelines and milestones for accomplishing the project tasks;

(2) Key project personnel and any consultants and subcontractors who will be allocated to the project and the appropriateness and adequacy of these time allocations to achieve the project's intended outcomes;

(3) The proposed management plan will ensure that the products and services provided are of high quality; and

(4) The proposed project will benefit from a diversity of perspectives, including families, EIS providers, educators, related service providers, TA providers, researchers, and policy makers, among others, in its development and operation.

(f) Meet the following program requirements—

(1) Include in Appendix A a logic model that depicts, at a minimum, the goals, activities, outputs, and outcomes of the proposed project. A logic model communicates how a project will achieve its outcomes and provides a framework for both the formative and summative evaluations of the project. Note: The following Web sites provide more information on logic models: www.researchutilization.org/matrix/logicmodel_resource3c.html and http://www.tadnet.org/pages/589;

(2) Include in Appendix A a visual representation of the conceptual framework, if a visual representation is developed;

(3) Include in Appendix A a person-loading chart and timelines, as appropriate, to illustrate the management plan described in the narrative;

(4) Include in the budget attendance at the following:

(i) A one and one-half day kick-off meeting to be held in Washington, DC, after receipt of the award, and an annual planning meeting held in Washington, DC, with the OSEP project officer and other relevant staff during each subsequent year of the project period.

Note: Within 30 days of receipt of the award, a post-award teleconference must be held between the OSEP project officer and the grantee's project director or other authorized representative;

(ii) A two and one-half day project directors' conference in Washington, DC, during each year of the project period;

(iii) Two, two-day trips annually to present at Department briefings, Department-sponsored conferences, and other meetings, as requested by OSEP; and

(iv) A one-day intensive review meeting that will be held during the last half of the second year of the project period.

(5) Include in the budget a line item for an annual set-aside of five percent of the grant amount to support emerging needs that are consistent with the proposed project's intended outcomes, as those needs are identified in consultation with OSEP.

Note: With approval from the OSEP project officer, the project must reallocate any remaining funds from this annual set-aside no later than the end of the third quarter of each budget period; and

(6) Maintain a Web site that meets government or industry-recognized standards for accessibility.

Fourth and Fifth Years of the Project:

In deciding whether to continue funding the project for the fourth and fifth years, the Secretary will consider the requirements of 34 CFR 75.253(a), as well as—

(1) The recommendation of a review team consisting of experts selected by the Secretary. This review will be conducted during a one-day intensive meeting in Washington, DC, that will be held during the last half of the second year of the project period;

(2) The timeliness and effectiveness with which all requirements of the negotiated cooperative agreement have been or are being met by the project; and

(3) The quality, relevance, and usefulness of the project's activities and products and the degree to which the project's activities and products are aligned with the project's objectives and likely to result in the project achieving its proposed outcomes.

References:

Henderson, K. (2008, May). Optional IDEA alternative dispute resolution. Project Forum at the National Association of State Directors of Special Education (NASDSE) and Consortium for Appropriate Dispute Resolution in Special Education (CADRE). Retrieved from: www.projectforum.org/docs/OptionalIDEAAlternativeDisputeResolution.pdf.

U.S. Government Accountability Office. (2003, September). Special education: Numbers of formal disputes are generally low and States are using mediation and other strategies to resolve conflicts. Publication No. GAO-03-897. Retrieved from: www.gao.gov/new.items/d03897.pdf.

PROGRAM AUTHORITY:

20 U.S.C. 1463 and 1481.

PERFORMANCE MEASURES:

Under the Government Performance and Results Act of 1993 (*GPRA*), the Department has established a set of performance measures, including long-term measures, that are designed to yield information on various aspects of the effectiveness and quality of the Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities. These measures are included in the application package and focus on the extent to which projects are of high quality, are relevant to improving outcomes of children with disabilities, contribute to improving outcomes for children with disabilities, and generate evidence of validity and availability to appropriate populations. Projects funded under this competition are required to submit data on these measures as directed by OSEP.

Grantees also will be required to report information on their projects' performance in annual and final performance reports to the Department (34 CFR 75.590).

APPLICATIONS AVAILABLE:

April 18, 2013.

DEADLINE FOR TRANSMITTAL OF APPLICATIONS:

June 3, 2013.

DEADLINE FOR INTERGOVERNMENTAL REVIEW:

August 1, 2013.

ESTIMATED AVAILABLE FUNDS:

$650,000. Contingent upon the availability of funds and the quality of applications, we may make additional awards in FY 2014 from the list of unfunded applicants from this competition.

ESTIMATED NUMBER OF AWARDS: 1.

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

MAXIMUM AWARD:

We will reject any application that proposes a budget exceeding $650,000 for a single budget period of 12 months. The Assistant Secretary for Special Education and Rehabilitative Services may change the maximum amount through a notice published in the Federal Register.

PROJECT PERIOD:

Up to 36 months with an optional additional 24 months based on performance. Applications must include plans for both the 36-month award and the 24-month extension.

PAGE LIMITS:

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 70 pages, using the following standards:

- A "page" is 8.5" x 11" (on one side only) with 1" margins at the top, bottom, and both sides.
- Double-space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, footnotes, quotations, references, and captions.
- Use a font that is either 12 point or larger and no smaller than 10 pitch (characters per inch).

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

We will reject any application if you exceed the page limit; or if you apply other standards and exceed the equivalent of the page limit.

GENERAL REQUIREMENTS:

(a) Projects funded under this notice must make positive efforts to employ and advance in employment qualified individuals with disabilities in project activities (see section 606 of IDEA); and

(b) Applicants and grant recipients funded under this notice must involve individuals with disabilities or parents of individuals with disabilities ages birth through 26 in planning, implementing, and evaluating the projects (see section 682(a)(1)(A) of IDEA).

APPLICABLE REGULATIONS:

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

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

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

ELIGIBLE APPLICANTS:

State educational agencies (SEAs); LEAs, including public charter schools that are considered LEAs under State law; IHEs; other public agencies; private nonprofit organizations; outlying areas; freely associated States; Indian tribes or tribal organizations; and for-profit organizations.

INTERGOVERNMENTAL REVIEW:

The program in this notice is subject to the requirements of Executive Order 12372 and the regulations in 34 CFR part 79. One of the objectives of the Executive Order is to foster an intergovernmental partnership and a strengthened federalism. The Executive order relies on

processes developed by State and local governments for coordination and review of proposed Federal financial assistance.

This document provides early notification of our specific plans and actions for this program.

FOR FURTHER INFORMATION ABOUT THIS PRIORITY CONTACT:

Tina Diamond, Project Officer
Research to Practice Division
Office of Special Education Programs
Telephone: (202) 245-6674
FAX: (202) 245-7617
Internet: Tina.Diamond@ed.gov
TTD: 1-800-877-8339

SELECTION CRITERIA AND FORMAT FOR THE APPLICATIONS FOR NEW AWARDS— CENTER ON DISPUTE RESOLUTION (CFDA 84.326X) COMPETITION

Part III of the application form requires a narrative that addresses the selection criteria that will be used by reviewers in evaluating individual proposals. Applications are more likely to receive favorable reviews by panels when they are organized according to the format suggested below. This format was published in the FEDERAL REGISTER as an appendix to the program regulations, and it addresses all the selection criteria used to evaluate applications required by regulations. If you prefer to use a different format, you may wish to cross-reference the sections of your application to the selection criteria to be sure that reviewers are able to find all relevant information.

The selection criteria that will be used to evaluate applications submitted to the **Applications for New Awards; Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities—Center on Dispute Resolution (CFDA 84.326X)** competition are the selection criteria for new grants required by the EDGAR general selection criteria menu. The maximum score for all of the criteria is 100 points.

The application narrative should include the following sections in this order:

(a) Significance (5 points)

(1) The Secretary considers the significance of the proposed project.

(2) In determining the significance of the proposed project, the Secretary considers one or more of the following factors:

(i) The extent to which the proposed project will address specific gaps or weaknesses in services, infrastructure, or opportunities that have been identified.

(ii) The importance or magnitude of the results or outcomes likely to be attained by the proposed project.

(b) Quality of project services (40 points)

(1) The Secretary considers the quality of the services to be provided by the proposed project.

(2) In determining the quality of the services to be provided by the proposed project, the Secretary considers the quality and sufficiency of strategies for ensuring equal access and treatment for eligible project participants who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability.

(3) In addition, the Secretary considers one or more of the following factors:

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

(ii) The extent to which there is a conceptual framework underlying the proposed activities and the quality of that framework.

(iii) The extent to which the services to be provided by the proposed project reflect up-to-date knowledge from research and effective practice.

(iv) The extent to which the proposed products and services are of sufficient quality, intensity and duration to lead to the outcomes to be achieved by the proposed project.

(v) The extent to which the products and services to be developed and provided by the proposed project involve the use of efficient strategies, including the use of technology, collaboration with appropriate partners, and the leveraging of non-project resources.

(c) Quality of the project evaluation (20 points)

(1) The Secretary considers the quality of the evaluation to be conducted of the proposed project.

(2) In determining the quality of the evaluation, the Secretary considers one or more of the following factors:

(i) The extent to which the methods of evaluation are thorough, feasible, and appropriate to the goals, objectives, and outcomes of the proposed project.

(ii) The extent to which the methods of evaluation will provide data and performance feedback for examining the effectiveness of project implementation strategies and the progress toward achieving intended outcomes.

(iii) The extent to which the methods of evaluation will produce quantitative and qualitative data that demonstrate the project has met intended outcomes.

(e) Adequacy of resources (15 points)

(1) The Secretary considers the adequacy of resources, including the personnel who will carry out the proposed project.

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

(3) In addition, the Secretary considers one or more of the following factors:

(i) The qualifications, including relevant training and experience, of key project personnel (i.e., project director, project staff, and project consultants or subcontractors).

(ii) The adequacy of support, including facilities, equipment, supplies, and other resources, from the applicant organization and key partners.

(iii) The extent to which the costs are reasonable in relation to the anticipated results and benefits.

(d) Quality of the management plan (20 points)

(1) The Secretary considers the quality of the management plan for the proposed project.

(2) In determining the quality of the management plan for the proposed project, the Secretary considers one or more of the following factors:

(i) The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks.

(ii) The extent to which the time commitments of the project director, project staff, and project consultants or subcontractors are appropriate and adequate to meet the objectives of the proposed project.

(iii) The adequacy of mechanisms for ensuring high-quality products and services from the proposed project.

(iv) How the applicant will ensure that a diversity of perspectives are brought to bear in the operation of the proposed project, including those of parents, teachers, the business community, a variety of disciplinary and professional fields, recipients or beneficiaries of services, or others, as appropriate.

GENERAL INFORMATION ON COMPLETING AN APPLICATION

GENERAL INFORMATION ON COMPLETING AN APPLICATION

Potential applicants frequently direct questions to officials of the Department regarding application notices and programmatic and administrative regulations governing various direct grant programs. To assist potential applicants, the Office of Special Education Programs staff have assembled the following most commonly raised issues. In general, this information applies to the grant competitions covered by this application package.

EXTENSION OF DEADLINES

Waivers for individual applications are not granted, regardless of the circumstances. Under very extraordinary circumstances a closing date may be changed. Such changes are announced in the *Federal Register*.

COPIES OF THE APPLICATION

Unless you qualify for an exception in accordance with the instructions found in the Notice inviting applications, you must submit your application electronically. Therefore, you do not need to submit paper copies of the application. If you are granted an exception, current Government-wide policy requires that an original and two paper copies need to be submitted. Please note: If an application is recommended for funding and a grant award is issued, we will contact the applicant to request an electronic copy of the application in MS Word or a PDF file. The Department is moving toward an electronic grant filing system and an electronic copy of all applications that are being funded will facilitate this effort.

MAKING APPLICATIONS MORE ACCESSIBLE TO REVIEWERS WHO ARE BLIND OR HAVE LOW VISION

The Department will accept one copy of the application in an accessible format (i.e., IBM PC compatible WordPerfect or ASCII code diskette) along with the original and two print copies of the application. The accessible format copy can be used with available software to convert the text of the application into Braille, or with text to voice applications. If there are any differences in the print original provided on the disk and in print, the print original is assumed to be the correct version. Please note that it is not a requirement that one copy of the application be in an accessible format.

MISSED DEADLINES AND SUBMISSION UNDER OTHER COMPETITIONS

Should an application miss the deadline for a particular competition, it may be submitted to another competition. However, if an application is properly prepared to meet the specifications of one competition, it is extremely unlikely that it would be favorably evaluated under a different competition.

SUBMISSION TO MORE THAN ONE PROGRAM

Applications may be submitted to more than one Federal program if you are unsure of the most appropriate program. Each application should be prepared following the instructions for that particular program as closely as possible (which may require some reformulation). It is very helpful if each program is notified that an identical or similar application is being submitted to another program.

HELP PREPARING APPLICATIONS

We are happy to provide general program information. Clearly it would ***not*** be appropriate for staff to participate in the actual writing of an application, but we can respond to specific questions about our application requirements and evaluation criteria, or about the announced priorities. Applicants should understand that such previous contact is not required, nor does it guarantee the success of an application.

NOTIFICATION OF FUNDING

The time required to complete the evaluation of applications is variable. Once applications have been received staff must determine the areas of expertise needed to appropriately evaluate the applications, identify and contact potential reviewers, convene peer review panels, and summarize and review the recommendations of the review panels. You can expect to receive notification within 3 to 6 months of the application closing date, depending on the number of applications received and the number of competitions with closing dates at about the same time.

POSSIBILITY OF LEARNING THE OUTCOME OF REVIEW PANELS PRIOR TO OFFICIAL NOTIFICATION

Every year we are called by a number of applicants who have legitimate reasons for needing to know the outcome of the review prior to official notification. Some applicants need to make job decisions, some need to notify a local school district, etc. Regardless of the reason, we cannot share information about the review with ***anyone*** until the Assistant Secretary has approved a slate of projects recommended for funding. You will be notified as quickly as possible either by telephone (if your application is recommended for funding), or through a letter (if your application is not successful).

FORMAT FOR APPLICATIONS

The application narrative (Part III of the application form) should be organized to follow the exact sequence of the components in the selection criteria used to evaluate applications. (The selection criteria for the competitions covered by this packet are listed following the specific competition information in section “B” of this packet. The abstract, not to exceed one page, should precede the table of contents, and application narrative. In submitting your application through Grants.gov, the one page abstract should be uploaded and attached to the Abstract File. For the table of contents, and application narrative, you will have to PDF these documents into one file, then upload and attach to the Mandatory Project Narrative File. If you prefer to use a different format, you may wish to cross-reference the sections of your application to the selection criteria to be sure that reviewers are able to find all relevant information.

In addition to any requirements for the abstract in the priority, it would be helpful if it included the following information: Purpose of the project; disability addressed by the project; age group (e.g., 0-3, preschool, elementary school, middle school, high school, secondary transition, and postsecondary); geography (e.g., rural, suburban, urban); severity (e.g., mild, moderate, and severe); proposed products; proposed outcomes; names/affiliations of key collaborators. It would be helpful if the abstract includes: (a) the title of the program, (b) the name of the Absolute Priority, and (c) the CFDA Number (e.g., 84.326X).

For Technology and Technical Assistance and Dissemination applications, the abstract should include (a) design and (b) project evaluation, including measures.

To aid in screening and reviewing the application, applicants should list after the abstract, all general, special, and other requirements for the priority and corresponding page number (s) where requirements are addressed within the application. (All requirements are found in each priority description included in this application package.) Page limits do not apply to this list of priority requirements (see Application Forms and Instructions for Grants.gov Submission document for upload instructions). The format included below is an example of how you might provide this information in your application.

PAGE #	REQUIREMENTS
_____	(a) Projects funded under this notice must make positive efforts to employ and advance in employment qualified individuals with disabilities in project activities. (See Section 606 of IDEA)
_____	(b) Applicants and grant recipients funded under this notice must involve individuals with disabilities or parents of individuals with disabilities ages birth through 26 in planning, implementing, and evaluating the projects. (See Section 682(a)(1)(A) of IDEA)
_____	(c) Applicant must describe steps to ensure equitable access to, and participation in, its program for students, teachers, and other program beneficiaries with special needs. (See Section 427, GEPA)
_____	(d) Projects funded under these priorities must budget for a three-day Project's Directors' meeting in Washington, D.C. during each year of the project.

PAGE LIMITS

Please note that all applications submitted under the competition in this application package must adhere to the Part III—Application Narrative page limit requirements that are specified under each priority/competition description. Your application should provide enough information to allow the review panel to evaluate the importance and impact of the project as well as to make knowledgeable judgments about the methods you propose to use (design, subjects, sampling procedures, measures, instruments, data analysis strategies, etc.). It is often helpful to have:

1. **Staff Vitae:** They should include each person's title and role in the proposed project and contain only information that is relevant to this proposed project's activities and/or publications. Vitae for consultants and Advisory Council members should be similarly brief.

2. **Instruments**: Except in the case of generally available and well known instruments.

3. **Agreements**: When the participation of an agency other than the applicant is critical to the project. This is particularly critical when an intervention will be implemented within an agency, or when subjects will be drawn from particular agencies. Letters of cooperation should be specific, indicating agreement to implement a particular intervention or to provide access to a particular group of students.

The items listed above are not included under page limits.

MAKING SURE APPLICATION IS ASSIGNED TO THE CORRECT COMPETITION

Applicants should clearly indicate in Item 11 on the application (SF Form 424) the CFDA number of the program priority (e.g., 84.326X, etc.) representing the competition in which the application should be considered. If this information is not provided, your application may inadvertently be assigned and reviewed under a different competition from the one you intended.

RETURN OF NON-FUNDED APPLICATIONS

We do not return original copies of applications. Thus, applicants should retain at least one copy of the application. Copies of reviewer comments will be mailed to all applicants.

PROPOSED STAFF AVAILABILITY TO PROJECT

For each staff person named in the application, please provide documentation of all internal and external time commitments. In instances where a staff person is committed on a federally supported project, please provide the project name, Federal office, program title, the project federal award number, and the

amount of committed time by each project year. This information (e.g., Staff: Jane Doe; Project Name: Succeeding in the General Curriculum; Federal office: Office of Special Education Programs; Program title: Educational Technology, Media, and Materials for Individuals with Disabilities; Award number: H326A030002; Time commitments: Year 1—30%; Year 2—25% and Year 3—40%) can be provided as an Appendix to the application.

In general, we will not reduce time commitments on currently funded grants from the time proposed in the original application. Therefore, we will not consider for funding any application where key staff are bid above a time commitment level that staff have available to bid. Further, the time commitments stated in newly submitted applications will not be negotiated down to permit the applicant to receive a new grant award.

USE OF PERSON LOADING CHARTS

It is important for applicants to include proposed time commitments for all project personnel. Also, program officials and applicants often find person loading charts useful formats for showing project personnel and their time commitments to individual activities. A person loading chart is a tabular representation of major evaluation activities by number of days spent by each key person involved in each activity, as shown in the following example.

TABLE: PERSON LOADING CHART — TIME IN DAY(S) BY PERSON*

Activity	Time in Day(s) by Person			
	Person A	Person B	Person C	Person D
Library Research	0	0	0	0
Hire Staff	0	0	0	0
Prepare Materials	0	0	0	0
Train Raters	0	2	0	0
Data Collection	0	0	0	0
Data Analysis	0	0	0	0
Dissemination (manuscripts, etc.)	0	0	0	0

*Note: All figures represent FTE for the grant year.

DELIVERING/SENDING APPLICATIONS TO THE COMPETITION MANAGER

Applications can be mailed or hand delivered, or submitted electronically but in either case must go to the Application Control Center at the address listed in the Application Transmittal Instructions. Delivering or sending the application to the competition manager in the program office may prevent it from being logged in on time to the appropriate competition and may result in the application not being reviewed.

ALLOWED TRAVEL UNDER THESE PROJECTS

Travel is allowed if the travel specifically relates to the expressed goals of the project. Travel by students to further their education under the project's goals is also allowed. Travel to conferences is the travel item that is most likely to be questioned during negotiations. Such travel is sometimes allowed when it is for purposes of dissemination, when there will be results to be disseminated, and when it is clear that a conference presentation or workshop is an effective way of reaching a particular target group.

FUNDING OF APPROVED APPLICATIONS

It is often the case that the number of applications recommended for approval by the reviewers exceeds the dollars available for funding projects under a particular competition. When the panel reviews are completed for a particular competition, the individual reviewer scores and applications are ranked. The higher ranked, approved applications are funded first, and there are often lower ranked, approved applications that do not receive funding. Sometimes, one or two applications that are approved and fall next in rank order (after those projects selected for funding) are placed on hold. If dollars become available as a result of negotiations, or if a higher ranked applicant declines the award, the projects on

hold may receive funding. If you receive a letter stating that you will not receive funding, then your project has neither been selected for funding nor placed on hold.

INDIRECT COST RATE

There is no maximum indirect cost for the competitions in this application package. An organization's current effective indirect cost rate is the rate that should be reflected in your proposed budget. The Department of Education (ED) reimburses grantees for its portion of indirect costs that a grantee incurs in projects funded by the Applications for New Awards; Technical Assistance and Dissemination to Improve Services and Results for Children with Disabilities—Center on Dispute Resolution (CFDA 84.326X) competition. Any grantee charging indirect costs to a grant from this program must use the indirect cost rate (ICR), negotiated with its *cognizant agency,* i.e., either the Federal agency from which it has received the most direct funding, subject to indirect cost support, the particular agency specifically assigned cognizance by the Office of Management and Budget or the State agency that provides the most subgrant funds to the grantee.

Note: Applicants should pay special attention to specific questions on the application budget form (ED 524) about their cognizant agency and the ICR they are using in their budget.

If an applicant selected for funding under this program has not already established a current ICR with its cognizant agency as a result of current or previous funding, ED will require it to do so within 90 days after the date the grant was issued by ED. Applicants should be aware that ED is very often ***not*** the cognizant agency for its own grantees. Rather, ED accepts, for the purpose of funding its awards, the current ICR established by the appropriate cognizant agency.

An applicant that has not previously established an indirect cost rate with the Federal government or a State agency under a Federal program and that is selected for funding will not be allowed to charge its grant for indirect costs until it has negotiated a current indirect cost rate agreement with its cognizant agency.

Applicants are encouraged to use their accountant (or CPA) to calculate an indirect cost rate using information in the IRS Form 990, audited financial statements, actual cost data or a *cost policy statement* that such applicants are urged to prepare (but NOT submit to ED) during the application process.

Applicants should use this proposed rate in their application materials and indicate which of the above methods was used to calculate the rate. Guidance for creating a cost policy statement can be obtained by sending an E-mail to:

katrina.mcdonald@ed.gov

Applicants with questions about using indirect cost rates under this program should contact the program contact person shown elsewhere in this application package.

ISSUES RAISED DURING DISCUSSIONS PRIOR TO AWARD

If your application is recommended for funding, discussions may be held prior to award to clarify technical or budget issues. These are issues that have been identified during panel and staff review. Generally, technical issues are minor issues that require clarification. Alternative approaches may be presented for your consideration, or you may be asked to provide additional information or rationale for something you have proposed to do. Sometimes, concerns are stated as "conditions". These are concerns that have been identified as so critical that the award cannot be made unless those conditions are met. Questions are also raised about the proposed budget during the discussion phase. Generally, budget issues are raised because there is inadequate justification or explanation of the particular budget item, or because the budget item does not seem critical to the successful completion of the project. A Federal project officer will present the issues to you and ask you to respond. If you do not understand the question, you should ask for clarification. In responding to discussion items you should provide any additional information or clarification requested. You may feel that an issue was addressed in the application. It may not, however, have been

explained in enough detail to make it understood by reviewers, and more information should be provided. If you are asked to make changes that you feel could seriously affect the project's success, you may provide reasons for not making the changes, or provide alternative suggestions. Similarly, if proposed budget reductions will, in your opinion, seriously affect the proposed activities, you may want to explain why and provide additional justification for the proposed expenses. Your changes, explanations and alternative suggestions will be carefully evaluated by staff. In some instances, an applicant may again be contacted for additional information. An award cannot be made until all issues have been resolved and conditions met.

TREATING A PRIORITY AS TWO SEPARATE COMPETITIONS.

In the past, there have been problems in finding peer reviewers without conflicts of interest where applications are made by many entities throughout the country. The Standing Panel requirements also place additional constraints on the availability of reviewers. Therefore, The Department has determined that, for some discretionary priorities, applications may be ranked and selected for funding in two or more groups, which will ensure the availability of a much larger group of reviewers without conflicts of interest. This procedure will increase the quality, independence and fairness of the review process and will permit panel members to review applications under discretionary priorities to which they have also submitted applications.

SUCCESSFUL APPLICATIONS AND ESTIMATED/PROJECTED BUDGET AMOUNTS IN SUBSEQUENT YEARS

There is a maximum award amount specified for the priority/competitions included in this package. The Department rejects and does not consider an application that proposes a budget exceeding the maximum amount for any single budget period of 12 months for the priorities included in this package. Please refer to the priority description to determine the maximum award for any one particular competition. Since the yearly budgets for multi-year projects will be negotiated at the time of the initial award, applicants must include detailed budgets for each year of their proposed project. Generally, out-year funding levels most likely will not exceed 1st year budgets. However, budget modifications during the negotiation process, the findings from the previous year, or needed changes in the study design can affect your budget requirements in subsequent years, but in no case will out-year budgets exceed the maximum award amount.

REQUIREMENT TO REPORT THE RESULTS OF GRANT ACTIVITIES

The Department shall, where appropriate, require recipients of all grants, contracts and cooperative agreements under Part D of the *Individuals with Disabilities Education Act* to prepare reports describing their procedures, findings, and other relevant information. The Department shall require their delivery to the Department of Education and other networks as The Department may determine appropriate. (20 U.S.C. 1482)

DIFFERENCE BETWEEN A COOPERATIVE AGREEMENT AND A GRANT

A cooperative agreement is similar to a grant in that its principal purpose is to accomplish a public purpose of support or stimulation as authorized by a Federal statute. It differs from a grant in the sense that in a cooperative agreement substantial involvement is anticipated between the executive agency (in this case the Department of Education) and the recipient during the performance of the contemplated activity.

DIFFERENCE BETWEEN AN ABSOLUTE PRIORITY, AN INVITATIONAL PRIORITY, AND A COMPETITIVE PRIORITY

An absolute priority is a priority that an applicant must address in order to receive an award. If an applicant does not address an absolute priority, their application will be returned as being non-responsive to the priority.

An invitational priority is a priority that reflects a particular interest of the Department, and an applicant is encouraged to address the invitational priority along with the required absolute priority. However, an applicant choosing to address an invitational priority will not receive any competitive preference over other applications.

A competitive priority is like an invitational priority in that it reflects a particular interest of the Department, and an applicant is encouraged to address the competitive priority along with the required absolute priority. A competitive priority may be handled in one of two ways:

1. an application may be awarded additional points depending on how effectively it addresses the competitive priority; or

2. an application that meets a competitive priority may be selected over an application of comparable merit that does not address the competitive priority. The type of competitive priority for a particular competition is always included in the *Federal Register* announcement.

OBTAINING COPIES OF THE FEDERAL REGISTER, PROGRAM REGULATIONS AND FEDERAL STATUTES

Copies of these materials can usually be found at your local library. If not, they can be obtained by writing to:

Superintendent of Documents
U.S. Government Printing Office
Washington, DC 20402

Telephone: 202-512-1800

Information about the Department's funding opportunities, including copies of application notices for discretionary grant competitions, can be viewed on the Department's grant information web page which can be accessed on the Internet at: www.ed.gov/about/offices/list/ocfo/gcsindex.html

However, the official application notice for a discretionary grant competition is the notice published in the *Federal Register*.

APPLICATION TRANSMITTAL INSTRUCTIONS AND REQUIREMENTS FOR INTERGOVERNMENTAL REVIEW

APPLICATION TRANSMITTAL INSTRUCTIONS

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 electronic submission of applications, and specific requirements and waiver instructions can be found in the Federal Register notice.

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

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

APPLICATIONS SUBMITTED ELECTRONICALLY

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

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

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

Please note the following:

- You must attach any narrative sections of your application as files in a **.pdf** (Portable Document) format. **If you upload a file type other than a .pdf file, or submit a password-protected file, we will not review that material**.
- Grants.gov cannot process an application that includes two or more files that have the same name within a grant submission.
- When attaching files, applicants should limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We recommend your file names be less than 50 characters. The amount of time it can take to upload an application will vary depending on a variety of factors, including the size of the application and the speed of your Internet connection. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the submission process through Grants.gov.
- Your electronic application must comply with any page-limit requirements described in this application package.
- If you are experiencing problems submitting your application through Grants.gov, please contact the Grants.gov Support Desk, toll free, at 1-800-518-4726. You must obtain a Grants.gov Support Desk Case Number and must keep a record of it.

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

SUBMISSION OF PAPER APPLICATIONS BY MAIL:

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

U.S. Department of Education
Application Control Center
Attention: (CFDA Number 84.326X)
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 **84.326X**)
550 12th Street, SW.
Washington, DC 20202-4260

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

NOTE FOR MAIL OR HAND DELIVERY OF PAPER APPLICATIONS:

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

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

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

SUBMITTING APPLICATIONS WITH ADOBE READER SOFTWARE

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

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

IMPORTANT ISSUES TO CONSIDER:

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

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

http://get.adobe.com/reader/otherversions/.

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

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

APPENDIX

INTERGOVERNMENTAL REVIEW OF FEDERAL PROGRAMS

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

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

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

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

Any State Process Recommendation and other comments submitted by a State Single Point of Contact and any comments from state, areawide, regional and local entities must be mailed or hand-delivered by the date indicated in the actual application notice to the following address:

The Secretary
EO 12372—CFDA 84.326X [commenter must insert number—including suffix letter, if any]
U.S. Department of Education, Room 7W301
400 Maryland Avenue, SW
Washington, DC 20202

Proof of mailing will be determined on the same basis as applications (see 34 CFR 75.102). Recommendations or comments may be hand-delivered until 4:30 p.m. (Washington, D.C. time) on the date indicated in the actual application notice.

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

STATE SINGLE POINTS OF CONTACT (SPOCS)

It is estimated that in 2009 the federal government will outlay $500 billion in grants to state and local governments. Executive Order 12372, "Intergovernmental Review of Federal Programs," was issued with the desire to foster the intergovernmental partnership and strengthen federalism by relying on state and local processes for the coordination and review of proposed federal financial assistance and direct federal development. The order allows each state to designate an entity to perform this function. Below is the official list of those entities. For those states that have a home page for their designated entity, a direct link has been provided below by clicking on the state name.

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

Contact information for federal agencies that award grants can be found in Appendix IV of the Catalog of Federal Domestic Assistance.

STATE SINGLE POINTS OF CONTACT

ARKANSAS

Tracy L. Copeland
Manager, State Clearinghouse
Office of Intergovernmental Services
Department of Finance and Administration
1515 W. 7th Street, Room 412
Little Rock, AR 72203
TEL: (501) 682-1074
FAX: (501) 682-5206
E-mail: tracy.copeland@dfa.state.ar.us

CALIFORNIA

Grants Coordination
State Clearinghouse
Office of Planning and Research
P.O. Box 3044, Room 222
Sacramento, CA 95812-3044
TEL: (916) 445-0613
FAX: (916) 327-3018
E-mail: State.clearinghouse@opr.ca.gov

DELAWARE

Jennifer L. Carlson
Assoc. Fiscal & Policy Analyst
Office of Management and Budget
Budget Development, Planning & Administration
Haslet Armory, Third Floor
122 William Penn Street
Dover, DE 19901 SLC D570E
TEL: (302) 739-4206
FAX: (302) 739-5661
E-mail: jennifer.carlson@state.de.us

DISTRICT OF COLUMBIA

Donna Bexley
DC Government Office of Partnerships
and Grants Development
441 4th Street, NW
Washington, DC 20001
TEL: (202) 727-6437
FAX: (202) 727-1652
E-mail: Donna.bexley@dc.gov

FLORIDA

Lauren P. Milligan
Florida State Clearinghouse
Florida Dept. of Environmental Protection
3900 Commonwealth Boulevard
Mall Station 47
Tallahassee, FL 32799-3000
TEL: (850) 245-2161
FAX: (850) 245-2190
E-mail: Lauren.Milligan@dep.state.fl.us

GEORGIA

Barbara Jackson
Georgia State Clearinghouse
270 Washington Street, SW, 8th Floor
Atlanta, GA 30334
TEL: (404) 656-3855
FAX: (404) 656-7901
E-mail: gach@mail.opb.state.ga.us

IOWA

Kathy Mable
Iowa Department of Management
State Capitol Building Room G12
1007 E. Grand Avenue
Des Moines, IA 50319
TEL: (515) 281-8834
FAX: (515) 242-5897
E-mail: Kathy.Mable@iowa.gov

KENTUCKY

Lee Nalley
The Governor's Office for Local Development
1024 Capital Center Drive, Suite 340
Frankfort, Kentucky 40601
TEL: (502) 573-2382 Ext. 274
Fax: (502) 573-1519
E-mail: Lee.Nalley@ky.gov

STATE SINGLE POINTS OF CONTACT

MAINE

Joyce Benson
State Planning Office
184 State Street
38 State House Station
Augusta, ME 04333
TEL: (207) 287-3261
(direct): (207) 287-1461
FAX: (207) 287-6489
E-mail: joyce.benson@state.me.us

MARYLAND

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

MICHIGAN

William Parkus
Southeast Michigan Council of Governments
535 Griswold, Suite 300
Detroit, MI 48226
TEL: (313) 961-4266
FAX: (313) 961-4869
E-mail: parkus@semcog.org

MISSISSIPPI

Janet Riddell
Clearinghouse Officer
Department of Finance and Administration
1301 Woolfolk Building, Suite E
501 North West Street
Jackson, MS 39201
TEL: (601) 359-6762
FAX: (601) 359-6758
E-mail: JRiddell@dfa.state.ms.us

MISSOURI

Sara VanderFeltz
Federal Assistance Clearinghouse
Office of Administration
Commissioner's Office
Capitol Building, Room 125
Jefferson City, MO 65102
TEL: (573) 751-0337
FAX: (573) 751-1212
E-mail: sara.vanderfeltz@oa.mo.gov

NEVADA

Gosia Sylwesprzak
Department of Administration
Nevada State Clearinghouse
Coordinator/SPOC
209 E. Musser Street, Room 200
Carson City, Nevada 89701
TEL: (775) 684-0209
FAX: (775) 684-0260
E-mail: clearinghouse@budget.state.nv.us

NEW HAMPSHIRE

Amy Ignatius
Acting Director, New Hampshire Office of Energy and Planning
Attn: Intergovernmental Review Process, Mark Toussiant
57 Regional Drive
Concord, New Hampshire 03301-8519
TEL: (603) 271-2155
FAX: (603) 271-2615
E-mail: irp@nh.gov

NEW YORK

Linda Shkrell
Office of Public Security
Homeland Security Grants Coordination
633 3rd Avenue
New York, NY 10017
TEL: (212) 867-1289
FAX: (212) 867-1725

STATE SINGLE POINTS OF CONTACT

NORTH DAKOTA

Jim Boyd
ND Department of Commerce
1600 East Century Avenue, Suite 2
P.O. Box 2057
Bismarck, ND 58502-2057
TEL: (701) 328-2676
FAX: (701) 328-2308
E-mail: jboyd@state.nd.us

RHODE ISLAND

Bill McKenna
Division of Planning
One Capitol Hill
Providence, Rhode Island 02908-5870
TEL: (401) 222-6185
FAX: (401) 222-2083
E-mail: billm@doa.ri.gov

SOUTH CAROLINA

Jean Ricard
Office of State Budget
1201 Main Street, Suite 870
Columbia, SC 29201
TEL: (803) 734-1314
FAX: (803) 734-0645
E-mail: jricard@budget.sc.us

TEXAS

Denise S. Francis
Director, State Grants Team
Governor's Office of Budget and Planning
P.O. Box 12428
Austin, TX 78711
TEL: (512) 305-9415
FAX: (512) 936-2681
E-mail: dfrancis@governor.state.tx.us

UTAH

Tenielle Young
Utah State Clearinghouse
Governor's Office of Planning
and Budget Utah State Capitol Complex
Suite E210, PO Box 142210
Salt Lake City, UT 84114-2210
TEL: (801) 538-1570
FAX: (801) 538-1547
E-mail: Tenielleyoung@utah.gov

WEST VIRGINIA

Bobby Lewis, Director
Community Development Division
West Virginia Development Office
Building #6, Room 553
Charleston, WV 25305
TEL: (304) 558-4010
FAX: (304) 558-3248
E-mail: rlewis@wvdo.org

WISCONSIN

Division of Intergovernmental Relations
Wisconsin Department of Administration
101 East Wilson Street, 10th Floor
P.O. Box 8944
Madison, WI 53708
TEL: (608) 266-7043
FAX: (608) 267-6917
E-mail: SPOC@doa.state.wi.us

AMERICAN SAMOA

Pat M. Galea'i
Federal Grants/Programs Coordinator
Office of Federal Programs
Office of the Governor
Department of Commerce
American Samoa Government
Pago Pago, AS 96799
TEL: (684) 633-5155
FAX: (684) 633-4195
E-mail: pmgaleai@samoatelco.com

STATE SINGLE POINTS OF CONTACT

GUAM	NORTH MARIANA ISLANDS
Roland C.P. Villaverde Administrator Guam State Clearinghouse Office of I Segundo na Maga'lahen Guåhan Office of the Governor P.O. Box 2950 Hågatña, Guam 96932 TEL: (671) 475-9380 ext. 901 FAX: (671) 477-2007 E-mail: administrator@guamclearinghouse.com	Mr. Antonio S. Muna Special Assistant for Management Office of Management and Budget Office of the Governor Saipan, MP 96950 TEL: (670) 664-2289 FAX: (670) 327-2272 E-mail: macaranas@yahoo.com
PUERTO RICO	**VIRGIN ISLANDS**
Ing. David Rodríguez / Luz H. Olmeda Puerto Rico Planning Board Federal Proposals Review Office PO Box 41119 San Juan, Puerto Rico 00940-1119 TEL: 787-723-6190 FAX: 787-722-6783 E-mail: Olmeda_L@jp.gobierno.pr	Debra Gottlieb (Acting Director) Director, Office of Management and Budget #41 Norre Gade Emancipation Garden Station, Second Floor Saint Thomas, Virgin Islands 00802 TEL: (340) 774-0750 FAX: (340) 776-0069 E-mail: dbgottlieb@omb.gov.vi

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

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

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

NOTICE TO ALL APPLICANTS ENSURING EQUITABLE ACCESS AND APPLICATION FORMS AND INSTRUCTIONS

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.

OMB Control No. 1894-0005 (Exp. 03/2014)

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, SW
Washington, DC 20202-4537

APPLICATION FORMS AND INSTRUCTIONS
FOR GRANTS.GOV APPLICATIONS

The electronic application on Grants.gov consists of multiple mandatory forms that must be completed as well as narrative attachment forms that should be used to upload any file attachments. While there are no file size restrictions, we strongly discourage submission of very large documents. Follow the guidance provided on Grants.gov as well as the Submission Tips document located in this application instruction document for specific information on file sizes, file naming requirements, etc. NOTE: As stated in the application notice, the Department only accepts PDF files.

Listed below are all forms that must be completed and instructions on where to upload narratives for the application.

General Forms:

- Application for Federal Assistance (SF-424)
- Department of Education Budget Information for Non-Construction Programs (ED-524)
- Department of Education Supplemental for SF-424

Note: instructions for all of the standard forms (SF-424, 524, and 424 Supplemental, etc.), will follow the forms included elsewhere in the application package.

Assurances and Certifications:

- Assurances for Non-Construction Programs (SF-424B)
- Disclosure of Lobbying Activities (SF-LLL)
- Grants.gov Lobbying Form (Formerly ED Form 80-0013)
- ED GEPA427 Form
- Faith Based EEO Survey

Narrative Attachment Forms:

- ED Abstract Form—(Upload and attach your one page abstract to Abstract File)
- Project Narrative Attachment Form* (Upload and attach to Mandatory Project Narrative File)
    - Table of Contents (Upload and attach to Mandatory Project Narrative File)
    - List of Priority Requirements (Upload and attach to Mandatory Project Narrative File)
      Note—Submit only one PDF document that includes, in the following order: 1) the table of contents, 2) list of priority requirements, and 3) project narrative. Then attach the one PDF document to the Mandatory Project Narrative File.
- Other Narrative Attachments (Upload and attach to Optional Other Attachment File) Suggested order.
    - Bibliography/References (attach to Optional Other Attachment File)
    - Appendix A (See Dear Applicant Letter for description) (attach to Mandatory Project Narrative File)
    - Resumes (attach to Optional Other Attachment File)
    - Letters (attach to Optional Other Attachment File)
    - Supplementary Information/Syllabi (attach to Optional Other Attachment File)
    - Other Appendices (attach to Optional Other Attachment File)

***NOTE:** The Project Narrative Attachment Form should include the narrative (text) that addresses each of the selection criteria, listed elsewhere in this document. The selection criteria will be used to evaluate applications submitted for this competition. The narrative has a strict page limit (check the Page Limits section of this document for exact page limits for the competition to which you are applying).

NOTE: The Federal Funding Opportunity Number for this program is **ED-GRANTS-041813-002**

NOTE: Please do not attach any narratives, supporting files, or application components to the Standard Form (SF 424) in Part I. Although this form accepts attachments, that option **should not be used**.

PART I: APPLICATION FOR FEDERAL ASSISTANCE (SF-424)

OMB Number: 4040-0004 Expiration Date: 03/31/2012

APPLICATION FOR FEDERAL ASSISTANCE—SF-424

***1. Type of Submission:**
- ☐ Preapplication
- ☐ Application
- ☐ Changed/Corrected Application

***2. Type of Application**
- ☐ New
- ☐ Continuation
- ☐ Revision

*If Revision, select appropriate letter(s):

*Other (Specify): _____

***3. Date Received:** _____
Completed by Grants.gov upon submission

4. Applicant Identifier: _____

5a. Federal Entity Identifier: _____

***5b. Federal Award Identifier:** _____

State Use Only:

6. Date Received by State: _____

7. State Application Identifier: _____

8. APPLICANT INFORMATION:

***a. Legal Name:**

***b. Employer/Taxpayer Identification Number (EIN/TIN):** _____

***c. Organizational DUNS:** _____

d. Address:

*Street 1: _____

Street 2: _____

*City: _____

County/Parish: _____

*State: _____

Province: _____

*Country: _____

*Zip / Postal Code _____

e. Organizational Unit:

Department Name:

Division Name:

f. Name and contact information of person to be contacted on matters involving this application:

Prefix: _____ *First Name: _____

Middle Name: _____

*Last Name: _____

Suffix: _____

Title: _____

Organizational Affiliation: _____

*Telephone Number: _____

Fax Number: _____

APPLICATION FOR FEDERAL ASSISTANCE—SF-424

*E-mail: _____

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:**

11. Catalog of Federal Domestic Assistance Number: _____
CFDA Title: _____

***12 Funding Opportunity Number**: _____
*Title: _____

13. Competition Identification Number: *Not applicable to this competition
Title: *Not applicable to this competition _____

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

_____

***15. Descriptive Title of Applicant's Project**: _____
Attach supporting documents as specified in agency instructions.

16. Congressional Districts Of:
***a. Applicant: _____** ***b. Program/Project: _____**

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:

***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

If "Yes", provide explanation and attach.

APPLICATION FOR FEDERAL ASSISTANCE—SF-424

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:

*E-mail:

*Signature of Authorized Representative: Completed by Grants.gov upon submission	*Date Signed: Completed by Grants.gov upon submission

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.

1. Type of Submission:
(Required) Select one type of submission in accordance with agency instructions.

- ► Pre-application
- ► Application
- ► 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.

2. Type of Application:
(Required) Select one type of application in accordance with agency instructions.

- **New** – An application that is being submitted to an agency for the first time.
- **Continuation** - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals.
- **Revision** - Any change in the federal government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided.

  A. Increase Award
  B. Decrease Award
  C. Increase Duration
  D. Decrease Duration
  E. Other (specify)

3. Date Received:
Leave this field blank. This date will be assigned by the Federal agency..

4. Applicant Identifier:
Enter the entity identifier assigned buy the Federal agency, if any, or the applicant's control number if applicable.

5a Federal Entity Identifier:
Enter the number assigned to your organization by the federal agency, if any.

5b. Federal Award Identifier:
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.

10. Name Of Federal Agency: (Required)
Enter the name of the federal agency from which assistance is being requested with this application.

11. Catalog Of Federal Domestic Assistance Number/Title:
Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.

12. Funding Opportunity Number/Title:
(Required) Enter the Funding Opportunity Number (FON) and title of the opportunity under which assistance is requested, as found in the program announcement.

13. Competition Identification Number/Title:
Enter the competition identification number and title of the competition under which assistance is requested, if applicable.

14. Areas Affected By Project:
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.

15. Descriptive Title of Applicant's Project:
(Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For pre-applications, attach a summary description of the project.

16. Congressional Districts Of:
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 5th 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.

6. **Date Received by State:**
Leave this field blank. This date will be assigned by the state, if applicable.

7. **State Application Identifier:**
Leave this field blank. This identifier will be assigned by the state, if applicable.

8. **Applicant Information**:
Enter the following in accordance with agency instructions:

a. Legal Name: (Required) Enter the legal name of applicant that will undertake the assistance activity. This is the organization that has registered with the Central Contractor Registry (CCR). Information on registering with CCR may be obtained by visiting www.Grants.gov.

b. Employer/Taxpayer Number (EIN/TIN): (Required) Enter the employer or taxpayer identification number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.

c. Organizational DUNS: (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting www.Grants.gov.

d. Address: 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).

e. Organizational Unit: Enter the name of the primary organizational unit, department or division that will undertake the assistance activity.

f. Name and contact information of person to be contacted on matters involving this application: 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.

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.

17. **Proposed Project Start and End Dates**:
(Required) Enter the proposed start date and end date of the project.

18. **Estimated Funding:**
(Required) Enter the amount requested, or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses..

19. **Is Application Subject to Review by State Under Executive Order 12372 Process?**
(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

20. **Is the Applicant Delinquent on any Federal Debt?**
(Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of federal debt include; but, may not be limited to: delinquent audit disallowances, loans and taxes. If yes, include an explanation in an attachment.

9. Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.

A. State Government
B. County Government
C. City or Township Government
D. Special District Government
E. Regional Organization
F. U.S. Territory or Possession
G. Independent School District
H. Public/State Controlled Institution of Higher Education
I. Indian/Native American Tribal Government (Federally Recognized)
J. Indian/Native American Tribal Government (Other than Federally Recognized)
K. Indian/Native American Tribally Designated Organization
L. Public/Indian Housing Authority
M. Nonprofit
N. Private Institution of Higher Education
O. Individual
P. For-Profit Organization (Other than Small Business)
Q. Small Business
R. Hispanic-serving Institution
S. Historically Black Colleges and Universities (HBCUs)
T. Tribally Controlled Colleges and Universities (TCCUs)
U. Alaska Native and Native Hawaiian Serving Institutions
V. Non-US Entity
W. Other (specify)

21. **Authorized Representative**: 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.)

SUPPLEMENTAL INFORMATION REQUIRED FOR THE DEPARTMENT OF EDUCATION

1. Project Director:

Name: _____

Prefix: _____

*First Name: _____

Middle Name: _____

*Last Name: _____

Suffix: _____

Address

*Street1: _____

Street2: _____

*City: _____

County: _____

*State: _____ *Zip Code: _____ *Country: _____

*Phone Number (give area code): _____

Fax Number (give area code): _____

E-mail Address: _____

2. Applicant Experience:

Novice Applicant?: Yes ☐ No ☐ Not applicable to this program ☐

3. Human Subjects Research:

Are any research activities involving human subjects planned at any time during the proposed project Period? Yes ☐ No ☐

Are ALL the research activities proposed designated to be exempt from the regulations? Yes ☐ No ☐ Provide Exemption(s) #: _____ Provide Assurance #, if available: _____

Please attach an explanation narrative: _____

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 Form 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 Form SF 424

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

NOTE ABOUT INSTITUTIONAL REVIEW BOARD APPROVAL.

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

PAPERWORK BURDEN STATEMENT

According to the *Paperwork Reduction Act of 1995*, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0017. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to:

U.S. Department of Education
Washington, DC 20202-4700

If you have comments or concerns regarding the status of your individual submission of this form write directly to:

Joyce I. Mays
Application Control Center
U.S. Department of Education
550 12th St. SW, Room PCP 7076
Washington, DC 20202-4260

DEFINITIONS FOR DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424

(Attachment to Instructions for Supplemental Information for SF 424)

DEFINITIONS

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

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

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

PROTECTION OF HUMAN SUBJECTS IN RESEARCH

I. Definitions and Exemptions

A. Definitions.

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

—Research

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

—Human Subject

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

B. Exemptions.

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

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

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

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

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

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

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

II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives

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

A. Exempt Research Narrative.

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

ED that the designated exemption(s) are appropriate. The narrative must be succinct.

B. Nonexempt Research Narrative.

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

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

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

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

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

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

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

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

Copies of the Department of Education's Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from:

Grants Policy and Oversight Staff
Office of the Chief Financial Officer
U.S. Department of Education
Washington, DC 20202-4250

Telephone: 202-245-6120

and on the U.S. Department of Education's Protection of Human Subjects in Research Web Site:

www.ed.gov/about/offices/list/ocfo/humansub.html

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

PART II: BUDGET INFORMATION (FORM 524)

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

OMB Control Number: 1894-0008
Expiration Date: 04-30-2014

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): _____

(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 __%

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)						

SECTION C—BUDGET NARRATIVE
(see instructions)

ED 524

INSTRUCTIONS FOR ED FORM 524

GENERAL INSTRUCTIONS

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

SECTION A: BUDGET SUMMARY—U.S. DEPARTMENT OF EDUCATION FUNDS

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

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

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

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

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

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

(1) Indicate whether or not your organization has an Indirect Cost Rate Agreement that was approved by the Federal government.

(2) If you checked “yes” in (1), indicate in (2) the beginning and ending dates covered by the Indirect Cost Rate Agreement. In addition, indicate whether ED or another Federal agency (Other) issued the approved agreement. If you check “Other,” specify the name of the Federal agency that issued the approved agreement.

(3) If you are applying for a grant under a Restricted Rate Program (34 CFR 75.563 or 76.563), indicate whether you are using a restricted indirect cost rate that is included on your approved Indirect Cost Rate Agreement or whether you are using a restricted indirect cost rate that complies with 34 CFR 76.564(c)(2). Note: State or local government agencies may not use the provision for a restricted indirect cost rate specified in 34 CFR 76.564(c)(2). Check only one response. Leave blank, if this item is not applicable.

SECTION B: BUDGET SUMMARY—NON-FEDERAL FUNDS

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

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

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

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

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

   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.

Provide other explanations or comments you deem necessary.

PAPERWORK BURDEN STATEMENT

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1890-0004**. The time required to complete this information collection is estimated to vary from 13 to 22 hours per response, with an average of 17.5 hours per response, including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:

U.S. Department of Education
Washington, DC 20202-4651

If you have comments or concerns regarding the status of your individual submission of this form, write directly to:

(insert program office)
U.S. Department of Education
400 Maryland Ave., SW
Washington, DC 20202

PART III: APPLICATION NARRATIVE

This narrative section of the application requires applicants to address the selection criteria that will be used by reviewers in evaluating individual applications. Please refer to the "Selection Criteria and Format" sections in this package for the competition to which you wish to submit an application.

Also, all of the competitions covered by this package have page limitations for the application narrative. Please refer to the "Page Limits" information for the competition to which you wish to submit an application.

PART IV: ASSURANCES AND CERTIFICATIONS

ASSURANCES —NON-CONSTRUCTION PROGRAMS

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

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

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

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

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.

2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.

3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.

4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.

5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).

6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§ 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646), which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §§874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is $10,000 or more.

11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).

12 Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.

13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).

14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.

15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.

16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead- based paint in construction or rehabilitation of residence structures.

17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "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.

Standard Form 424B (Rev. 7-97) Back

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
APPLICANT ORGANIZATION	DATE SUBMITTED

OMB Approval No. 0348-0040

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 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, loam 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 of Authorized Representative	Printed Title of Authorized Representative
Signature	Date

ED80-0013 08/05

Approved by OMB 0348-0046

DISCLOSURE OF LOBBYING ACTIVITIES

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

1. Type of Federal Action: a. contract b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance	**2. Status of Federal Action:** a. bid/offer/application b. initial award c. post-award	**3. Report Type:** a. initial filing b. material change **For material change only:** Year: _____ quarter: _____ Date of last report: _____

4. Name and Address of Reporting Entity: ☐ Prime ☐ Subawardee Tier, if Known: _____ **Congressional District, if known:** _____	**5. If Reporting Entity in No. 4 is Subawardee,** Enter Name and Address of Prime: _____ **Congressional District, if known:** _____
6. Federal Department/Agency: _____	**7. Federal Program Name/Description:** _____ _____ CFDA Number, *if applicable*: _____
8. Federal Action Number, *if known:*	**9. Award Amount**, *if known:* **$**
10. a. Name and Address of Lobbying Registrant *(if individual, last name, first name, MI):* __	**10. b. Individuals Performing Services** *(including address if different from No. 10a)* *(last name, first name, MI):*
11. Information requested through this form is authorized by title 31 U.S.C. Section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.	**Signature:** _____ **Print Name:** _____ **Title:** _____ **Telephone No.:** _____ **Date:** _____
Federal Use Only	**Authorized for Local Reproduction** **Standard Form — LLL (Rev. 7-97)**

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

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

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.

2. Identify the status of the covered Federal action.

3. Identify the appropriate classification of this report. If this is a follow-up 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.

PAPERWORK REDUCTION ACT STATEMENT

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:

Office of Management and Budget
Paperwork Reduction Project (0348-0046)
Washington, DC 20503

PAPERWORK BURDEN STATEMENT

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

OMB No. 1894-0010 Exp. 05/31/2012

DUNS NUMBER INSTRUCTIONS

D-U-N-S NO.

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

www.dnb.com

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

Dun & Bradstreet, a global information services provider, has assigned D-U-N-S numbers to over 43 million companies worldwide.

GRANT APPLICATION RECEIPT ACKNOWLEDGEMENT

If you fail to receive the notification of application within fifteen (15) days from the closing date, call:

U.S. Department of Education
Application Control Center

202-245-6288

GRANT AND CONTRACT FUNDING INFORMATION

The Department of Education provides information about grant and contract opportunities electronically in several ways:

ED Internet Home Page: www.ed.gov